TO: Members of the Board of Regents  
Designated Representatives to the Board of Regents

FROM: Joan Goldblatt, Secretary of the Board of Regents

RE: Schedule of Meetings

THURSDAY, APRIL 14, 2016

8:30 to 10:20 a.m. Petersen Room  
Allen Library  
ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regents Rice (Chair), Kritzer, Riojas, Simon

10:35 a.m. to 12:50 p.m.* Petersen Room  
Allen Library  
FINANCE AND ASSET MANAGEMENT COMMITTEE: Regents Jaech (Chair), Ayer, Benoliel, Blake, Harrell

1:15 p.m. Petersen Room  
Allen Library  
REGULAR MEETING OF BOARD OF REGENTS: Regents Shanahan (Chair), Ayer, Benoliel, Blake, Harrell, Jaech, Kritzer, Rice, Riojas, Simon

*or upon conclusion of the previous session.

Unless otherwise indicated, committee meetings of the Board of Regents will run consecutively; starting times following the first committee are estimates only. If a session ends earlier than expected, the next scheduled session may convene immediately. Committee meetings may be attended by all members of the Board of Regents and all members may participate.

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. 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.
# Approval of Minutes of Committee Meeting on March 10, 2016

<table>
<thead>
<tr>
<th>COMMITTEE ACTION</th>
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| 1. Academic and Administrative Appointments
  Gerald J. Baldasty, Interim Provost and Executive Vice President |
|-------------------|

| 2. Establishing the Master of Science in Technology Innovation
  Rebecca Aanerud, Associate Dean for Academic Affairs & Planning, The Graduate School
  Shwetak Patel, Professor, Department of Computer Science & Engineering |
|-------------------|

| 3. Research Trends and Collaborative Research Program Examples
  Mary Lidstrom, Vice Provost for Research, Office of Research
  Ed Lazowska, Bill & Melinda Gates Chair, Computer Science & Engineering
  Nick Bolten, Graduate Student, Electrical Engineering
  Fabliha Ibnat, Bachelors in Economics and Information Systems
  Ginger Armbrust, Professor, Oceanography
  Brendan Philip, Graduate Student, School of Oceanography |
|-------------------|

| 4. Office for Faculty Advancement Initiatives and Faculty Separation Overview
  Chadwick Allen, Associate Vice Provost for Faculty Advancement, Office of the Provost and Office of Minority Affairs and Diversity, Professor of English |
|-------------------|

| 5. Faculty Demographics and Hiring in the Health Sciences
  Joel Berg, Chair, Health Sciences Board of Deans and Dean, School of Dentistry
  Paul Ramsey, CEO, UW Medicine and Dean of the School of Medicine |
|-------------------|

| Leo Morales, Professor and Chief Diversity Officer, Medicine
  Sean Sullivan, Dean, School of Pharmacy |
6. **Institute for Health Metrics and Evaluation Board New Appointment and Reappointments**  
   *Paul Ramsey*, CEO, UW Medicine and Dean of the School of Medicine

7. **Other Business**
UNIVERSITY OF WASHINGTON
BOARD OF REGENTS
Finance and Asset Management Committee
Regents Jaech (Chair), Ayer, Benoliel, Blake, Harrell

April 14, 2016
10:35 a.m. to 12:50 p.m.
Petersen Room, Allen Library

Approval of Minutes of Committee Meeting on March 10, 2016

1. School of Dentistry – Approval of Financial Stability Plan
   
   Joel Berg, Chair, Health Sciences Board of Deans and Dean,
   School of Dentistry
   Chris Malins, Associate Vice President, Treasury
   Sarah Norris Hall, Assistant Vice Provost, Office of
   Planning & Budgeting

   ACTION F–1

2. UW One Capital Plan
   
   Paul Jenny, Senior Vice President, Planning and
   Management
   Chris Malins, Associate Vice President, Treasury
   Mike McCormick, Associate Vice President, Capital
   Planning and Development

   INFORMATION F–2

3. Portage Bay Insurance Annual Report
   
   Elizabeth Cherry, Associate Vice Provost, Compliance &
   Risk Services and Interim Vice President, Finance &
   Facilities

   INFORMATION F–3

4. First-Year Undergraduate Cost of Attendance Analysis
   
   Kay Lewis, Assistant Vice Provost for Enrollment and
   Executive Director of Financial Aid, Student Financial Aid
   Becka Johnson Poppe, Senior Legislative Analyst, Office of
   Planning & Budgeting
   LeAnne Wiles, Director, First Year Programs

   INFORMATION F–4

5. Executive Session
   (to consider the minimum price at which real estate will be
   offered for sale or lease when public knowledge regarding
   such consideration would cause a likelihood of decreased
   price.)

6. Executive Session
   (to consider the selection of a site or the acquisition of real
   estate by lease or purchase when public knowledge regarding
   such consideration would cause a likelihood of increased
   price.)
7. **Executive Session**  
   (to discuss with legal counsel litigation or potential litigation as defined in RCW 42.30.110.)

8. **Executive Session**  
   (to review the performance of public employees.)

9. **Other Business**
AGENDA

BOARD OF REGENTS
University of Washington

April 14, 2016
1:15 p.m.
Petersen Room, Allen Library

I. CALL TO ORDER

II. ROLL CALL: Assistant Secretary Shelley Tennant

III. CONFIRM AGENDA

IV. PUBLIC COMMENT PERIOD

V. BOARD ITEMS

Legislative and Budget Update (Information only) B–1
Gerald J. Baldasty, Interim Provost and Executive Vice President
Sarah Norris Hall, Assistant Vice Provost, Planning and Budgeting
Genesee Adkins, Director of State Relations

Transforming Administration Program (TAP) Update (Information only) B–2
Gerald J. Baldasty, Interim Provost and Executive Vice President

Quarterly Compliance Report – Health & Safety (Information only) B–3
Elizabeth Cherry, Associate Vice Provost, Compliance & Risk Services
and Interim Vice President, Finance & Facilities
David M. Anderson, Executive Director, Health Sciences Administration
Jude Van Buren, Director, Environmental Health and Safety

Safety Update (Information only) B–4
Ana Mari Cauce, University President

VI. REPORT OF THE CHAIR OF THE BOARD OF REGENTS: Regent Shanahan

VII. REPORT OF THE UNIVERSITY PRESIDENT: President Cauce

VIII. CONSENT AGENDA

Approval of Minutes of Meeting of March 10, 2016
Establishing the Master of Science in Technology Innovation A–2

Institute for Health Metrics and Evaluation Board New Appointment and Reappointments A–6

School of Dentistry – Approval of Financial Stability Plan F–1

IX. STANDING COMMITTEES

A. Academic and Student Affairs Committee: Regent Rice – Chair

Academic and Administrative Appointments (Action) A–1

Research Trends and Collaborative Research Program Examples (Information only) A–3

Office for Faculty Advancement Initiatives and Faculty Separation Overview (Information only) A–4

Faculty Demographics and Hiring in the Health Sciences (Information only) A–5

B. Finance and Asset Management Committee: Regent Jaech – Chair

UW One Capital Plan (Information only) F–2

Portage Bay Insurance Annual Report (Information only) F–3

First-Year Undergraduate Cost of Attendance Analysis (Information only) F–4

X. REPORTS TO THE BOARD

Faculty Senate Chair – Professor Norman Beauchamp

Student Leaders:
ASUW President – Mr. Tyler Wu
GPSS President – Mr. Alex Bolton
ASUW Tacoma President – Ms. Sophie Nop
ASUW Bothell President – Mr. Dom Juarez

Alumni Association President – Mr. Jeff Rochon

XI. DATE FOR NEXT REGULAR MEETING: Thursday, May 12, 2016

XII. EXECUTIVE SESSION
(to review the performance of public employees.)

XIII. ADJOURN
The Board of Regents held its regular meeting on Thursday, April 14, 2016, beginning at 1:15 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

The Board Chair, Regent Shanahan, called the meeting to order at 1:20 p.m. A delay of meeting notice was posted.

ROLL CALL

Assistant Secretary Tennant called the roll. Present were Regents Shanahan (chairing), Ayer, Benoliel, Blake, Harrell, Jaech, Kritzer, Rice, Riojas, and Simon; President Cauce, Provost Baldasty, Ms. Goldblatt; designated representatives: Professor Beauchamp, Mr. Bolton, and Mr. Wu.

Absent: Mr. Rochon.

CONFIRM AGENDA

The agenda was confirmed as presented.

PUBLIC COMMENT PERIOD

Regent Shanahan announced the Board would receive comments from the public. This segment of the meeting is meant to give Board members a chance to hear directly from the public on any subject pertaining to the University. He noted while the Board would be pleased to have the opportunity to listen to any comments and consider them in its decision-making, the Board would not be in a position to directly act on the comments or provide a response. Any Board member who would like additional information would make a request through staff following the meeting. Regent Shanahan offered the opportunity to comment to people who signed up in advance.

Regents heard comments from the following individuals:
Three union staff members from King County Labor Council and Unite Here commented about the City of Seattle’s local hire program and that program’s success in minority and women participation and inclusion of minority contractors and noted their concerns about affordable housing related to the Metro Tract Rainier Square building project and about the wages and benefits of the hotel employees provided by the hotel operator of the new project.

A UW faculty member from the UW Chapter of AAUP (American Association of University Professors) about faculty unionization and the faculty voice in Olympia.

A UW student Black Lives Matter activist encouraging UW to divest from prison industries and expressing concerns about the criminal justice system.

A UW PhD student expressing concern about fee-based programs and student fees and encouraging and end to all student fees.

A UW PhD student speaking against the international student fee.

Regent Shanahan thanked the speakers for expressing their views and for attending the meeting.

**BOARD ITEMS**

Before hearing the Board items, Regent Shanahan welcomed members of the Husky Women’s Basketball Team and Assistant Coach Fred Castro. On behalf of the Board, Regent Shanahan congratulated the team and expressed his pride in their accomplishments this season. Calling them “inspirational” and noting the team GPA as the highest in at least five years, Regent Shanahan said these women are truly student athletes. The team recently traveled to Indianapolis to compete in the NCAA Final Four tournament for the first time in program history.

Team members introduced themselves: Katie Collier, Mathilde Gilling, Kelli Kingma, Jenna Moser, Kelsey Plum, and Brianna Ruiz. Assistant Coach Morgan Valley and Jackie Nared, Director of Basketball Operations, also attended.

Regent Shanahan thanked team members and coaches for attending the meeting. Go, Dawgs!

**Legislative and Budget Update** (Agenda no. B–1) (Information only)

Genesee Adkins, Director of State Relations, provided a high-level summary of the legislative session. This was a supplemental session, followed by a twenty-day special session, which ended on March 29. The legislature approved total net new spending of $203 million in this supplemental session, with a $38 billion biennial budget. UW had tremendous visibility in Olympia from students, faculty, staff, alumni, and Regents. President Cauce visited three times to continue building relationships with state leaders. Regents traveled twice to Olympia during the session to meet with legislators. Ms. Adkins thanked all for coming to Olympia and said the cumulative impact would be reflected during the next session.
She listed the UW’s priorities, policy issues, and outcomes:
1) Success with the top legislative priority – funding for the tuition backfill.
2) Not successful with other funding requests – Rural Initiatives in Dentistry Education (RIDE) Program, Computer Science & Engineering Building, and leasehold excise tax.
3) Unexpectedly, the cost of services provided by Office of Financial Management will be charged to agencies.

Sarah Norris Hall, Assistant Vice Provost of Planning and Budgeting, reported the UW received about $3.5 million in additional tuition reduction backfill. This was partially offset by new charges associated with budgeting, planning, and forecasting in the Office of Financial Management, where the UW, and other agencies, will be charged for services previously free of charge. UW received some state funding to offset this but will need to contribute some.

The UW Office of Planning and Budgeting is working on a draft budget for Regent review at the next meeting. Office staff are meeting with the Provost, deans, vice provosts, vice presidents, students, and faculty members to pull together a comprehensive item. Ms. Hall noted planning for the next biennial operating budget has begun. Provost Baldasty is currently reviewing proposals from units for operating funds.

Regent Simon praised the hard work of Ms. Adkins and the State Relations team during a “tough” session. Regent Ayer asked about the UW’s prospects during the next session. Ms. Adkins relayed good news and bad news. There is recognition that higher education is an issue of central interest for Washingtonians and there is great coordination between UW’s three campuses, alumni, and faculty, so the UW’s message is clearly conveyed. The bad news is the UW will be competing for general funds against other worthy and expensive programs and will need to offer a persuasive case for investment next year.

See Attachment B–1.

**Transforming Administration Program (TAP) Update** (Agenda no. B–2) (Information only)

Regent Shanahan thanked Provost Baldasty for his leadership of TAP, and said undertaking change is hard and scary. He is excited about administration-driven change and about changing the culture of the administration not only to provide better service, but also to build a broader base of teamwork to unlock the potential of doing more interdisciplinary work.

Provost Baldasty reviewed the slides attached to these minutes.

See Attachment B–2.

**Quarterly Compliance Report – Health & Safety** (Agenda no. B–3) (Information only)
Regent Shanahan said in November Elizabeth Cherry introduced the University’s Structural Compliance Program and promised a quarterly report on each of six key institution-wide compliance areas.

Elizabeth Cherry, Associate Vice Provost for Compliance & Risk Services and Interim Vice President of Finance & Facilities, introduced the second quarterly compliance report, saying the Regents would hear from David M. Anderson, Executive Director of Health Sciences Administration; Jude Van Buren, Director of Environmental Health and Safety; and Elise Chayet, Associate Administrator for Clinical Support Services at Harborview. Dr. Van Buren and Ms. Chayet co-led the compliance assessment on health and safety. They mapped the current compliance structure and opportunities for campus-wide improvement. They also identified eight potential priority issues, and selected a top three with an opportunity to result in measurable improvement over the next eighteen months.

Dr. Anderson talked about the task force to be created to review and make recommendations for improving the effectiveness and efficiency of the University of Washington’s health and safety governance structure.

Regent Shanahan underscored how important it is for leadership to fulfill their responsibility to take care of their employees and students by providing them with a safe place to work and learn. It is critical to apply standards and provide training in safety. Safety correlates positively with high quality and high morale.

Regent Ayer asked about centralized data on safety issues. Ms. Cherry said this is one of UW’s challenges. Collecting and developing metrics over time is a goal, including creating a better system to achieve this.

Dr. Van Buren talked about improvements in the UW’s accident prevention planning process.

Ms. Cherry presented plans for improving the safety in programs for youth on the University campus.

See Attachment B–3.

**Safety Update** (Agenda no. B–4) (Information only)

In response to Regents’ request for a monthly safety update, President Cauce provided an overview of UW’s safety statistics for the last month citing accident reports as the most common. Elizabeth Cherry is working to compile the report to provide information about trends. Some increases in occurrences reflect a culture of reporting, which is positive.

The University is committed to the safety of its staff, students, faculty, and patients. This is a top priority. Regent Shanahan has asked President Cauce to provide a brief status report of key safety indicators at every Board meeting. President Cauce asked for feedback about the report for future presentations.
REPORT OF THE CHAIR OF THE BOARD OF REGENTS: Regent Shanahan

Regent Shanahan said there is a lot of “off-line” work being done to make the meetings more productive. He looks forward to “paperless” Board meetings.

Regent Shanahan said Regent Kritzer returned from Washington D.C., where she participated in a graduate student conference and met with legislators. He invited her to report on the trip.

Regent Kritzer said she joined three UW GPSS Senate leaders at the Student Advocates for Graduate Education (SAGE) conference in Washington D.C. attended by tier 1 institution graduate student leaders who came together to discuss key issues affecting graduate students. They prepared three white papers which were presented to members of congress over three days of advocacy. They met with Washington’s senators and congress members.

The three key issues:
1) Student debt;
2) Research;
3) Campus wellness.

Regent Kritzer reported the group received a “great response” from legislators.

On a personal note, Regent Kritzer expressed her gratitude to Harborview Medical Center for the incredible care provided to her mother, who was recently injured in a bicycle accident.

Regent Shanahan said at the meeting of the Governance Committee in February, Regent Harrell volunteered to lead a group of Regents to explore forming a Regent committee to support Diversity, Equity, and Inclusion. He invited her to provide an update on the activities of that group and next steps.

Regent Harrell reported the exploratory group was formed at the meeting of the Governance Committee in February to determine the best way for Regents to move forward on the issues of diversity, equity and inclusion. This group includes Regents Harrell, Jaech, Rice, and Riojas. Periodically, Regent Kritzer participated in Regent Riojas’ stead. Concurrently, a group of Regents has been looking into procurement and contracting.

The Group met twice and discussed a vision and desired outcome to support and align with the President’s initiatives. They talked about what the most effective structure would be and believe the most effective means would be to form an advisory committee to the Board. The proposed function of the committee will be “to advise on matters relating to diversity, equity, and inclusion for faculty, students, staff, and in procurement and contracting.”
The group reviewed background materials, including the UW's Diversity Blueprint and learned about some of the related activities and efforts at UW. The group also took under consideration how the Board’s work supports the President’s Race and Equity Initiative.

Regent Harrell outlined next steps. She envisions coming forward in May with a recommendation to approve amending the Standing Orders to form a Diversity, Equity, and Inclusion advisory committee and to appoint the Regent members. The non-regent members would be appointed at the Governance Committee meeting in July.

Regent Shanahan invited President Cauce to provide the University President’s report.

REPORT OF THE UNIVERSITY PRESIDENT: President Cauce

President Cauce said it was exciting to support the UW Women’s Basketball team as they competed in the Final Four. She praised them as student athletes and empowered, strong women.

The President noted members of the “Black Lives Matter” student group joined the recent race and equity conversation meeting held at the Intellectual House, and that she received a list of demands from student groups. These demands are focused on diversifying faculty and students, issues related to police and policing, and a desire to mandate diversity training for faculty and staff. The focus of a recent leadership training session for senior leaders was “Government to Government.” The University is planning a training session on anti-racism. The President plans to work though shared governance on these issues as the administration engages with students.

President Cauce explained change takes time and underscored that the Race and Equity Initiative is designed to bring people together to talk about these challenging issues.

Three final candidates for the position of Vice President of Office of Minority Affairs and Diversity are coming to campus and giving talks.

UW recently held its first Parents and Family weekend. It was an amazing success attended by two thousand parents from all over the world. Regents Ayer and Riojas attended and heard positive feedback from parents. Tours and faculty lectures were offered. Regent Ayer said it was fun, a wonderful idea, and validates what is going on at the University.

President Cauce will deliver a Population Health talk in May. She believes this is an area where the University of Washington can lead the world.

On October 21, the University will hold an event to kick-off the fundraising campaign to support the many needs of the University. Private dollars make a huge amount of difference.
The Seattle commencement speaker this year will be Sally Jewell, who is also being honored as the Alumna Summa Laude Dignata.

Karin Nyrop, Division Chief of the Attorney General’s Office UW Division, announced a King County Superior Court judge ruled the University of Washington is exempt from a City of Seattle law that preserves landmarks. The Judge ruled that the ordinance does not apply to the UW, adding that “public purpose requires that the campus continue to be developed to meet the growing and changing education needs of the State.”

CONSENT AGENDA

Regent Shanahan noted there were four 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 Harrell, seconded by Regent Jaech, the Board voted to approve the four items on the consent agenda as shown below:

Minutes for the meeting of March 10, 2016

**Establishing the Master of Science in Technology Innovation** (Agenda no. A–2)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to the Interdisciplinary Global Innovation Exchange Group in the Graduate School to offer the Master of Science in Technology Innovation degree program, effective Autumn Quarter 2017. This will be a fee-based program offered in coordination with UW Professional and Continuing Education and the Global Innovation Exchange. The degree program will have provisional status with a review to be scheduled for the 2019-2020 academic year. At such time that continuing status is granted, a ten-year review cycle would begin.

See Attachment A–2.

**Institute for Health Metrics and Evaluation Board New Appointment and Reappointments** (Agenda no. A–6)

It was the recommendation of the University President and the Academic and Student Affairs Committee that the Board of Regents make the following appointments to the Institute for Health Metrics and Evaluation (IHME) Board:

<table>
<thead>
<tr>
<th>Name</th>
<th>Term</th>
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<tbody>
<tr>
<td>Victor Dzau</td>
<td>6/1/16 through 6/30/19</td>
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<tr>
<td><strong>Reappointments</strong></td>
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<tr>
<td>Sally Davies</td>
<td>7/1/16 through 6/30/19</td>
</tr>
<tr>
<td>Lincoln Chen</td>
<td>7/1/16 through 6/30/17</td>
</tr>
<tr>
<td>Stephen Cucchiaro</td>
<td>7/1/16 through 6/30/19</td>
</tr>
<tr>
<td>John Stanton</td>
<td>7/1/16 through 6/30/19</td>
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</table>
See Attachment A–6.

**School of Dentistry – Approval of Financial Stability Plan** (Agenda no. F–1)

It was the recommendation of the administration and the Finance and Asset Management Committee that the Board of Regents approve the School of Dentistry Financial Stability Plan subject to final approval by the Provost after consultation with the School of Dentistry Faculty Council.

See Attachment F–1.

**STANDING COMMITTEES**

**ACADEMIC AND STUDENT AFFAIRS COMMITTEE:** Regent Riojas, Vice Chair

Provost Baldasty highlighted appointments in the Health Sciences, specifically the strategy of how faculty appointments would address the “roadmap” of the School of Medicine in terms of addressing the burden of disease.

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

**MOTION:** Upon the recommendation of the administration and the motion made by Regent Riojas, the Board voted to approve the personnel appointments. Regent Kritzer abstained from the vote.

See Attachment A–1.

**Research Trends and Collaborative Research Program Examples** (Agenda no. A–3) (Information only)

Regents heard from Vice Provost Lidstrom about research funding and that the UW maintains its market share of federal research funding compared to peer universities. Going forward, Lidstrom expects growth in research funding to increase very slowly.

Regents heard presentations from faculty and student researchers. Regent Riojas highlighted one project that used social engineering as a predictor of permanent housing for homeless families with the goal of cutting homelessness by fifty percent.

In a presentation from Oceanography, Regents saw a fascinating view of an underwater volcano erupting.

Regents viewed a map of Seattle designed to improve access for those in wheelchairs. Regent Riojas said this type of project puts the UW in the forefront of research.

See Attachment A–3.
Office for Faculty Advancement Initiatives and Faculty Separation Overview
(Agenda no. A–4) (Information only)

Regents heard a presentation from Chadwick Allen, Assistant Vice Provost for Faculty Advancement, who shared strategies to improve the number of underrepresented minorities on the faculty and said progress is being made. Working together, Regents, the President, and the faculty can expect to see some improvement.

See Attachment A–4.

Faculty Demographics and Hiring in the Health Sciences (Agenda no. A–5)
(Information only)

Health Sciences Deans and Chief Diversity Officer Leo Morales, described faculty hiring and demographics in the Health Sciences. They presented data which demonstrated some progress.

See Attachment A–5.

FINANCE AND ASSET MANAGEMENT COMMITTEE: Regent Jaech, Chair

UW One Capital Plan (Agenda no. F–2) (Information only)

Regent Jaech reported on a review of the Plan, and said this report has matured considerably in the past year.

See Attachment F–2.

Portage Bay Insurance Annual Report (Agenda no. F–3) (Information only)

Portage Bay is the UW’s self-insurance arm. Regent Jaech reported the Committee heard the structure is healthy and is working well for the University.

See Attachment F–3.

First-Year Undergraduate Cost of Attendance Analysis (Agenda no. F–4)
(Information only)

Regents requested a summary of fees and other costs to provide context when making decisions on fees, housing costs, and tuition rates. This information has been pulled together for financial aid. Regent Jaech said he expects this report to evolve over time as Regents use it as a meaningful tool for decision-making affecting access and affordability for students.

See Attachment F–4.
Faculty Senate Chair: Professor Norman Beauchamp

Dr. Beauchamp gave a “shout out.” He praised Regent Kritzer for her focus on the issue of graduate student suicide related to health care and campus wellness, saying the best prevention is wellness.

He offered an aphorism and quoted Maya Angelou, “We will face defeats but we must not be defeated.” This, he said, is apropos for the nation and the UW when it comes to diversity equity, and inclusion efforts. He is encouraged by efforts of the President, Provost, faculty members, Regents, and students in this area.

He offered updates of five things the Faculty Senate is doing:
1) Inviting Chad Allen to the Senate to present diversity hiring tool kits and handbooks and then asking Senators to disseminate them;
2) Seeking to pass a Class C resolution on a living wage;
3) Working hard to partner with leadership on a process redesign for how the University responds to Title IX violence against women and create a safe campus;
4) Considering the salary policy, which is still pending approval;
5) Introducing an alternate salary policy was introduced for discussion.

Dr. Beauchamp reiterated Regent Shanahan’s change management model using these steps: diagnose, prioritize, resource, process re-engineer, replicate, and “Obeya” (a Lean process describing actionable data visualization). He also described accomplishments toward faculty diversity in his department, Radiology, using the change management model.

ASUW Tacoma President: Ms. Sophie Nop

Ms. Sophie Nop returned to campus to attend class. Mr. Wu read a report she prepared.

“Currently, it’s election season at UW Tacoma and as I prepare for the incoming team through creating thorough legacy documents and performing exit interviews with my Directors I am sad that my time as ASUWT President is nearing its end. Many of the graduating seniors feel this way in general, we will miss our University, how it has shaped us, and the community we built.

On the topic of commencement, graduating seniors at UW Tacoma have voiced that 5 tickets is not enough for our campus. Because the capacity constrictions of the Tacoma Dome this year, ASUWT is recommending either a ticket system where unused tickets would go to students who need them (unused tickets can come from either students who will not utilize the five tickets or students who decide not to walk at commencement). Another recommendation is to expand on ASUWT’s feasibility analysis of Stadium Bowl as a venue option and if that is not possible we recommended that the Committee offer an overflow or viewing party rooms where community can view a live stream of their graduates. In the meantime, Chancellor Pagano has been very responsive and has set up meetings with the Commencement Committee to facilitate productive conversations with students and staff. Lastly, I am happy to announce the next Diversity Taskforce will be in
Tacoma on April 30. We are always happy to host any tri-campus efforts and look into how we can better support students across the UW as a whole.”

**ASUW President**: Mr. Tyler Wu

Mr. Wu said ASUW officially passed and established the first ASUW Middle Eastern Student Commission. Black Lives Matter students presented demands at the recent Race and Equity Initiative conversation event. The ASUW Board of Directors assigned these demands to its committees to work toward compliance. He highlighted a focus on increasing transparency between the administration and students.

Dr. Allen will attend an ASUW Board meeting to describe his office’s efforts to recruit and retain a diverse faculty.

In May, ASUW will sponsor both a Mental Health Awareness and a Sexual Assault and Relationship Violence Month, showcasing the intersection of these two important campus safety issues.

The 2016-17 ASUW election cycle will kick off on April 14 and results will be in on May 13.

**GPSS President**: Mr. Alex Bolton

Mr. Bolton said he appreciated Regent Kritzer’s leadership at the SAGE Conference in D.C.

Related to the new degree approved at the meeting, Mr. Bolton said students remain concerned about fee-based programs and encouraged a “big picture” conversation about this topic.

He is thankful ASUW and GPSS have been given the opportunity to sit on the search committee for the Athletic Director and provide input into the process and decision.

GPSS looks forward to President Cauce attending an upcoming Senate meeting. King County Executive Dow Constantine is also scheduled to attend a Senate meeting. GPSS will offer many activities and events during spring quarter, including some designed to bring graduate students out into the community, including a Mariners game and attending the play “Kinky Boots” at the Fifth Avenue Theatre. GPSS is planning to celebrate its 40th anniversary by bringing alumni back to campus. It will sponsor the second “Husky Sunset” event to celebrate the end of the year. GPSS is working with ASUW on a committee to choose finalists for the 2016-17 student Regent position. The committee is tasked with recommending nominees to the Governor for gubernatorial appointment. GPSS 2016-17 elections are coming up, results will be in by May 4.

**ASUW Bothell President**: Mr. Dom Juarez

Mr. Juarez was absent.
Alumni Association President: Mr. Jeff Rochon

Mr. Rochon was absent. In his stead, President-Elect Clyde Walker delivered the report from the Alumni Association. He said his tenure on the UW Alumni Board coincided with the launch of UW Impact, so he has been involved with the initiative since its formation. During the recent legislative session, UW Impact generated more than 3,300 messages and contacts with legislators and elected officials. The group sponsored a trip to Olympia in February to meet with legislators, where the topic of discussion focused on the tuition backfill and the importance of higher education across the state of Washington. Advocates were well received, especially as they distributed purple and gold Top Pot donuts. UW Impact will coordinate its third election year candidate survey designed to measure candidates objectively and track decisions made on behalf of the University and higher education in the state of Washington. UWAA is pursuing new partnerships with the United Way, Seattle City Club, and the UW Retirement Association.

UWAA is exploring creative ways to provide funding through scholarships. One exciting upcoming event is a UW night with Sounders FC on May 7, where proceeds will fund UW Alumni Association student scholarships.

In partnership with the School of Public Health, UWAA will sponsor a lecture by Regent Riojas on Wednesday, April 27.

UWAA is preparing to welcome next class of UW alumni. Graduates will be offered the opportunity to purchase a “grad pack” including discounted rates for membership in the UWAA, a UWAA license plate frame, and other goodies. The Class of 2016 will raise funds for an impact and diversity scholarship. There are many other activities planned around commencement.

DATE FOR NEXT MEETING

The next regular meeting of the Board of Regents will be held on Thursday, May 12, 2016, on the Seattle campus.

ADJOURNMENT

The regular meeting was adjourned at 3:45 p.m.

Joan Goldblatt
Secretary of the Board of Regents

Approved at the meeting of the Board on May 12, 2016.
STANDING COMMITTEES

Academic and Student Affairs Committee

Academic and Administrative Appointments

RECOMMENDED ACTION

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

Attachment
Academic and Administrative Appointments
ADMINISTRATIVE APPOINTMENTS

College of Arts and Sciences
Hawley, Suzanne Louise
Divisional Dean, Arts and Sciences, effective 7/1/2016
Continuing Appointment:
• Professor, Astronomy
Degrees:
• PhD, 1989, University of Texas (Austin)
• MA, 1984, University of Texas (Austin)
• BS, 1981, Harvey Mudd College

School of Medicine
Horwitz, Marshall Scott
Associate Dean, School of Medicine, effective 12/1/2015
Continuing Appointments:
• Professor, Pathology
• Adjunct Professor, Genome Sciences
• Adjunct Professor, Medicine
Degrees:
• MD, 1990, University of Washington
• PhD, 1988, University of Washington
• BA, 1983, University of California (San Diego)

NEW APPOINTMENTS

ROTC
Department of Naval Science
Sledge, Christopher Loyd
Associate Professor without Tenure, Naval Science, effective 6/1/2016
Degrees:
• Master of Military Art and Sciences, 2006, US Army Command and General Staff College
• BS, 1992, United States Naval Academy

Stone, Stephen Wesley
Assistant Professor without Tenure, Naval Science, effective 5/1/2016
Degree:
• BS, 2012, Old Dominion University
College of Arts and Sciences
Gender, Women, and Sexuality Studies
Judd, Bettina Antoinette
Assistant Professor, Gender, Women, and Sexuality Studies, effective 9/1/2016
Degrees:
  • PhD, 2014, University of Maryland
  • MA, 2007, University of Maryland
  • BA, 2005, Spelman College

School of Drama
Connors, Bridget
Senior Lecturer, Full-time, Drama, effective 9/16/2016
Degrees:
  • MFA, 1989, California Institute of the Arts
  • BFA, 1983, University of Michigan (Ann Arbor)

College of Engineering
William E. Boeing Department of Aeronautics and Astronautics
Lum, Christopher Wai Ming
Research Assistant Professor, William E. Boeing Aeronautics and Astronautics, effective 3/16/2016
Degrees:
  • PhD, 2009, University of Washington
  • MS, 2005, University of Washington
  • BS, 2003, University of Washington

College of the Environment
School of Marine and Environmental Affairs
Jardine, Sunny Lynn
Assistant Professor, School of Marine and Environmental Affairs, effective 9/16/2016
Degrees:
  • PhD, 2013, University of California (Davis)
  • MA, 2008, University of San Francisco
  • BS, 2002, State University of New York (Syracuse)

School of Medicine
Department of Family Medicine
Bender, Melissa Ann
Assistant Professor without Tenure, Family Medicine, effective 4/1/2016
Prior UW Appointment:
  • Acting Assistant Professor, temporary, Family Medicine
Degrees:
  • MD, 2007, Indiana University
  • MS, 2003, Indiana University-Purdue University Indianapolis
  • BA, 2002, Hanover College
Department of Global Health

Pigott, David Michael
Assistant Professor without Tenure, Global Health, effective 3/1/2016
Degrees:
- Doctor Philosophiae (DPhil), 2015, Oxford University (UK)
- BA, 2011, Oxford University (UK)

Department of Medicine
Cheung, Kevin Jon
Assistant Professor without Tenure, Medicine, effective 3/1/2016
Degrees:
- MD, 2006, Cornell University
- BA, 2001, Harvard College

Dorfman, Mauricio Daniel
Research Assistant Professor, Medicine, effective 2/1/2016
Prior UW Appointment:
- Acting Instructor, Medicine
Degrees:
- PhD, 2008, University of Chile
- BS, 2001, University of Chile

Fitzmaurice, Christina
Assistant Professor without Tenure, Medicine, effective 4/1/2016
Prior UW Appointment:
- Acting Instructor, Medicine
Degrees:
- MPH, 2009, Johns Hopkins University
- MD, 2008, Ruprechts Karl University

Keifer, Matthew Charles
Professor without Tenure, Medicine, effective 3/1/2016
Prior UW Appointment:
- Affiliate Professor, Environmental and Occupational Health Sciences
Degrees:
- MPH, 1989, University of Washington
- MD, 1982, University of Illinois
- BA, 1977, University of Notre Dame

Department of Neurological Surgery
Singh, Harminder
Visiting Assistant Professor, Neurological Surgery, effective 3/1/2016
Degrees:
- MD, 2004, Tufts University
- BS, 1999, University of Arizona
Department of Pathology
Mendenhall, Alexander Richard
Assistant Professor without Tenure, Pathology, effective 4/1/2016
Degrees:
- PhD, 2008, University of North Texas
- MS, 2002, Texas A&M University
- BS, 2000, Texas A&M University

Young, Jessica Elaine
Assistant Professor without Tenure, Pathology, effective 7/1/2016
Degrees:
- PhD, 2009, University of Washington
- MA, 2002, Sonoma State University
- BS, 1997, University of Wyoming

Department of Pediatrics
Kaplan, Ron Lawrence
Associate Professor without Tenure, Pediatrics, effective 3/1/2016
Prior UW Appointment:
- Clinical Associate Professor, Salaried, Pediatrics
Degrees:
- MD, 1992, University of North Carolina
- Scientiae Baccalaureus (ScB), 1987, Brown University

Department of Psychiatry and Behavioral Sciences
Reger, Mark Alan
Associate Professor without Tenure, Psychiatry and Behavioral Sciences, effective 3/1/2016
Prior UW Appointment:
- Affiliate Associate Professor, Psychiatry and Behavioral Sciences
Degrees:
- PhD, 2001, Rosemead School of Psychology
- MA, 1998, Rosemead School of Psychology
- BA, 1994, Western Washington University

Department of Urology
Sweet, Robert Marten
Professor without Tenure, Urology, effective 3/1/2016
Prior UW Appointment:
- Affiliate Assistant Professor, Urology
Degrees:
- MD, 1997, University of Minnesota
- BS, 1992, University of Wisconsin
School of Public Health  
Department of Global Health  
Pigott, David Michael  
Assistant Professor without Tenure, Global Health, effective 3/1/2016  
Degrees:  
• Doctor Philosophiae (DPhil), 2015, Oxford University (UK)  
• BA, 2011, Oxford University (UK)  

University of Washington, Bothell  
UW Bothell School of Business  
Khanna, Sushil  
Visiting Professor, School of Business, Bothell, effective 3/12/2016  
Degrees:  
• PhD, 1984, Indian Institute of Management (India)  
• BS, 1971, University of Allahabad (India)  

University of Washington, Tacoma  
Institute of Technology, Tacoma  
Prasad, Anamika  
Visiting Assistant Professor, Institute of Technology, Tacoma, effective 3/16/2016  
Degrees:  
• PhD, 2007, Massachusetts Institute of Technology  
• MS, 2003, Massachusetts Institute of Technology  
• BTech, 1997, Indian Institute of Technology (India)
STANDING COMMITTEES

Academic and Student Affairs Committee

Establishing the Master of Science in Technology Innovation

RECOMMENDED ACTION

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to the Interdisciplinary Global Innovation Exchange Group in the Graduate School to offer the Master of Science in Technology Innovation degree program, effective Autumn Quarter 2017. This will be a fee-based program offered in coordination with UW Professional and Continuing Education and the Global Innovation Exchange. The degree program will have provisional status with a review to be scheduled for the 2019-2020 academic year. At such time that continuing status is granted, a ten-year review cycle would begin.

BACKGROUND

In April 2015, the Graduate School established the Interdisciplinary Global Innovation Exchange Committee at the request of Graduate Faculty from the Departments of Computer Science & Engineering, Electrical Engineering, Human Centered Design & Engineering, and the Information School. The Graduate School then received notification of intent to plan the Master of Science in Technology Innovation from the Interdisciplinary Committee in April 2015. After university-wide stakeholder comment, the faculty developed a full proposal that was submitted to the Graduate School in July 2015.

The Master of Science in Technology Innovation program will prepare students for a broad set of entrepreneurial career paths by exposing them to the intersections of design thinking, technology development, and entrepreneurship. Students will work in small teams in a setting conducive to risk-taking and experimentation, learning to work effectively across disciplines. Cohorts will be immersed in a culture of rapid ideation, critique, and iteration, with frequent practice pitching product ideas and receiving feedback. At conclusion, students may develop an integrated product ready for a new startup venture or an initial product concept for an established company.

The Master of Science in Technology Innovation is a 15-month program that anticipates enrolling a total of 140 students at maturity. Classes will be held in a new Global Innovation Exchange facility in the Spring District in Bellevue. The degree will be offered initially with a program focus on Connected Devices. The interdisciplinary faculty group anticipates creating additional degree options as the Global Innovation Exchange initiative grows.
In July 2015, the Vice Provost and Dean of the Graduate School appointed two outside reviewers to evaluate the degree proposal. The reviewers both supported approval of the degree program. Each reviewer also made specific recommendations for improving the program, to which the program provided detailed responses.

The Graduate School Council met on March 17, 2016, to discuss the degree proposal. The Council recommended that the proposal be forwarded to the Board of Regents for final approval. The Vice Provost and Dean of the Graduate School concurred with this recommendation.

The Vice Provost and Dean of the Graduate School and the Provost have reviewed and approved the recommendation to approve the Master of Science in Technology Innovation.

Attachment
New Graduate Degree Proposal – UW Seattle
New Graduate Degree Proposal – UW Seattle

**IDEA STAGE**
Conversations with:
- Faculty/Deans/Chancellors;
- PCE (fee based programs);
- Office of Planning & Budgeting & Provost office;
- Other stakeholders.

**PLANNING NOTICE OF INTENT (PNOI)**
- Faculty lead contacts the Office of Academic Affairs and Planning (OAAP) in the Graduate School for proposal guidelines;
- Submit PNOI to OAAP.

**PNOI COMMENT PERIOD**
- 10 day stakeholder comment period (all three campuses);
- Includes UW Libraries, Registrar’s Office and GEMS.

**EXTERIOR REVIEW**
- Unit submits revised proposal to OAAP;
- OAAP sends proposal to external reviewers;
- Unit responds to reviewers’ comments.

**FULL PROPOSAL DEVELOPMENT**
- Addresses stakeholders feedback;
- Includes tuition tier (state-funded programs) or draft of MOA (fee based programs);
- Unit contacts Student Financial Aid;
- Submit preliminary draft to OAAP for review and comment.

**GRADUATE SCHOOL**
- Graduate School Dean authorizes proposal development

**GRADUATE SCHOOL COUNCIL**
- Council considers proposal including final MOA;
- After presentation, unit incorporates feedback, if needed;
- Graduate Dean authorizes sending proposal to Board of Regents.

**BOARD OF REGENTS**
- Degree approval;
- Provost confirms Regents’ approval.

**CREATE CODE**
- OAAP directs Registrar to create new program code.

**PROGRAM LAUNCH**
- Unit works with Graduate Enrollment Management Services to create academic profile;
- Degree Program 5 year review cycle begins.

**ATTACHMENT**
A–2.1/204-16
4/14/16
STANDING COMMITTEES

Academic and Student Affairs Committee

Research Trends and Collaborative Research Program Examples

INFORMATION ITEM

This item is being presented for information only.

OVERVIEW

Each year since 1974, the University has been among the top five universities in the nation, both public and private, in federal research and training funds awarded. UW is consistently named number one or number two among public institutions receiving awards of federal funds for science and engineering. We are one of the few universities in the U.S. with total research funding over $1 billion. Our research portfolio is characterized by both depth and breadth, coming from 16 academic units comprising over 100 academic programs. This extensive research effort is inextricably intertwined with our educational mission, and benefits thousands of students every year.

CURRENT STATE AND TRENDS

Research funding has been relatively steady the past few years, with longer term projections based on AAAS statistics suggesting that total research funding will continue to be relatively flat over the next few years. Currently, funding is up a few % compared to the same time period last year.

Comparing trends, please note that in FY2010-11, additional federal funding under ARRA accounted for higher levels of award funding. In addition, the timing of the federal sequestration impacted award levels in FY 2013 and FY 2014. Federal sponsors delayed funding awards until the end of the federal fiscal year 2013, which is the beginning of UW’s fiscal year 2014. This artificially decreased awards in FY 2013 and artificially increased awards in FY 2014. Thus, although a 2.5% decrease in funding is shown in FY2015 compared to FY2014, the year-to-year funding is actually almost even. The line on Graph #1 shows that funding is declining in real dollars.

[SEE GRAPH #1 “Trends in Total Grant and Contract Awards in Millions”]

FEDERAL VS. NON-FEDERAL FUNDING TRENDS
Research Trends and Collaborative Research Program Examples (continued p. 2)

Over the past 4 years as federal funding has become increasingly difficult to obtain, a trend exists of slightly decreasing federal funding being offset by increases in nonfederal funds. Federal funding decreases span all major agencies, while the main increases in nonfederal funds are from foundations and industry.

[SEE GRAPH #2 “Awards Originating from Federal and Non-Federal Sponsors, in Millions”]
[SEE GRAPH #3 “Trends in Grant and Contract Awards by Originating Sponsor, in Millions”]
[SEE GRAPH #4 “Non-federal Awards”]

This funding comes from 4,981 awards ranging from those less than $50,000 to those in the tens of millions of dollars. This breadth of awards speaks to the breadth and quality of our researchers.

MARKETSHARE

Our marketshare of federal funding was steady at just under 3% for many years, but since 2011, has increased to about 3.5%. This increasing marketshare in the face of declining federal funds demonstrates the strength of our researchers and their competitiveness in a difficult funding climate.

[SEE GRAPH #5 “UW Marketshare of Federal Research Funding”]

EXPENDITURES

Despite the apparent ups and downs in awards, researchers are able to smooth out the spending of such funds, with expenditures in FY15 being 98% of expenditures in FY12.

[SEE GRAPH #6 “Direct and Indirect Expenditures from Sponsored Projects in Millions”]

COMPETITIVENESS AND COLLABORATIVE PROJECTS

As we look forward, we know the research climate will be more competitive, collaborative, and technology-reliant. Our core competitiveness comes from our combination of research quality and breadth, our innovative students, post-docs, and faculty, and our culture of collaboration. We are beginning to track collaborative projects and have preliminary indications of an upward trend over the past four years. We will soon refine this information and have solid data to present. The Office of Research currently manages a website that highlights our 288 research centers and institutes.
STANDING COMMITTEES

Academic and Student Affairs Committee

Research Trends and Collaborative Research Program Examples (continued p. 3)

SUMMARY

Our competitiveness will help us face the many challenges in the future. The funding climate continues to be difficult in many sectors. The never-ending onslaught of new regulations continues to challenge our ability to keep administrative burden to researchers to a minimum, but we are making progress through business redesign and deployment of electronic systems to replace paper processes. We will continue to work in partnership with campus on increasing competitiveness and meeting upcoming challenges.

EXAMPLES OF COLLABORATIVE RESEARCH PROGRAMS

Collaborative projects are an important part of our research effort. We will hear about two examples of collaborative projects, both involving data science and our eScience Institute.

Ed Lazowska, Computer Science and Engineering, will discuss the eScience Institute and focus on one of the collaborative projects under eScience, the Data Science for Social Good program.

http://escience.washington.edu/

Ginger Armbrust, Oceanography, will present information on the NSF Ocean Observing Initiative and the undersea cabled observatory off the coast of Washington and Oregon that the UW oversees.

http://www.interactiveoceans.washington.edu/story/NSF_Ocean_Observatories_Initiative
http://www.interactiveoceans.washington.edu/story/The_OOI_RSN_Cable_System

Attachments
1. Research Trends Graphs
2. Presenters’ Biographical Information
• Total Awards” describes award amounts in the fiscal year in which award letters were received and processed. “Total CPI Adjusted” indicates award amounts after adjusting for inflation using the average Consumer Price Index (CPI) values for 2015.
• From FY 2010 – 2011, additional federal funding under ARRA accounts for the higher levels of funding.
• The timing of the federal sequestration impacted award levels in FY 2013 and FY 2014. Federal sponsors delayed funding awards until the end of the federal fiscal year 2013, which is the beginning of UW’s fiscal year 2014. This artificially decreased awards in FY 2013 and artificially increased awards in FY 2014.
TRENDS IN GRANT AND CONTACT AWARDS BY ORIGINATING SPONSOR, IN MILLIONS

FEDERAL AWARDS

- National Science Foundation
- Department of Energy
- Department of Commerce
- National Aeronautics And Space Administration
- Environmental Protection Agency
- Department of Transportation
- Department of Health and Human Services

NON-FEDERAL AWARDS

- Industry
- State of Washington
- Other Government
- Foundations
- Associations and Non-Profits
- U.S. Institutes of Higher Learning
- Local Government
- Department of Defense
- Department of Education
- Other Federal
- Department of Agriculture
- Department of Veterans Affairs
- Department of the Interior

2012 2013 2014 2015

A–3.1/204-16
4/14/16
Originating sponsor funds
Adjusted to exclude financial aid

Based on National Science Foundation, National Center for Science and Engineering Statistics: Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: FY2009. Detailed Statistical Tables NSF 13-
Mary Lidstrom  
Vice Provost for Research  
Professor, Chemical Engineering and Microbiology  
Frank Jungers Chair of Engineering  

Dr. Lidstrom has served as Vice Provost for Research since 2005. She received a B.S. in Microbiology from Oregon State University, and a M.Sc. and Ph.D. in Bacteriology from the University of Wisconsin. Dr. Lidstrom conducted postdoctoral work as a Leverhulme Fellow in Microbiology at the University of Sheffield, and has held academic appointments in the Center for Great Lakes Studies in Milwaukee, Wisconsin and in Environmental Engineering Science at the California Institute of Technology.  

Research in Dr. Lidstrom's laboratory is focused on molecular and metabolic manipulations of bacteria that grow on one-carbon compounds. She is especially interested in research of both laboratory cultures and environmental communities of these bacteria, with applications to greenhouse gas emissions and sustainable energy.  

Professor Lidstrom has a long history of carrying out interdisciplinary education and research at the engineering/biology interface, and has been honored by the National Science Foundation, Howard Hughes Medical Institute, the American Association for the Advancement of Science, the American Academy of Microbiology, and the American Society for Microbiology for her outstanding achievements. She also oversees the UW Genomics Outreach to Minorities program, co-leads the UW Global Innovation Exchange program, and sits on the external board for Pacific Northwest National Laboratory. She is a member of the National Academy of Sciences.
Ed Lazowska
Bill & Melinda Gates Chair in Computer Science & Engineering
Adjunct Professor of Oceanography
Founding Director and Senior Data Science Fellow, UW eScience Institute
Founding Chair, Computing Community Consortium (2007-13)

Ed Lazowska holds the Bill & Melinda Gates Chair in Computer Science & Engineering at the University of Washington, where he also serves as the Founding Director of the University of Washington eScience Institute.

Ed received his A.B. from Brown University in 1972 and his Ph.D. from the University of Toronto in 1977, when he joined the University of Washington faculty. His research and teaching concern the design, implementation, and analysis of high performance computing and communication systems, and, more recently, the techniques and technologies of data-intensive discovery. He also has been active in public policy issues, ranging from STEM education to Federal strategies for research and innovation.

Lazowska is a Member of the National Academy of Engineering and a Fellow of the American Academy of Arts & Sciences. He serves as a board member or technical advisor for a number of high-tech companies, venture firms, and technology-oriented civic organizations. A long-time advocate for increasing participation in the field, he serves on the Executive Advisory Council of the National Center for Women & Information Technology, and on the National Research Council's Committee on Women in Science, Engineering, and Medicine.
Ginger Armbrust is the Director of the School of Oceanography. A biological oceanographer, she and her lab combine lab- and field-based techniques to study diatoms, a type of plankton. She works from the level of the cell all the way up to the community scale to understand how these organisms both shape and are shaped by their environmental conditions. She holds the Lowell A. and Frankie L. Wakefield Endowed Professorship, has been elected a Fellow of the American Association for the Advancement of Science, the American Academy of Microbiology, and the Washington State Academy of Science, and has twice been named a Gordon and Betty Moore Foundation Marine Microbiology Investigator.

She received an A.B. in Human Biology from Stanford University and a PhD in Oceanography from Massachusetts Institute of Technology and Woods Hole Oceanographic Institution. Dr. Armbrust conducted postdoctoral work at Washington University as a National Science Foundation Marine Biotechnology and Ocean Sciences Postdoctoral Fellow.
Presenters’ Biographical Information

Brendan Philip
Graduate, School of Oceanography

Brendan Philip is a recent graduate of the School of Oceanography at the University of Washington and will be expanding on his thesis research during the VISIONS ’14 cruise. His thesis focuses on the efficiency of methane transport from the seabed into overlying waters at Hydrate Ridge. The degree to which seafloor methane seeps contribute to atmospheric methane concentrations is largely uncertain, and further research into the pathways of methane transport is needed.

He grew up aboard a sailboat in Seattle and has spent a vast amount of time sailing in the Puget Sound and in British Columbia. Besides oceanography, Brendan’s academic interests include chemistry and geology. In his spare time, Brendan enjoys sailing as member of the UW Sailing team, as well as biking and hiking.

Nick Bolten
Graduate Student, Electrical Engineering

Nick Bolten works as graduate student in the Klavin Lab focusing on Protocol Assimilation. Nick was featured in GeekWire for winning “Hack the Commute” with his team (a hackathon that encouraged entrepreneurs to build solutions to fix the city’s transportation issues). His team, “Hackcessible” created an app that helped wheelchair bound Seattlites more easily navigate the city by using a map with overlay information about curb ramps and elevation changes across sidewalk segments.
Fabliha Ibnat
BS, Economics
BS, Information Systems

Fabliha has research experience in development and labor economics. She is also interested in gender and poverty, household consumption, resource economics, and food insecurity. She participated in the 2015 summer DSSG program, which included workshops on big data analysis, statistical software and high-level talks on the various facets of data science. She presented a poster, “The Effect of Female Labor Force Participation on Domestic violence: Evidence from Columbia” at the Annual Undergraduate Research Symposium.”. She also is Mary Gates Research Scholar and the won the 2014 Month of Microfinance Essay.
The fourth paradigm of discovery

1. Empirical + experimental
2. Theoretical
3. Computational
4. Data-Intensive

Each augments, vs. supplants, its predecessors – “another arrow in the quiver”
eScience Institute concept (2007)

• “All across our campus, the process of discovery will increasingly rely on researchers’ ability to extract knowledge from vast amounts of data... In order to remain at the forefront, UW must be a leader in advancing these techniques and technologies, and in making [them] accessible to researchers in the broadest imaginable range of fields.”
Major sources of support for our “core effort”

• University of Washington
  – $725,000/year for staff support
  – $600,000/year for faculty support

• National Science Foundation
  – $2.8 million over 5 years for graduate program development and Ph.D. student funding (IGERT)

• Gordon and Betty Moore Foundation and Alfred P. Sloan Foundation
  – $37.8 million over 5 years to UW, Berkeley, NYU

• Washington Research Foundation
  – $9.3 million over 5 years for faculty recruiting packages, postdocs
    • Also $7.1 million to the closely-aligned Institute for Neuroengineering
Genesis of the Moore/Sloan “Data Science Environments” effort

- The Foundations have a focus on novel advances in the physical, life, environmental, and social sciences
- They recognized the emergence of data-intensive discovery as an important new approach that would lead to new advances
- They perceived a number of impediments to success
- They sought partners who were prepared to work together in a distributed collaborative experiment focused on tackling these impediments
Our original core faculty team (much expanded now)

- **Data science methodology**
  - Cecilia Aragon
    - Human Centered Design & Engr.
  - Magda Balazinska
    - Computer Science & Engineering
  - Emily Fox
    - Statistics
  - Carlos Guestrin
    - CSE
  - Bill Howe
    - CSE
  - Jeff Heer
    - CSE
  - Ed Lazowska
    - CSE

- **Life sciences**
  - David Beck
    - Chemical Engr.
  - Tom Daniel
    - Biology
  - Bill Noble
    - Genome Sciences

- **Environmental sciences**
  - Ginger Armbrust
    - Oceanography
  - Randy LeVeque
    - Applied Mathematics
  - Thomas Richardson
    - Statistics, CSSS
  - Werner Stuetzle
    - Statistics

- **Social sciences**
  - Josh Blumenstock
    - iSchool
  - Mark Ellis
    - Geography
  - Tyler McCormick
    - Sociology, Statistics, CSSS

- **Physical sciences**
  - Andy Connolly
    - Astronomy
  - John Vidale
    - Earth & Space Sciences
Our original core faculty team (much expanded now)

Data science methodology
- Cecilia Aragon
  Human Centered Design & Engr.
- Magda Balazinska
  Computer Science & Engineering
- Emily Fox
  Statistics
- Carlos Guestrin
  CSE
- Bill Howe
  CSE
- Jeff Heer
  CSE
- Ed Lazowska
  CSE

Life sciences
- David Beck
  Chemical Engr.
- Tom Daniel
  Biology
- Bill Noble
  Genome Sciences
- Ginger Armbrust
  Applied Oceanography
- Randy LeVeque
  Applied Mathematics
- Thomas Richardson
  Statistics, CSSS
- Werner Stuetzle
  Statistics

Social sciences
- Josh Blumenstock
  iSchool
- Mark Ellis
  Geography
- Tyler McCormick
  Sociology, Statistics, CSSS

Physical sciences
- Andy Connolly
  Astronomy
- John Vidale
  Earth & Space Sciences

5 Schools / Colleges

13 Departments
Among our activities

- Educational initiatives at the Bachelors, Masters, and Doctoral levels, plus PCE certificate programs and Coursera MOOCs
- Hires of “pi-shaped” faculty (facilitated by the Provost and WRF)
- A vibrant program of dual-mentored postdocs and graduate students
- A permanent staff of superb Ph.D.-level Data Scientists spanning disciplines
- A collaboratory: the WRF Data Science Studio
- Myriad training and mentoring activities: short-courses, workshops, office hours
- Incubation program for data-intensive research projects
- Data Science for Social Good summer program
Predictors of Permanent Housing for Homeless Families

- Project leads: Neil Roche and Anjana Sundaram, The Bill and Melinda Gates Foundation
- DSSG Fellows: Fablina Ibat, Jason Portenoy, Chris Suberlak, Joan Wang
- ALVA students: Cameron Holt, Xilalit Sanchez
- Data Scientist Mentors: Ariel Rokem, Bryna Hazelton

In Snohomish, Pierce, and King counties

- There are over 4,000 homeless families in the Tri-county area every year
- Families spend on average 8 months moving from shelter to shelter
- Goal of the Bill & Melinda Gates Foundation and Building Changes: Cut family homelessness in half by 2020 and reduce the time a family spends homeless to 1 month
Homeless families may take many pathways through programs

- Emergency shelter
- Transitional housing
- Housing with services
- Rapid re-housing
- Permanent housing

Unsuccessful exit
Create data cleaning pipeline for messy Homeless Management Information Systems data
Develop visualizations to show how homeless families move through programs
Conduct analysis to identify predictors of permanent housing

- Emergency Shelter use tends to be associated with unsuccessful outcomes (unsurprising!)
- Homelessness Prevention programs more strongly associated with positive outcomes than transitional housing
- Substance abuse strongly associated with unsuccessful outcomes
- Parent employment strongest predictor of successful outcomes

Correlation with successful outcomes, by homelessness program

Correlation with successful outcomes, by family characteristics
As of 2010...

30.6 million people aged 15 and older had difficulty walking, climbing stairs, or use a wheelchair, cane, crutches, or walker.

23.9 million people had difficulty walking a quarter of a mile.

Informational Challenges

For street maps
- Street connections
- Fastest streets
- Fewest lights

For sidewalk maps
- Sidewalk connections
- Steepness
- Curb cuts

AccessMap Version 1

Info displayed on map
- Sidewalk locations
- Steepness
- Curb ramp locations

Users must self-route using info
Phase 1
- Learned mapping and tools
- Researched the problem and formulated a solution

Phase 2
- Wrote algorithms to automatically clean and annotate Seattle’s sidewalk data

Creating routable sidewalk data

Routing
- Not shortest path – most accessible path

Assessing the impact of downtown elevators on the accessibility of transit
NSF’s Cabled Array
Ocean Observatories Initiative

The Cabled Array is the largest and most advanced underwater cabled observatory in the world’s oceans spanning an entire tectonic plate and both coastal and global ocean environments. The fiber optic cables provide 2-way communication and data flow (including high definition imagery) at the speed of light from depths of >9500 ft beneath the ocean surface and from >300 miles offshore to an Operations Center at the School of Oceanography within the College of the Environment.

**Science:** The Cabled Array design involved input from nearly 300 scientists with research focused on, for example, climate change, ocean acidification, the global carbon cycle, biogeochemical processes in coastal environments, hypoxia events, seismicity along the Cascadia Subduction Zone, and how underwater volcanoes support the deep biosphere.

**Construction and Operations:** The submarine cabled observatory was constructed by the University of Washington through NSF’s Major Research Equipment and Facilities Construction fund with a build cost of $156.4M over a 6-year period. Since it became operational in 2014, the UW has received another $48.3M for Operations and Maintenance (O&M). The array was built with a life expectancy of 25 years. The current expected annual O&M is ~$10.3M, not including funding for future expansion.

The Cabled Array is operated and maintained by a core team within the School of Oceanography and the Applied Physics Laboratory (APL), as well as two engineers at a telecommunications Shore Station in Pacific City, Oregon. Staffing reaches at least 25 team members (which includes administration, scientists, and engineers) during summer months.

**THE CABLED OBSERVATORY IS LIVE**

**Director:** Dr. Deborah S. Kelley, School of Oceanography
**Program Manager:** Brian Ittig, School of Oceanography
**Chief Engineer:** Gary Harkins, Applied Physics Laboratory
when 30-40 day O&M cruises occur onboard the UW global class research ship the R/V Thompson utilizing an underwater remotely operated robotic vehicle (ROV) (e.g. http://interactiveoceans.washington.edu/story/VISIONS_15). The as-built system includes:

- 900 km of high power (8 kW) and high bandwidth (10 Gbs) fiber optic cables
- 7 underwater substations called Primary Nodes
- 18 Secondary junction boxes
- 33,000 m of extension cables
- 140 instruments of >30 types
- 6 state-of-the-art moorings with instrumented wire crawlers and winched profilers that rise 9000 feet above the seafloor

Submarine Infrastructure

Primary Infrastructure: A telecommunications Shore Station in Pacific City, Oregon provides 8 kW power and 10 Gbs bandwidth to 900 km of fiber optic cables installed on the seafloor. The backbone cables are connected to underwater substations called Primary Nodes (Figure 1) that distribute power and bandwidth to other Primary Nodes and extension cables connected to smaller nodes called junction boxes (Figure 2). All Primary Infrastructure was built and installed by L3 MariPro. This $90M piece of infrastructure has been operational since 2014. Health of the system is monitored continuously at the Operations Center and at the Shore Station, with several hundred alerts and alarms in place that provide instantaneous notification if there is an event (e.g. power outages, current spike etc).

Secondary Infrastructure: A complex array of Secondary Infrastructure forms the “science” foundation for the Cabled Array. It includes junction boxes, extension cables, instrumented moorings and seafloor instruments (Figures 2, 3 and 6). All Secondary Infrastructure was built and/or acquired by APL and the School of Oceanography. APL engineers designed and built all junction boxes, which are configured for each installation site. They provide power and bandwidth to the sensors and moorings, and they can be daisy-chained for ease in expansion. A major requirement in the array design was that this system be built with significant refresh and expansion capabilities. All 18 junction boxes have been operational since 2014.

Instruments: A pride of the Cabled Array is the diverse suite of instruments that transmit data at sampling rates higher than ever before possible 24/7/365. Cabled instruments include in situ mass spectrometers, seismometers, hydrophones (for mammal detection and tracking), DNA and fluid samplers, high definition video (Figure 3 - see http://novae.ocean.washington.edu/story/Ashes_CAMHD_Live), digital still cameras, pH and carbon dioxide sensors, pressure sensors (for tsunami and tide monitoring), and an array of biological and physical oceanographic sensors (e.g. fluorometers and acoustic doppler current profilers).
The power of this cabled network was readily visible in Spring 2015 when numerous instruments detected the beginning of an underwater eruption >300 miles offshore that resulted in a >400 ft thick lava flow at Axial Seamount. On April 24, 2015 the seismic array on the volcano recorded >8000 earthquakes over a 24 hr period (Figure 4), bottom pressure-tilt instruments indicated that the seafloor fell >7 feet over that same period, and the hydrophone array recorded hundreds of explosions - all streamed live to shore. The cable gave scientists from across the country their first glimpse in real-time of a submarine volcanic eruption. Over 90 researchers and students are now downloading the real-time seismic and acoustic data.

Over 130 instruments and major mooring components were recovered and reinstalled during our first O&M cruise in 2015 utilizing the ROV ROPOS. VISIONS’15 (see http://interactiveoceans.washington.edu/story/VISIONS_15). We have a remarkable success rate for this first-of-a-kind system with 80% of the instruments operational as of March 2016 (Figure 5). Instruments and mooring platforms will be turned again during the VISIONS ’16 expedition July - August, 2016.
Engineering and science data from all sensors stream to shore at the UW. The fiber optic cable allows real-time command and control capabilities that include control of the sensors, wire crawlers, and cameras. This provides critical event response capabilities such that, for example, a camera look-angle can be changed to examine a burst of methane rising from the seafloor, fluid samples can be taken in response to a volcanic eruption, and high resolution oxygen and chlorophyll measurements can be made at a specific depth interval in response to a thin, biologically-rich layer of water passing over a mooring site beneath the oceans surface (and hence not detectable by satellites). In concert, these capabilities are revolutionizing our ability to monitor, and respond to, key dynamic processes that impact our oceans and their health.

Education

As part of the UW’s dedication to STEM education, each of the Cabled Array cruises takes 20-45 undergraduate and graduate students out to sea on the R/V Thompson. The students span all disciplines at
the University including engineering, oceanography, digital arts, business etc. Onboard they work side by side Cabled Array scientists and engineers, as well as the ROV team and ship crew. They stand 4 hrs on and 8 hrs off watches in the ROV control room and develop their own science and outreach projects (Figures 7-8) (e.g. http://interactiveoceans.washington.edu/story/Student_Projects_V14 ).

**Significant Growth**

Unique to other components of the OOI, the power and bandwidth capabilities built into the Cabled Array means that there are very significant expansion capabilities in terms of footprint, instruments and platforms.

The NSF just opened up opportunities for scientists to add infrastructure onto the OOI system: the Cabled Array team has been approached by multiple US and International scientists and the NAVY to add instruments and platforms onto the network. A team of German researchers are very likely to receive >$1M for the addition of cabled sensors at the Southern Hydrate Ridge methane seep site in 2017-2018. Another German scientist is pursuing the addition of an instrumented, next-generation seafloor crawler that is driven from >5000 miles away, armed with 4K stereo cameras and chemical sensors (Figure 9). The Moore Foundation has recently provide $1M to the School of Oceanography, Earth and Space Sciences, and APL to conduct a desktop study and research focused on expanding the Cabled Array into a real-time offshore seismic and tsunami early warning detection system from northern California to the tip of the Olympic Peninsula. Costs of such an array would likely be $400-500M, and the UW would build and operate this new system.

The UW also has the opportunity to lead the US in e-science research and educational programs that utilize the diverse large data sets coming off this network. This includes expansion of the Ocean Technology program that allows students to build instruments and deploy them onto the student-driven cabled observatory (ERIS - http://www.ocean.washington.edu/story/ERIS) now installed off the School of Oceanography dock. The Cabled Array team looks forward to working with the UW to promote growth of this transformational network and its use.

![Figure 7](image7.jpg) School of Oceanography undergraduates offload a seafloor fluid flow sensor to begin sampling several hundred fluid samples from a 1-year installation on the Cabled Array.

![Figure 8](image8.jpg) A School of Oceanography sophomore leads a robotic vehicle dive - here directing a pilot to image a methane seep as part of her 4-year research project at this site. Her study provides the first detailed characterization of the biology at an active methane seep site and will be published this year.

![Figure 9](image9.jpg) The Bremen, Germany crawler “Wally” traverses across the seafloor at a seep site off of Vancouver Island. The lead PI has approached the Cabled Array team to install a next generation crawler at the methane seep site, Southern Hydrate Ridge, in 2017.
In the March board meeting, the Board received an overview of UW faculty demographics and hiring, including a more detailed overview of strategic hiring within College of Arts and Sciences.

At the Board’s request, a follow-on presentation is being provided to discuss specific initiatives in the Office for Faculty Advancement and also to provide an overview on faculty separations from the UW.

**Initiatives in the Office for Faculty Advancement**

The Office for Faculty Advancement (OFA) promotes the hiring, retention, and success of a diverse and inclusive faculty at the University of Washington. Associate Vice Provost Chadwick Allen works closely with the Office of the Provost and the Office of Minority Affairs and Diversity to implement recruitment and retention goals articulated in the university-wide Diversity Blueprint and to support recent provisions of the Faculty Code that recognize excellence in research, teaching, and service that promotes diversity and equal opportunity.

The Office for Faculty Advancement supports a range of major programs:

- **Handbook of Best Practices for Faculty Searches and Online Toolkit** – a concise Handbook divided into six steps of the search process, supported by an expansive Toolkit of sample materials and additional resources.

- **Faculty Recruitment Initiative (FRI)** – funds provided by the Office of the Provost to enrich recruitment offers for new hires that will enhance a unit’s diversity profile in research, teaching, service, and/or outreach.

- **Greater Washington State Higher Education Recruitment Consortium (GWS HERC)** – our regional chapter of a national organization focused on increasing access to talented and diverse applicant pools and improving collaborations in cases of dual-career hiring; established at the UW in
STANDING COMMITTEES

Academic and Student Affairs Committee

Office for Faculty Advancement Initiatives and Faculty Separation Overview
(continued p. 2)

October 2013.

• Faculty Advancement Initiative (FAI) – promotes collaborations with colleges, schools, campuses, and individual units to advance the careers of faculty and to promote ongoing training in diversity/inclusion and faculty advancement for university leadership.

• UW institutional membership with the National Center for Faculty Development and Diversity (NCFDD) – an external mentoring resource for faculty, post-docs, and graduate students that includes access to online courses, monthly writing challenges, and a webinar curriculum.

Associate Vice Provost Chad Allen will provide an oral report to the board on recent OFA initiatives, ongoing activities, and goals moving forward.

Faculty Separations Overview

The Office of the Vice Provost for Academic Personnel produces an annual report on faculty separation from the UW. Most recent data and information is included in the attachment.

Attachment
Separations – 2014-15 Faculty Separations from the UW
Separations

This report provides information about the professorial faculty who separated from the University of Washington during the 2014-15 academic year, between November 1, 2014 and October 31, 2015.

Professorial Faculty Separations by Type

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<th>Retired</th>
<th>Denied</th>
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# Resignations

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<td><strong>Professor</strong></td>
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### Resignations by School/College/Campus

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### Resignations by Professorial Rank and Gender

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### Resignations by Gender Totals

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<td>(19.6%)</td>
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<td>(0%)</td>
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<td>3</td>
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<td>(23.5%)</td>
<td>(4.7%)</td>
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## Reasons Cited for Resignations

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<td>Resignation – Accepted Non-Teaching Position</td>
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<td>Personal Reasons</td>
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<td>Better Job Opportunities</td>
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<td>Resignation Due to Relocation</td>
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## Retirements

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<td>Associate Professor</td>
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<td>Associate Professor without Tenure</td>
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<td>Research Associate Professor</td>
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<td>12.6%</td>
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<tr>
<td>Professor</td>
<td>Research Professor</td>
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<td>9.2%</td>
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<tr>
<td><strong>Professor</strong></td>
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**Retirements by School / College / Campus**

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<tr>
<th>School, College or Campus</th>
<th>Count</th>
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<tr>
<td>College of Arts and Sciences</td>
<td>25</td>
<td>28.7%</td>
</tr>
<tr>
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### Voluntary Retirement Incentive by School/College/Campus

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STANDING COMMITTEES

Academic and Student Affairs Committee

Faculty Demographics and Hiring in the Health Sciences

INFORMATION ITEM

This item is being presented for information only.

BACKGROUND

At the March board meeting, the Board received an overview of UW faculty demographics and hiring, including a more detailed overview of strategic hiring within College of Arts and Sciences.

At the Board’s request, a follow-on presentation is being provided to discuss faculty demographics and hiring specifically in the health sciences.

The Office of Academic Personnel updated the 2015 faculty demographic and hiring data provided at the March board meeting to highlight the health sciences specifically. In addition, a report on faculty demographics by rank is provided to the board again specifically to show detail on demographics for clinical faculty.

Leadership from UW Dentistry, Medicine and Pharmacy will also provide oral reports to the board on three related topics:

- Coordination and collaboration across Health Sciences
- Specific efforts and initiatives to support faculty diversity and inclusive hiring practices
- Strategic hiring context and practices at specific schools

Attachments
1. 2015 Faculty Demographics in the Health Sciences
2. 2015 Faculty Demographics by Rank
## 2015 Professorial Faculty by School, College, and Campus

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<th>Acting Assistant Professor, pending PhD (0123)</th>
<th>Professor WOT (0111)</th>
<th>Associate Professor WOT (0112)</th>
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* Health Sciences includes School of Dentistry, School of Medicine, School of Nursing, School of Pharmacy, and School of Public Health
** Data aggregated for the Health Sciences to protect personally identifiable information
Data is based on the October 31, 2015 appointment snapshot
Prepared by the Office of Academic Personnel for the April 14, 2016 Board of Regents
## New Professorial Hires* By School/College/Campus

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* Tenure track/tenure, without tenure by reason of funding, research
** Includes Forest Resources and Ocean & Fishery Sciences in years prior to reorganization

Created by the Office of Academic Personnel for the April 14, 2016 Board of Regents
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<td>0</td>
<td>14</td>
<td>1</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>0438 Visiting Scholar</td>
<td>265</td>
<td>109</td>
<td>156</td>
<td>0</td>
<td>0</td>
<td>70</td>
<td>2</td>
<td>4</td>
<td>0</td>
</tr>
<tr>
<td><strong>Others Total</strong></td>
<td>487</td>
<td>222</td>
<td>264</td>
<td>19</td>
<td>1</td>
<td>99</td>
<td>6</td>
<td>14</td>
<td>0</td>
</tr>
</tbody>
</table>

### Clinical Faculty - Salaried

| Clinical Professor, salaried | 74 | 18 | 55 | 1 | 0 | 5 | 2 | 1 | 0 | 63 | 0 | 0 | 3 |
| Clinical Associate Professor, salaried | 159 | 90 | 66 | 3 | 1 | 21 | 2 | 7 | 0 | 110 | 3 | 0 | 15 |
| Clinical Assistant Professor, salaried | 240 | 147 | 89 | 4 | 0 | 51 | 6 | 9 | 1 | 129 | 4 | 4 | 36 |
| Clinical Instructor, salaried | 180 | 99 | 78 | 3 | 1 | 25 | 0 | 10 | 2 | 87 | 3 | 1 | 51 |
| **Clinical Faculty - Salaried Total** | 653 | 354 | 298 | 11 | 2 | 102 | 10 | 27 | 3 | 389 | 10 | 5 | 106 |

### Clinical Faculty - Dental Pathway

| Clinical Professor, Dental Pathway | 17 | 6 | 11 | 0 | 0 | 4 | 0 | 2 | 0 | 10 | 0 | 0 | 1 |
| **Clinical Faculty - Dental Pathway Total** | 17 | 6 | 11 | 0 | 0 | 4 | 0 | 2 | 0 | 10 | 0 | 0 | 1 |

### Clinical Faculty

| Clinical Professor | 344 | 68 | 276 | 6 | 1 | 20 | 4 | 3 | 0 | 291 | 0 | 0 | 25 |
| Clinical Associate Professor | 766 | 227 | 511 | 28 | 2 | 53 | 10 | 16 | 0 | 596 | 1 | 2 | 86 |
| Clinical Assistant Professor | 1500 | 639 | 791 | 70 | 2 | 137 | 12 | 31 | 2 | 880 | 14 | 4 | 418 |
| Clinical Instructor | 2444 | 1178 | 1149 | 117 | 9 | 188 | 17 | 47 | 0 | 1074 | 29 | 7 | 1073 |
| **Clinical Faculty Total** | 5177 | 2188 | 2766 | 223 | 15 | 405 | 43 | 101 | 2 | 2915 | 45 | 14 | 1637 |

### Senior Fellows

| Senior Fellow Trainee | 203 | 124 | 79 | 0 | 2 | 30 | 7 | 13 | 0 | 103 | 8 | 4 | 36 |
| **Senior Fellow Total** | 426 | 188 | 238 | 0 | 0 | 114 | 9 | 35 | 0 | 184 | 8 | 11 | 65 |

### APL Faculty

| APL Professor WOT / APL Associate Professor WOT / APL Assistant Professor WOT | 12 | 2 | 10 | 0 | 0 | 1 | 0 | 0 | 0 | 10 | 0 | 0 | 1 |
| **APL Faculty Total** | 12 | 2 | 10 | 0 | 0 | 1 | 0 | 0 | 0 | 10 | 0 | 0 | 1 |

### Affiliate Faculty

| Affiliate Professor | 715 | 125 | 522 | 68 | 3 | 51 | 4 | 13 | 0 | 439 | 3 | 1 | 201 |
| Affiliate Associate Professor | 477 | 135 | 298 | 44 | 0 | 25 | 4 | 11 | 0 | 308 | 1 | 1 | 127 |
| Affiliate Assistant Professor | 774 | 271 | 461 | 42 | 1 | 78 | 0 | 24 | 1 | 430 | 7 | 3 | 230 |
| Affiliate Instructor | 822 | 450 | 331 | 41 | 1 | 79 | 9 | 19 | 1 | 446 | 11 | 3 | 253 |
| **Affiliate Faculty Total** | 2788 | 961 | 1612 | 195 | 5 | 233 | 17 | 67 | 2 | 1623 | 22 | 8 | 811 |

### Extension Lecturers

| Extension Lecturer, Part-time | 6 | 5 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 6 | 0 | 0 | 0 |
| Extension Lecturer, Full-time | 41 | 26 | 15 | 0 | 0 | 2 | 0 | 1 | 0 | 34 | 1 | 2 | 1 |
| Extension Lecturer | 596 | 264 | 285 | 7 | 3 | 21 | 6 | 11 | 0 | 222 | 3 | 1 | 289 |
| **Extension Lecturers Total** | 603 | 295 | 301 | 7 | 3 | 23 | 6 | 12 | 0 | 262 | 4 | 3 | 290 |
STANDING COMMITTEES

Academic and Student Affairs Committee

Institute for Health Metrics and Evaluation Board New Appointment and Reappointments

RECOMMENDED ACTION

It is the recommendation of the University President and the Academic and Student Affairs Committee that the Board of Regents make the following new appointment to the Institute for Health Metrics and Evaluation (IHME) Board:

**New Appointment**  
Victor Dzau  
6/1/16 through 6/30/19

**Reappointments**  
Sally Davies  
7/1/16 through 6/30/19  
Lincoln Chen  
7/1/16 through 6/30/17  
Stephen Cucchiaro  
7/1/16 through 6/30/19  
John Stanton  
7/1/16 through 6/30/19

BACKGROUND

Article I, section 1.1 of the IHME Board Bylaws states “The Board shall consist of nine (9) members. The Board members shall be appointed by the Board of Regents from nominations submitted by the President. The Chair of the Board of Regents shall appoint the Chair of the Board. Four members shall be from key global health institutions but shall serve in their individual capacity, four members shall be eminent scientists or policy makers from around the world, and the Chair of the Board shall be a leading figure with a scientific background and substantial leadership experience with health policy programs.

The term of office of each appointed Board member shall be three years. No appointed Board member may serve more than three successive three-year terms. However, the terms of Board members shall be staggered so that no more than one-third (1/3) of the members will expire simultaneously on the last day of June in any one year. Whenever more than one third (1/3) of the members’ final terms expire simultaneously, lots will be drawn to determine which expiring term shall be extended for one more year to eliminate this condition.”
Dr. Victor Dzau is president of the National Academy of Medicine. Prior to his current position, he served as president and CEO of Duke University Health System and Hersey Professor of Theory and Practice of Medicine and Chairman of Medicine at Harvard Medical School’s Brigham and Women’s Hospital. Dr. Dzau has made a significant impact on medicine through his seminal research in cardiovascular medicine and genetics, his pioneering of the discipline of vascular medicine, and his leadership in health care innovation. His important work on the renin angiotensin system (RAS) paved the way for the contemporary understanding of RAS in cardiovascular disease and the development of RAS inhibitors as widely used, lifesaving drugs. Dr. Dzau also pioneered gene therapy for vascular disease, and his recent work on stem cell paracrine mechanisms and the use of microRNA in direct reprogramming provides novel insight into stem cell biology and regenerative medicine. Among his honors and recognitions are the Gustav Nylin Medal from the Swedish Royal College of Medicine; the Max Delbruck Medal from Humboldt University, Charité, and the Max Planck Institute; the Commemorative Gold Medal from the Ludwig Maximilian University of Munich; the Inaugural Hatter Award from the Medical Research Council of South Africa; the Polzer Prize from the European Academy of Sciences and Arts; the Novartis Award for Hypertension Research; the Distinguished Scientist Award from the American Heart Association (AHA); and the AHA Research Achievement Award for his contributions to cardiovascular biology and medicine. Recently, he was awarded the Public Service Medal by the President of Singapore. He has received eight honorary doctorates.

Dr. Lincoln Chen is President of the China Medical Board of Cambridge, MA. In 2001-2006, Dr. Chen founded and directed the Global Equity Initiative of Harvard University’s Asia Center. In an earlier decade, 1987-1996, Dr. Chen was the Taro Takemi Professor of International Health and Director of the university-wide Harvard Center for Population and Development Studies. In the five years 1997-2001, Dr. Chen served as Executive Vice-President of the Rockefeller Foundation, and in 1973-1987, he represented the Ford Foundation in India and Bangladesh. From 2001-2007, Dr. Chen was Chair of the Board of Directors of CARE/USA. He currently serves as a Board member of the Social Science Research Council, the Secretary-General’s Global Advisory Board.
STANDING COMMITTEES

Academic and Student Affairs Committee

Institute for Health Metrics and Evaluation Board New Appointment and Reappointments (continued p. 3)

to the UN Fund for International Partnership, BRAC Foundation USA, the Public Health Foundation of India, the Carso Instituto de la Salud, and the Institute for Health Metrics and Evaluation. In 2004-2007, he was the Special Envoy of the WHO Director-General in Human Resources for Health, and in 2006, he was elected the first Board Chair of the Global Health Workforce Alliance. Dr. Chen is a member of the National Academy of Sciences’ Institute of Medicine, the American Academy of Arts and Sciences, the Council on Foreign Relations, and the World Academy of Arts and Sciences. He graduated from Princeton University (BA), Harvard Medical School (MD), and the Johns Hopkins School of Public Health (MPH).

Stephen Cucchiaro is the Chief Investment Officer of Windhaven Investment Management, Inc., a Boston-based global investment advisory firm managing over $18 billion in assets as of October, 2013 for individuals, trusts, retirement plans, foundations and endowments. Through his research, Mr. Cucchiaro has developed a proprietary model of key economic, fundamental and behavioral relationships driving the global capital markets. He earned a B.S. in Mathematics at M.I.T. and an M.B.A. in Finance at Wharton, where he began to apply the principles of nonlinear dynamic systems from science and engineering to portfolio theory and investment management. In 2010 The Charles Schwab Corporation (Windhaven's parent company) purchased the assets and intellectual property of Windward Investment Management, a company founded by Mr. Cucchiaro. Prior to founding Windward, Mr. Cucchiaro held positions as a management consultant, senior economist and technology entrepreneur. He was president and co-founder of Datext which was sold to Lotus Development Corporation, and president of ICAD which he helped position for IPO and sale to Oracle Corporation. Mr. Cucchiaro has appeared on Bloomberg TV and Radio, CNBC and the Nightly Business Report and has been quoted in The Wall Street Journal, Barron's, The Financial Times, Forbes and Businessweek. During the late 1970s, Mr. Cucchiaro was a member of the U.S. Olympic Team in yacht racing and became national champion of his class in 1978 and Gold Medalist in the 1979 Pan American Olympic Games.
STANDING COMMITTEES

Academic and Student Affairs Committee

Institute for Health Metrics and Evaluation Board New Appointment and Reappointments (continued p. 4)

Sally Davies is Chief Medical Officer for the United Kingdom. Prior to her current position, Sally Davies served as the Director General of Research and Development and Chief Scientific Adviser for the Department of Health and National Health Service in the United Kingdom, where she developed the National Institute for Health Research. She chairs the UK Clinical Research Collaboration and is a member of several international councils and boards, including the Office for Strategic Co-ordination of Health Research and the Medical Research Council, the World Health Organization Global Advisory Committee on Health Research, the International Advisory Committee for A*STAR, Singapore, and the Caribbean Health Research Council. Sally Davies also advises many organizations, including the Australian National Health and Medical Research Council, on research strategy and evaluation.

John Stanton is Co-founder and Managing Director of Trilogy Partnership, a private equity firm for early stage wireless opportunities, headquartered in Bellevue, Washington. Until July, 2013, he was Chairman of Clearwire Corporation which was acquired by Sprint for $3.8B+. From 2001 to 2003, John served as Chairman and CEO of Deutsche Telecom, which later became T-Mobile USA. John is Co-founder of three top-10 wireless operators in the United States over the last 25 years including VoiceStream Wireless (founded in 1995, he was Chairman and CEO from 1995-2001, sold to Deutsche Telecom in 2001 for $50.7B), Western Wireless Corporation (founded in 1989, he was Chairman and CEO from 1989-2005, acquired by Alltel in 2005 for $6.2B), and McCaw Communications (founded 1982, he was COO and Vice Chairman until 1989, sold in 1994 to form AT&T Wireless). John serves on the Board of Columbia Sportswear.
Academic and Student Affairs Committee

Institute for Health Metrics and Evaluation Board New Appointment and Reappointments (continued p. 5)

### IHME BOARD APPOINTMENT DATES

<table>
<thead>
<tr>
<th>Name</th>
<th>Appointment Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lincoln Chen</td>
<td>7/1/16 through 6/30/17</td>
<td>Reappointment</td>
</tr>
<tr>
<td>Stephen Cucchiaro</td>
<td>7/1/16 through 6/30/19</td>
<td>Reappointment</td>
</tr>
<tr>
<td>Sally Davies</td>
<td>7/1/16 through 6/30/19</td>
<td>Reappointment</td>
</tr>
<tr>
<td>Victor Dzau</td>
<td>6/1/16 through 6/30/19</td>
<td>New Appointment</td>
</tr>
<tr>
<td>Julio Frenk (Chair)</td>
<td>6/1/14 through 6/30/17</td>
<td></td>
</tr>
<tr>
<td>Jane Halton</td>
<td>6/1/14 through 6/30/17</td>
<td></td>
</tr>
<tr>
<td>Nafsiah Mboi</td>
<td>6/1/15 through 6/30/17</td>
<td></td>
</tr>
<tr>
<td>David Roux</td>
<td>6/1/14 through 6/30/17</td>
<td></td>
</tr>
<tr>
<td>John Stanton</td>
<td>7/1/16 through 6/30/19</td>
<td>Reappointment</td>
</tr>
</tbody>
</table>
STANDING COMMITTEES

Finance and Asset Management Committee

School of Dentistry – Approval of Financial Stability Plan

RECOMMENDED ACTION

It is the recommendation of the administration and the Finance and Asset Management Committee that the Board of Regents approve the School of Dentistry Financial Stability Plan.

BACKGROUND

Founded in 1945, the School of Dentistry has long been acknowledged as a national and global leader in oral health. Firmly grounded in a foundation of basic and applied science, the School focuses on wide-ranging research in evidence-based dentistry, dental materials, oral biology, oral medicine, behavioral science and other disciplines.

In 2007, the School of Dentistry partnered with Children’s Hospital and Regional Medical Center (Children’s) to open a pediatric dentistry clinic in the Washington Dental Services (WDS) Building. The project’s goal was to improve outcomes in childhood oral health by implementing new clinical methods, expanding clinical services, and providing greater visibility and accessibility to the community. The partnership dissolved in 2013.

In addition to other funding, the School of Dentistry received an Internal Lending Program (ILP) loan of $12.3 million in 2009 to finance renovations to the WDS Building. There is a current ILP balance of $10.6 million. The financing agreement included a 1.25x debt service coverage minimum. This requirement has not been met.

The School of Dentistry has accumulated a deficit of $29 million as of December 31, 2015, related to its self-sustaining clinical operations. Of that amount, $17 million is associated with the Department of Pediatric Dentistry and its clinical operations in the WDS Building. An additional $12 million of the deficit is associated with operating losses associated with the School’s other clinical and self-sustaining operations.

BUSINESS CASE

The School of Dentistry in collaboration with the Offices of Planning and Budgeting and Treasury created a Financial Stability Plan that halts the growing
STANDING COMMITTEES

Finance and Asset Management Committee

School of Dentistry – Approval of Financial Stability Plan (continued p. 2)

deficit associated with the School’s clinical operations in FY 2017. The School of Dentistry has updated its five year proforma to reflect the new business plan.

FINANCING PLAN

The School of Dentistry is committing to a zero bottom line beginning FY 2017. This will be accomplished through revenue enhancements, expense reductions, reorganizations, and space optimization. In addition, a comprehensive review of the departments and clinical operations will be conducted by the School. The Department of Oral Surgery’s Faculty Practice will re-locate to the WDS Building and the School will make space available in the Magnuson Health Sciences Center for other non-dental revenue generating enterprises.

The School of Dentistry will report on the progress of this plan semi-annually beginning in October 2016.

ADMINISTRATIVE REVIEWS AND APPROVALS

The Financial Stability Plan has been reviewed and approved by the Senior Vice President for Planning and Management, the Interim Vice President for Finance and Facilities, and the Associate Vice President for Treasury.

Attachment
School of Dentistry Clinical Operations Financial Stability Plan
School of Dentistry
Clinical Operations
Financial Stability Plan

F–1.1/204-16
4/14/16

UNIVERSITY of WASHINGTON

Board of Regents
April 2016
Executive Summary

> The School of Dentistry has not met its internal loan covenants

  - The loan is associated with the buildout of the Washington Dental Service (WDS) Building. The outstanding balance is $10.6 million as of 12/31/15.
  - The total deficit for the School has grown to $29 million as of 12/31/15:
    > $17 million is associated with the Department of Pediatric Dentistry
    > $12 million is associated with the School’s other clinical and self-sustaining operations

> The School of Dentistry in collaboration with the Offices of Planning and Budgeting (OPB) and Treasury created a Financial Stability Plan (FSP) that halts the growing deficit associated with the School’s clinical operations:

  - $3.5 million in expense reductions beginning in FY16
  - $1.7 million in revenue enhancements beginning in FY17
  - $1.5 million one-time grant in FY17
School of Dentistry

> Founded in 1945, the School of Dentistry (SOD) has long been acknowledged as a national and global leader in oral health

– The only dental school in the states of Washington, Wyoming, Alaska, Montana and Idaho (WWAMI)
– Produced more than 4,000 dentists since inception
– The SOD consists of 8 departments covering most dental specialties
– There are 16 physical clinics within the School operating 25 student programs or faculty practices
– There are 251 pre-doctoral students and 58 post-doctoral students
– More than 95,000 patient visits in FY2015
– Provides dental care for those who otherwise would have barriers to accessing quality health services

> In 2010, the Washington Dental Services (WDS) Building became the home of the Department of Pediatric Dentistry. The Department is a leader in pediatric dental education and research whose mission is to reduce the incidence of preventable dental disease among our children.
In 2007, the University partnered with Children’s Hospital and Medical Center (Children’s) to build a pediatric dentistry clinic at Sand Point to:

- Increase capacity for the School to effectively meet its service mission
- Improve visibility and access to the community
- Expand the partnership with Children’s
- Generate adequate revenues to support the cost of providing service

Funding was approved by the Board of Regents on November 20, 2008

- Combination of debt and equity

<table>
<thead>
<tr>
<th>Sources of funds</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Washington Dental Service contribution</td>
<td>$5,000,000</td>
</tr>
<tr>
<td>Children’s Hospital contribution</td>
<td>1,000,000</td>
</tr>
<tr>
<td>Internal Lending Program (ILP) loan</td>
<td>11,339,697</td>
</tr>
<tr>
<td>Equipment loan</td>
<td>2,621,017</td>
</tr>
<tr>
<td><strong>Total Sources of Funds</strong></td>
<td><strong>$19,960,714</strong></td>
</tr>
</tbody>
</table>
Principal Causes for Deficits

> The cost structure for the School of Dentistry is heavily weighted on the clinical practice component

> The use of Apple Health (Medicaid) has shifted payor mix from primarily self-pay and private insurance to >50% Apple Health in pre-doctoral and some post-doctoral clinics

> The assumptions in the original WDS Building proforma for the pediatric dentistry clinic are no longer valid:
  - Apple Health reimbursements do not cover the costs of service
  - The payor mix in the Department of Pediatric Dentistry is 80% Apple Health and 20% private insurance and self-pay
  - Patient volumes did not materialize
  - The operating partnership with Children’s Hospital dissolved in FY13
WDS Building Proforma vs. Actual

2008 Proforma was based on the projected revenues and expenses of the new pediatric dentistry clinic

<table>
<thead>
<tr>
<th></th>
<th>FY08 Proforma*</th>
<th>FY15 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apple Health Reimbursement Rate</td>
<td>60%</td>
<td>35%</td>
</tr>
<tr>
<td>Private Insurance Reimbursement Rate</td>
<td>100%</td>
<td>70%</td>
</tr>
<tr>
<td>Annual Visits</td>
<td>40,084</td>
<td>21,266</td>
</tr>
<tr>
<td>Percentage of Restorative/Surgical Visits</td>
<td>30%</td>
<td>10%</td>
</tr>
<tr>
<td>Dental Surgery Center</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Children's Hospital</td>
<td></td>
<td></td>
</tr>
<tr>
<td>rooms with Facility Fee</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department operating 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>rooms with no Facility Fee</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Annual Revenue</td>
<td>$13.4 Million</td>
<td>$3 Million</td>
</tr>
<tr>
<td>Annual Operating Margin</td>
<td>$3.5 Million</td>
<td>-$3.6 Million</td>
</tr>
</tbody>
</table>

* These are the 2008 assumptions for 2015
# Performance Initiatives 2010 - Present

<table>
<thead>
<tr>
<th>Date</th>
<th>Initiative</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>OPB identified and communicated to the School</td>
<td>Reports were designed to monitor clinic operations</td>
</tr>
<tr>
<td>2011</td>
<td>OPB increased outreach efforts to the School</td>
<td>SOD began to explore process improvements</td>
</tr>
<tr>
<td>2012</td>
<td>Identified key processes to define and/or refine</td>
<td>First deficit reduction plan submitted</td>
</tr>
<tr>
<td>2013</td>
<td>SOD centralized purchasing to standardize supplies and materials</td>
<td>Consolidated suppliers and standardized items</td>
</tr>
<tr>
<td>2014</td>
<td>OPB and SOD began tracking patient mix and volume</td>
<td>OPB recommended changes to fee structure, billing and centralizing administrative operations</td>
</tr>
<tr>
<td>2014</td>
<td>SOD centralized billing operations across school</td>
<td>Days in AR reduced by 43%, % of open line items improved by 46%</td>
</tr>
<tr>
<td>2014</td>
<td>SOD implemented a new patient intake process to reduce time from first contact to treatment start</td>
<td>Reduced time from 12 weeks to 4 weeks</td>
</tr>
<tr>
<td>2015</td>
<td>Implement third year clerkship clinic model</td>
<td>Increased new patient numbers, visits, treatments, production</td>
</tr>
<tr>
<td>2015</td>
<td>Established agreement with Intercollegiate Athletics to provide dental services to student athletes</td>
<td>Began seeing patients in 12/2015</td>
</tr>
<tr>
<td>2016</td>
<td>Internal Audit reviewed the controls the Pediatric Dentistry Clinic</td>
<td>Revealed six findings that will be resolved in the next twelve months</td>
</tr>
</tbody>
</table>
### SOD Treatment Charges and Operating Margin
Projected Fiscal Year 2016

Half the projected charges in FY16 will be paid by Apple Health, which does not fully cover the cost of care

<table>
<thead>
<tr>
<th>Payor</th>
<th>Patient</th>
<th>Charges</th>
<th>Revenue</th>
<th>Expenses</th>
<th>Operating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apple Health</td>
<td>50%</td>
<td>$14,357</td>
<td>$5,260</td>
<td>$10,054</td>
<td>-91%</td>
</tr>
<tr>
<td>Private</td>
<td>25%</td>
<td>$7,140</td>
<td>$5,250</td>
<td>$5,027</td>
<td>4.2%</td>
</tr>
<tr>
<td>Self Pay</td>
<td>25%</td>
<td>$7,257</td>
<td>$6,583</td>
<td>$5,027</td>
<td>23.6%</td>
</tr>
</tbody>
</table>

Dollars in thousands
FSP Objectives

> UW is committed to SOD’s mission of providing consistent high quality care for patients and exceptional training opportunities for students

> The current SOD clinic model is not sustainable. In order to continue this important service to our students, community and the state of Washington, SOD must reach long-term solvency

> To reach a financial steady-state, a multi-pronged approach is necessary:
  – Leveraging external partnerships
  – Decreasing costs and increasing revenue
  – Optimizing SOD’s space
FSP Performance Improvement Initiatives

> Implement new clinic teaching model
  – Increase patient volumes

> Improve patient intake process
  – Streamline scheduling
  – Increase new patient numbers

> Consolidate clinical operations
  – Better utilization of space and resources

> Department by department budget review
  – Centralize budget management
  – Control expenditures
**SOD Revenue Enhancements and Expense Reductions**

**SOD is committing to a zero bottom line beginning FY17**

<table>
<thead>
<tr>
<th>Revenue Enhancements</th>
<th>Expense Reductions</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt; Commitment from Seattle Children's Hospital for a one-time $1.5M grant payable in FY17</td>
<td>&gt; $3.5 million in permanent expense reductions phased in FY16 - FY17</td>
</tr>
<tr>
<td>&gt; Increase patient visits in FY16 to 103,000 and FY17 to 110,000</td>
<td>&gt; Faculty hires will be approved on a 1:3 ratio (one new hire to every three faculty retirement/resignation)</td>
</tr>
<tr>
<td>&gt; Increase the number of self-pay and insurance patients by 15% in FY17</td>
<td>&gt; Refinanced $1.4 million balance on equipment loan</td>
</tr>
<tr>
<td>&gt; Increase revenue generated by Oral Surgery Faculty Practice and move it to the WDS Building</td>
<td>&gt; Employ a streamlined clinic model in the Center for Pediatric Dentistry</td>
</tr>
<tr>
<td>&gt; Explore Federal Qualified Health Center (FQHC) status/partnership for The Center of Pediatric Dentistry</td>
<td>&gt; Consolidate and integrate clinic staffing</td>
</tr>
<tr>
<td></td>
<td>&gt; Restructure the Faculty Practice Plan</td>
</tr>
</tbody>
</table>
## SOD Proforma

### School of Dentistry Clinics

#### Business Improvement Plan

**(dollars in thousands)**

<table>
<thead>
<tr>
<th></th>
<th>Actual</th>
<th>Projected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Clinical Revenue</td>
<td>13,637</td>
<td>15,341</td>
</tr>
<tr>
<td>Total Clinical Expenses</td>
<td>17,921</td>
<td>18,686</td>
</tr>
<tr>
<td>Clinical Operating Income</td>
<td>-4,285</td>
<td>-3,345</td>
</tr>
<tr>
<td>Total Debt Service</td>
<td>1,308</td>
<td>1,293</td>
</tr>
<tr>
<td>Cash Flow Net Debt Service</td>
<td>-5,592</td>
<td>-4,639</td>
</tr>
<tr>
<td>Net Revenue % change</td>
<td>-20%</td>
<td>11%</td>
</tr>
<tr>
<td>Operating Expenses % change</td>
<td>8%</td>
<td>4%</td>
</tr>
</tbody>
</table>

Non-clinical activities excluded from the proforma
## Metrics

SOD will track actual financial performance against the following key indicators through its Semi-Annual Borrower Report:

<table>
<thead>
<tr>
<th>Metric</th>
<th>Actual FY14</th>
<th>Actual FY15</th>
<th>Projected FY16</th>
<th>Projected FY17</th>
<th>Projected FY18</th>
<th>Projected FY19</th>
<th>Projected FY20</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Margin(^{(1)})</td>
<td>-31%</td>
<td>-22%</td>
<td>-23%</td>
<td>12%</td>
<td>6%</td>
<td>6%</td>
<td>5%</td>
</tr>
<tr>
<td>Debt Service</td>
<td>-3.3</td>
<td>-2.6</td>
<td>-2.8</td>
<td>1.9</td>
<td>1.0</td>
<td>1.5</td>
<td>1.4</td>
</tr>
<tr>
<td>Change in Patient</td>
<td>5%</td>
<td>7%</td>
<td>8%</td>
<td>7%</td>
<td>3%</td>
<td>2%</td>
<td>2%</td>
</tr>
<tr>
<td>Reimbursement Rate(^{(2)})</td>
<td>64%</td>
<td>57%</td>
<td>55%</td>
<td>57%</td>
<td>59%</td>
<td>59%</td>
<td>59%</td>
</tr>
</tbody>
</table>

\(^{(1)}\) Before debt service
\(^{(2)}\) Percentage reimbursement for charges billed
Recommendation for SOD

> Adopt the Financial Stability Plan presented by the SOD to include:

- Revenue enhancements and expense reductions
- Measuring financial performance against new metrics and targets
  - Debt service coverage minimum 1.0X for FY17 – FY 22, 1.25x planning coverage
  - No reserve covenants for FY17 – FY 22
  - Will revisit debt covenants in 5 years
- Adopting a zero bottom line beginning FY17
- Broadening the proforma to the School of Dentistry
- Providing Semi-Annual Borrowers Reports to the Board
Next Steps and Future Reporting

> Conduct a review of departments and clinics for additional operational efficiencies
> Centralize budget management
> Consolidate clinic operations
> Present a Semi-Annual Borrower Report (SABRe) in October
  – Update on progress of the revenue enhancements and cost reductions

Though we have a clear strategy, we have more work to do in the medium- to long-term in order to maintain this important service to our community
STANDING COMMITTEES

Finance and Asset Management Committee

UW One Capital Plan

INFORMATION ITEM

This item is being presented for information only.

BACKGROUND

New to the UW One Capital Plan standing item, the One Capital Plan Process (see attachment 2) provides additional information about how to evaluate capital project requests and align them with campus planning goals, strategic initiatives, and realistic funding targets.

Attachments
1. Capital Planning at the University of Washington
2. One Capital Plan Process
3. Prioritized 6-Year Capital Plan
5. Monthly Debt Report (As of 2/29/16)
Capital Planning at the University of Washington

This document is intended to explain the process by which the University and Board of Regents authorizes the physical development of the university.

Process goals:

- Ensure controls are in place → establish and standardize processes
- Ensure capital plan is in place → establish and update One Capital Plan
- Manage & implement the plan → prioritize projects and identify funding or financing
  → establish project budget and manage to the plan

Board of Regents Capital Projects Review & Approval Process

<table>
<thead>
<tr>
<th>Institutional Strategy &amp; Project Prioritization</th>
<th>One Capital Plan</th>
<th>Bring forward top priority projects to Regents</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Identify projects</td>
<td></td>
<td>* Approve preliminary site</td>
</tr>
<tr>
<td>• Categorize projects</td>
<td></td>
<td>* Approve architect</td>
</tr>
<tr>
<td>• Prioritize projects</td>
<td></td>
<td>* Approve contractor</td>
</tr>
<tr>
<td></td>
<td></td>
<td>* Approve pre-construction budget</td>
</tr>
</tbody>
</table>

| Stage 1                                      |                |                                            |
| Board of Regents – Information               | Board of Regents – Actions |
| • Institutional opportunities                | * Approve final site (after EIS) |
| • Estimated budget and cost analysis         | * Approve financing plan (if needed) |
| • Business case analysis                     | * Approve project budget         |
| • Benchmarks                                 |                                |
| • Naming plan                                |                                |

| Stage 2                                      |                |                                            |
| Board of Regents – Information               | Board of Regents – Actions |
| • Schematic design of the project            | * Approve final site (after EIS) |
| • Timeline                                  | * Approve financing plan (if needed) |
| • Benchmarks                                 | * Approve project budget         |

| Stage 3                                      |                |                                            |
| Board of Regents – Reporting                 |                |                                            |
| • Project status                             |                |                                            |
| • Budget vs. actuals                         |                |                                            |
The Prioritized One Capital Plan captures three bienniaums of planned projects with overall targets established for each fund source. The Plan will be re-evaluated on a two-year cycle corresponding with the State Capital Budget Request and modified depending on the State's actions and newly emerging priorities.

Planning targets are set by examining historical funding trends for both total value and the intended use to ensure the feasibility of each planning target. The Capital Plan can be adjusted based on these targets. Note funding shown below is based on the approval date by the Regents.

Funding Targets by Source

Planning targets are set by examining historical funding trends for both total value and the intended use to ensure the feasibility of each planning target. The Capital Plan can be adjusted based on these targets. Note funding shown below is based on the approval date by the Regents.
One Capital Plan Process

Campus Planning Assumptions

- Student enrollment in Seattle (46,000 FTE) will remain flat for the next few years, then grow 1.5% annually - 48,000 FTE by 2023
- Faculty and staff growth in Seattle (20,200 FTE) will follow a similar trend - roughly 21,000 FTE by 2023
- Research expenditures to remain flat for the next two years, then grow at 2.5% annually
- Percentage of students housed on campus will remain constant (currently ~18%)
- Student enrollment at Bothell (4,900 FTE) is expected to grow to 6,100 FTE by 2020
- Student enrollment at Tacoma (4,600 FTE) is expected to grow to 6,000 FTE by 2023
- Current Replacement Value (CRV) of campus buildings ($6.4 billion) will grow by roughly 3% per year, plus new buildings

Campus Planning Targets

- Total square footage in Seattle should grow by roughly 1 million GSF by 2023 (not including housing, athletics, or partners)
- Total square footage in Bothell (currently 700,000 GSF) should grow by roughly 200,000 GSF by 2020 at 150 sf/student
- Total square footage in Tacoma (currently 735,000 GSF) should grow by roughly 225,000 GSF by 2023 at 160 sf/student
- Additional 400 beds will be needed in Seattle to maintain current on-campus percentage
- Capital reinvestment in existing facilities should be between 1.5-2.5% of the CRV - $100-160M per year in Seattle
- Deferred maintenance backlog should be reduced in part by removing poorly utilized buildings - target 150-200,000 GSF

Overall Capital Plan Goals

In addition to helping achieve the planning targets listed above, individual projects can be linked to larger Strategic Initiatives with corresponding Goals and Implementation Strategies, which create a framework for the individual projects. This ensures alignment with the Campus Master Plan, Academic Facilities Planning, and the Capital Campaign.

Strategic Initiatives | Capital Plan Goals | Implementation Strategy
---|---|---
1. Student Experience | - Provide quality student housing | - Proforma driven projects with increasing equity
| | - Improve learning environments | - Focus local/minor capital on classroom improvements
| | - Accommodate areas of growth | - Create new flexible spaces, considered as shell/fit out
2. Innovation Mindset | - Develop an Innovation District in West Campus | - Combine University investments with private development to attract research partners
3. Public as a Philosophy | - Improve public realm west of 15th Ave. and along waterfront | - Attach development of open spaces to major projects and private development
4. Transforming Administration | - Consolidate non-core functions in U District to decant other sectors | - Develop tower above Sound Transit for office and other uses - flexible space designed for churn
| | - Address infrastructure & renewal | - Leverage new and existing funding sources
**One Capital Plan Process**

**Strategic Alignment**

The draft One Capital Plan (see following page) can be checked against initial planning targets by aligning projects with Strategic Initiatives and funding targets. Diagrams below show the current draft plan with heavy investments in the student experience. The bar chart shows the current draft One Capital Plan compared to established funding targets.

**Deferred Maintenance Needs**

Based on a total replacement value of $6.4 billion for the campus buildings and grounds, the University should reinvest $100-160 million per year (1.5-2.5% CRV) in its existing facilities - including capital projects, minor modifications and preventative maintenance. The chart below illustrates the amount of spending projected in the draft One Capital Plan (see following page) relative to these targets. Any annual shortfall results in increased levels of deferred maintenance in the future.
## Prioritized 6-Year Capital Plan

<table>
<thead>
<tr>
<th>Priority Area</th>
<th>Funding in $ Millions</th>
<th>GSF</th>
<th>Total Cost</th>
<th>Prior Fund’g</th>
<th>2017-2023 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Student Experience (37% of total)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UW Bothell - Phase 4 - Academic STEM</td>
<td>105,000</td>
<td>60</td>
<td>1</td>
<td>59</td>
<td></td>
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<tr>
<td>Health Sciences Education - Interprofessional Education (IPE)/Nursing - T</td>
<td>282,400</td>
<td>203</td>
<td>1</td>
<td>182</td>
<td>20</td>
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<tr>
<td>Foster School of Business - MacKenzie Hall Replacement</td>
<td>90,000</td>
<td>65</td>
<td>-</td>
<td>-</td>
<td>65</td>
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<tr>
<td>Evans School - Parrington Hall Remodel</td>
<td>59,000</td>
<td>20</td>
<td>10</td>
<td>10</td>
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<tr>
<td>College of Arts &amp; Sciences - Lewis Hall Renovation</td>
<td>23,220</td>
<td>16</td>
<td>16</td>
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<tr>
<td>College of the Environment - Anderson Hall Renovation</td>
<td>35,900</td>
<td>23</td>
<td>23</td>
<td>-</td>
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</tr>
<tr>
<td>College of Engineering - Classroom &amp; Research Building Renovation</td>
<td>26,800</td>
<td>13</td>
<td>13</td>
<td>-</td>
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</tr>
<tr>
<td>School of Dentistry - Dental School Building</td>
<td>163,500</td>
<td>156</td>
<td>31</td>
<td>31</td>
<td>94</td>
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<tr>
<td>Student Housing - North Campus - Phase 4b</td>
<td>293,000</td>
<td>140</td>
<td>-</td>
<td>105</td>
<td>35</td>
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<tr>
<td>UW Bothell - Student Housing &amp; Dining Phase 2</td>
<td>140,000</td>
<td>50</td>
<td>-</td>
<td>40</td>
<td>10</td>
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<tr>
<td>UW Tacoma - Student Housing Development</td>
<td>125,000</td>
<td>20</td>
<td>-</td>
<td>16</td>
<td>4</td>
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<tr>
<td><strong>subtotals:</strong></td>
<td>$ 766</td>
<td></td>
<td>$ 2</td>
<td>$ 334</td>
<td>$ 192 $ 189 $ 49</td>
</tr>
<tr>
<td><strong>Innovation Mindset (27% of total)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Center for Advanced Materials and Clean Energy Technologies</td>
<td>220,000</td>
<td>179</td>
<td>9</td>
<td>60</td>
<td>50 $ 60</td>
</tr>
<tr>
<td>College of Arts &amp; Sciences - Kincaid Hall Renovation</td>
<td>85,000</td>
<td>49</td>
<td>49</td>
<td>-</td>
<td>-</td>
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<tr>
<td>School of Medicine - South Lake Union Phase 3.3</td>
<td>262,000</td>
<td>197</td>
<td>-</td>
<td>182</td>
<td>15</td>
</tr>
<tr>
<td>School of Medicine - Core Research Facilities</td>
<td>11,000</td>
<td>12</td>
<td>-</td>
<td>-</td>
<td>12</td>
</tr>
<tr>
<td>School of Medicine - South Lake Union Rosen Remodel</td>
<td>60,375</td>
<td>6</td>
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<tr>
<td><strong>subtotals:</strong></td>
<td>$ 443</td>
<td></td>
<td>$ 9</td>
<td>$ 109</td>
<td>$ 232 $ 60 $ 33</td>
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<tr>
<td><strong>Public as a Philosophy (8% of total)</strong></td>
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<td></td>
<td></td>
<td></td>
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<tr>
<td>Burke Museum</td>
<td>110,000</td>
<td>83</td>
<td>30</td>
<td>24</td>
<td>20</td>
</tr>
<tr>
<td>UW Medicine - Northwest Hospital Expansion</td>
<td>150,000</td>
<td>85</td>
<td>-</td>
<td>85</td>
<td>-</td>
</tr>
<tr>
<td>UW Tacoma - Soil Remediation</td>
<td>-</td>
<td>6</td>
<td>6</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>University District Station - Transit Oriented Development</td>
<td>200,000</td>
<td>100</td>
<td>-</td>
<td>100</td>
<td>-</td>
</tr>
<tr>
<td><strong>subtotals:</strong></td>
<td>$ 274</td>
<td></td>
<td>$ 30</td>
<td>$ 30</td>
<td>$ 185 $ 20 $ 9</td>
</tr>
<tr>
<td><strong>Transforming Administration (28% of total)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital Repair - Preservation</td>
<td>-</td>
<td>90</td>
<td>90</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Minor Capital Repair - Preservation and Program Renewal</td>
<td>-</td>
<td>207</td>
<td>-</td>
<td>-</td>
<td>207</td>
</tr>
<tr>
<td>Enterprise Information Systems</td>
<td>-</td>
<td>100</td>
<td>50</td>
<td>50</td>
<td></td>
</tr>
<tr>
<td>UW Medicine - Information Technology Core Applications and Infrastructure</td>
<td>-</td>
<td>74</td>
<td>-</td>
<td>-</td>
<td>74</td>
</tr>
<tr>
<td><strong>subtotals:</strong></td>
<td>$ 471</td>
<td></td>
<td>$ 90</td>
<td>$ 50</td>
<td>$ - $ 331</td>
</tr>
</tbody>
</table>

| **Totals:** | $ 1,953 | $ 563 | $ 659 | $ 269 | $ 422 |
| **Targets:** | $ 1,850 | $ 300 | $ 650 | $ 450 | $ 450 |
# Major Capital Assets Summary Scorecard (As of February 29, 2016)

<table>
<thead>
<tr>
<th>Project</th>
<th>Target Cost Est. ($M)</th>
<th>Phase</th>
<th>Bldg. Type</th>
<th>Gross Square Footage</th>
<th>Cost ($M)</th>
<th>Cost to Date</th>
<th>Appr’vd Forecast</th>
<th>Forecast 2</th>
<th>A/E Contractor</th>
<th>% Utilization</th>
<th>Award in $M</th>
</tr>
</thead>
<tbody>
<tr>
<td>Animal Research and Care Facility</td>
<td>$123.5</td>
<td>Const. Research</td>
<td>83,000</td>
<td>$123.5</td>
<td>$134.0</td>
<td>4/17</td>
<td>4/17</td>
<td>ZGF</td>
<td>Skanska</td>
<td>1.7%</td>
<td>$2.1</td>
</tr>
<tr>
<td>Burke-Gilman Trail Phase 1 &amp; Phase 2 Design</td>
<td>104.6</td>
<td>Planning Research</td>
<td>130,000</td>
<td>9.0</td>
<td>104.6</td>
<td>11/18</td>
<td>LMN</td>
<td>Mortenson</td>
<td>N/R</td>
<td>N/R</td>
<td>0.9</td>
</tr>
<tr>
<td>Computer Science and Engineering Exp.</td>
<td>104.6</td>
<td>Const. Infrastructure</td>
<td>n/a</td>
<td>0.1</td>
<td>0.2</td>
<td>3/16</td>
<td>KPF</td>
<td>CA Careay Corp</td>
<td>10.1%</td>
<td>0.9</td>
<td></td>
</tr>
<tr>
<td>Denny Hall Renovation</td>
<td>56.9</td>
<td>Const. Classroom</td>
<td>86,400</td>
<td>52.9</td>
<td>52.9</td>
<td>12/16</td>
<td>THA</td>
<td>BNBuilders</td>
<td>17.0%</td>
<td>2.6</td>
<td></td>
</tr>
<tr>
<td>Fluke Hall Renovation</td>
<td>28.5</td>
<td>Design Research</td>
<td>37.0</td>
<td>36.3</td>
<td>5.4</td>
<td>6/16</td>
<td>HDR</td>
<td>Hoffman</td>
<td>N/R</td>
<td>N/R</td>
<td></td>
</tr>
<tr>
<td>Life Sciences Building</td>
<td>164.8</td>
<td>Design Classroom</td>
<td>189,000</td>
<td>164.8</td>
<td>164.3</td>
<td>7/18</td>
<td>Perkins+Will</td>
<td>Skanska</td>
<td>N/R</td>
<td>N/R</td>
<td></td>
</tr>
<tr>
<td>NanoEngineering and Sciences Building</td>
<td>58.9</td>
<td>Const. Research</td>
<td>78,000</td>
<td>87.8</td>
<td>87.8</td>
<td>1/17</td>
<td>ZGF</td>
<td>Hoffman</td>
<td>11.0%</td>
<td>1.4</td>
<td></td>
</tr>
<tr>
<td>North Campus Housing Replacement</td>
<td>240.0</td>
<td>Design Housing</td>
<td>n/a</td>
<td>240.0</td>
<td>240.0</td>
<td>6/18</td>
<td>Kieran Timber</td>
<td>WG Clark</td>
<td>N/R</td>
<td>N/R</td>
<td></td>
</tr>
<tr>
<td>Police Department Facility</td>
<td>240.0</td>
<td>Const. Other</td>
<td>240.0</td>
<td>240.0</td>
<td>240.0</td>
<td>6/18</td>
<td>Miller Hull</td>
<td>BNBuilders</td>
<td>13.7%</td>
<td>2.5</td>
<td></td>
</tr>
<tr>
<td>South Lake Union 3.2</td>
<td>143.0</td>
<td>Design Research</td>
<td>180,886</td>
<td>143.0</td>
<td>150.4</td>
<td>4/16</td>
<td>Perkins + Will</td>
<td>Sellen</td>
<td>N/R</td>
<td>N/R</td>
<td></td>
</tr>
<tr>
<td>Tacoma Urban Solutions Center</td>
<td>28.0</td>
<td>Bidding Student</td>
<td>43,600</td>
<td>27.5</td>
<td>27.5</td>
<td>9/17</td>
<td>Miller Hull</td>
<td>Mortenson</td>
<td>N/R</td>
<td>N/R</td>
<td></td>
</tr>
<tr>
<td>UWMC Expansion Phase II</td>
<td>186.3</td>
<td>Const. Medical</td>
<td>244,000</td>
<td>186.3</td>
<td>187.5</td>
<td>4/17</td>
<td>10/17</td>
<td>NBBJ</td>
<td>Mortenson</td>
<td>27.6%</td>
<td>20.6</td>
</tr>
<tr>
<td>West Campus Utility Plant</td>
<td>30.5</td>
<td>Const. Infrastructure</td>
<td>17,000</td>
<td>36.2</td>
<td>38.1</td>
<td>1/17</td>
<td>1/17</td>
<td>Miller Hull</td>
<td>Mortenson</td>
<td>5.5%</td>
<td>0.4</td>
</tr>
</tbody>
</table>

**Other Capital Projects**

<table>
<thead>
<tr>
<th>Project</th>
<th>Cost ($M)</th>
<th>Phase</th>
<th>Bldg. Type</th>
<th>Gross Square Footage</th>
<th>Cost to Date</th>
<th>Appr’vd Forecast</th>
<th>Forecast 2</th>
<th>A/E Contractor</th>
<th>% Utilization</th>
<th>Award in $M</th>
</tr>
</thead>
<tbody>
<tr>
<td>HR Payroll Modernization</td>
<td>$68.1</td>
<td>IT</td>
<td>n/a</td>
<td>n/a</td>
<td>$70.0</td>
<td>$98.8</td>
<td>2/14</td>
<td>$38.0</td>
<td>2/14</td>
<td>$303</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$1,341</strong></td>
<td></td>
<td></td>
<td></td>
<td><strong>$1,190,886</strong></td>
<td><strong>$1,287</strong></td>
<td><strong>$362</strong></td>
<td><strong>$303</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Legend**

1. Forecast to Budget Variance: On Budget = Green; 1-10% Over Budget = Yellow; >10% Over Budget = Red
2. Schedule Variance: On Schedule = Green; Within One Month = Yellow; > One Month = Red
3. N/R: Project has no information to report at this time
4. The Finance and Asset Management Committee approved a budget increase at the March Board of Regents.
Recent Events

- Long-term tax-exempt interest rates remain low, with the current 30-year fixed borrowing cost estimated to be 3.71%.
- While short-term rates remain extremely low, recent increases have occurred due to liquidation of some money market funds and money market reform. The University re-priced commercial paper with a 2-month term at 0.21% on March 21st (up from 0.04%).

Estimated Project Capacity

<table>
<thead>
<tr>
<th>FY 2016-2020 (in millions)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Debt Capacity</td>
<td>$1,300</td>
</tr>
<tr>
<td></td>
<td>1,408</td>
</tr>
<tr>
<td>Remaining Project Capacity</td>
<td>$651</td>
</tr>
</tbody>
</table>

- Project capacity will be updated this May based on audited financial statements and current projections.
- Figures represent how much additional debt the University can issue over the next five years while aligning with peer minimum ratios. Debt funded project capacity is available.

External Debt Portfolio - $2,357 Million

- The external portfolio as of 12/31/2015 was $2,367 million. This is $10.4 million lower than the last report, which is a result of $6.3 million in principal payments and $4.1 million of debt service savings from the state refunding of the 2006 GO Bonds.
- Weighted average cost of capital: 3.55%
- Portfolio Composition: 98% fixed rate; 2% variable rate
- $123 million in internal funding provided by the CAP is excluded from the external debt portfolio.

Annual Debt Service

- [Maximum Annual Debt Service $204M](#)

---

[^1]: 10% of the Invested Funds (IF) ($234 million), less previously allocated Capital Assets Pool (CAP) dollars based on 12/31/2015 IF value
[^2]: Includes $118 million for South Lake Union 3.2, $121 million for Life Sciences, $238 million for Housing Phase 4a and $280 million for other authorized projects. Some of this debt has already been issued, leaving approximately $430 million of debt to be issued for authorized projects after the September 2015 General Revenue Bonds issue
[^3]: Excludes Principal Payments on Commercial Paper
[^4]: Excludes Valley Limited Tax General Obligation Bonds
### Outstanding External Debt

#### (in millions)

<table>
<thead>
<tr>
<th>Project</th>
<th>Purpose</th>
<th>Balance(1)</th>
<th>Final Maturity</th>
<th>% by Purpose</th>
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<td>Molecular Engineering Building</td>
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<td>$70.8</td>
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<tr>
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<td>Instruction and Research, 13%</td>
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<td><strong>Subtotal Instruction and Research</strong></td>
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<td>Other UW Medicine</td>
<td>UW Medicine</td>
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<td>various</td>
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<tr>
<td><strong>Subtotal UW Medicine</strong></td>
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<td>Radford Court Apartments</td>
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<td>various</td>
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<td>4225 Roosevelt</td>
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<td>230.8</td>
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<td>Husky Ballpark</td>
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<td>various</td>
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<td><strong>Total University Outstanding Debt</strong></td>
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<td>100%</td>
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</table>

(1) Will not exactly match ILP balances due to bond premiums and use of the CAP.
Portage Bay Insurance Annual Report

BACKGROUND

In 1976, the Legislature of the State of Washington authorized the University of Washington to self-insure and gave the Board of Regents the authority to determine the terms and conditions of coverage for UW and its employees and students. Since then, UW has directed its own risk financing and liability management program separately from the State’s program.

During the past 40 years, loss experience has been as follows:

Our current risk financing vehicle, Portage Bay Insurance (PBI), is the University of Washington’s not-for-profit single parent captive insurance company. The Board of Regents authorized its creation on July 1, 2002 in order to allow UW to approach reinsurance markets, thereby increasing available markets for catastrophic coverage. Other purposes included retention of investment earnings, regulation by Hawaii Insurance Commissioner, and the ability to craft policy language to meet UW’s needs.
On June 30, 2015, PBI completed its thirteenth year of operation. It is providing the coverages and services envisioned in its 2002 business plan as well as additional services.

GOVERNANCE AND MANAGEMENT

The PBI Board of Directors includes two outside directors and six University employees having significant responsibilities for risk management, liability management and asset management (see Attachment 1). PBI contracts with the University for claim and risk management services from Compliance and Risk Services and for investment services from the Treasury Office. It also contracts with Strategic Risk Solutions for captive management and regulatory compliance services, Milliman for actuarial analysis, KPMG for audit services, Char, Hamilton, Yoshida & Shimomoto for legal counsel, and Crow Horwath for tax filing preparation.

FY15 ASSET/LIABILITY CHANGES

PBI provides healthcare professional, general, automobile, and employment practices liability coverage. Annual premiums are established through an independent actuarial study and are paid by the central administration and self-sustaining units. FY15 results included assets of $87 million (up 8% from FY14) and liabilities of $61 million (up 32% from FY14). Of the 123 claims closed during the fiscal year, 71 (58%) involved no payment to the claimant. Funds are invested in the University’s Invested Funds Portfolio which had a total return for the year of 2.7%. Milliman has opined that PBI is adequately funded to meet its liabilities.

REINSURANCE

PBI reinsures against catastrophic losses with European, Bermudian, and American reinsurers having A.M. Best ratings of A- or better. For healthcare professional, general and automobile liability, reinsurance coverage with limits of $100 million is purchased for $2.5 million in annual premium.

REGULATORY COMPLIANCE AND AUDIT

KPMG completed PBI’s FY15 annual audit with no material findings or adjustments to its financial statements. PBI is the process of a regularly scheduled regulatory review by the Insurance Commissioner of the State of
Hawaii, its state of domicile. The IRS has ruled that PBI qualifies as a 501c3 tax-exempt corporation; it regularly files the required 990 and 720 forms.

PROGRAM ACCOMPLISHMENTS

Due to its conservative 75% confidence level, PBI was able to absorb an unexpected $15 million healthcare professional liability verdict in July 2013 (of which $5 million was reinsured) without turning to the University for additional funding. Although it has a relatively small spread of risk compared to commercial companies, PBI has maintained predictable, gradual and affordable increases in its premiums despite some volatility in UW’s liabilities and investment returns (see Attachment 2).

In 2015, PBI funded the creation of the Compliance Services Program, which expanded the University’s focus to include structural as well as substantive compliance activities. Compliance Services is supporting the implementation of key mitigation activities identified through compliance assessments by subject matter experts from across the University and its second compliance report to the Board of Regents will be presented at today’s full Board meeting.

On January 1, 2016, PBI chose not to renew its Information Security and Privacy policy. Premiums for this fully reinsured program became prohibitively expensive as underwriters began to pay data breach liabilities from the retail and banking sectors. Now, costs arising from privacy and security breaches at UW will be funded by the self-sustaining units in which they occurred, or, for other units, from funds identified by the Compliance and Risk Services and Planning and Management offices.

A PBI-funded “Patient Safety Innovations Program” (PSIP) was introduced in 2007. Structured as an internal research grant program, it has the dual objectives of strengthening UW’s culture around patient safety and, ultimately, controlling liability costs. Thus far, 18 grants have been awarded at a cost of just under $1 million. Some PSIP-funded research products have been implemented by the UW medical centers, including: an on-line system to highlight critical radiology results; a uniform morbidity and mortality process for evaluating poor outcomes of patient care; team communications training in code blue response; and improved inter-operative glycemic control.
STANDING COMMITTEES

Finance and Asset Management Committee

Portage Bay Insurance Annual Report (continued p. 4)

FY16 GOALS

PBI’s goals for FY16 are continued development of Compliance Services, predictable, gradual and affordable premium growth, and maintenance of low administrative costs.

Attachments
1. Portage Bay Insurance 2015 Board of Directors and Officers
2. University of Washington Professional Liability Program, Assets and Liabilities by Fiscal Year as of 6/30/15
Portage Bay Insurance

2015 Board of Directors and Officers

Elizabeth Cherry, Associate Vice Provost, Compliance and Risk Services (President)
Marcia Rhodes, Director, Health Sciences and UW Medicine Risk Management (Vice President)
Craig Watanabe, Strategic Risk Solutions, Hawaii (Secretary and Treasurer)
Tim Dellit, MD, Associate Dean for Clinical Affairs, School of Medicine
Mark Green, Vice Dean for Administration and Finance, School of Medicine
Rolf Johnson, Chief of Staff, Office of the President
Mike Kelly, Mike Kelly Risk Management Services, LLC
Chris Malins, Associate Vice President, Treasury
Herb Van Der Veer, James & Gable Insurance Brokers, Inc.
STANDING COMMITTEES

Finance and Asset Management Committee

First-Year Undergraduate Cost of Attendance Analysis

INFORMATION

This item is being presented for information only.

BACKGROUND

Cost of attendance (COA) is a statutory term that typically refers to the estimated cost for a full-time student to attend an institution for a standard nine-month academic year. COA is defined by the Higher Education Act (Sec. 472) as the sum of estimated expenses for:

- Normally assessed tuition and fees;
- Books and supplies;
- Room and board;
- Personal necessities (e.g. health care, laundry, clothing, etc.); and
- Transportation to and from the school.

COA is used to calculate a student’s level of financial need, which sets a limit on the amount of need-based aid the student can receive. In addition, by subtracting grant and scholarship aid, COA is used to calculate net price. Every institution that receives federal financial aid is required to post its COA and a net price calculator to its website.

Under Executive Order No. 44, User Fee Approval Policy, the Board of Regents has the authority to review and approve certain fees, but may delegate that authority to the President who, in turn, may delegate it to others.

The Board has retained the authority to review and approve all ongoing fees included in the COA calculation. The Provost has been delegated authority to review and approve the New Student Enrollment & Orientation Fee, but has requested the Board of Regents’ approval for recent increases.

The attached document was drafted at the Board of Regents’ request to contextualize fee rates within current and recent COA figures for first-year undergraduate students.

Attachment
Cost of Attendance for First-Year UW Undergraduates 2015-16
COST OF ATTENDANCE FOR FIRST-YEAR UW UNDERGRADUATES
2015-16

PLEASE NOTE: After accounting for grant and scholarship aid, UW students (particularly resident undergraduates) often pay far less than the total expenses shown here. In 2013-14 (the most recent year for which net price data is available), the published price for resident undergraduates at Seattle was $27,034, whereas the net price for first-time, resident undergraduates at Seattle was $10,374.

<table>
<thead>
<tr>
<th>Annual Student Budget Items</th>
<th>Bothell</th>
<th>Seattle</th>
<th>Tacoma</th>
</tr>
</thead>
<tbody>
<tr>
<td>Room and Board * (traditional undergraduates)</td>
<td>$10,833</td>
<td>$11,310</td>
<td>$10,833</td>
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<tr>
<td>Books, Personal, Transportation *</td>
<td>$4,995</td>
<td>$3,885</td>
<td>$4,995</td>
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<tr>
<td>Annual Student Fees – Total **</td>
<td>$1,240</td>
<td>$1,371</td>
<td>$1,237</td>
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<td>New Student Enrollment &amp; Orientation Fee (NSEOF) – one time fee</td>
<td>$250</td>
<td>$300</td>
<td>$100</td>
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<tr>
<td>Student Tech Fee</td>
<td>$126</td>
<td>$123</td>
<td>$120</td>
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<tr>
<td>Services and Activities Fee</td>
<td>$267</td>
<td>$393</td>
<td>$477</td>
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<tr>
<td>Activities &amp; Recreation Center 1</td>
<td>$441</td>
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<tr>
<td>Activities &amp; Recreation Center 2</td>
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<td>$66</td>
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<tr>
<td>Sports Field</td>
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<tr>
<td>Facilities Renovation Fee</td>
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<td></td>
<td>$219</td>
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<td>Intramural Activities Building (IMA)</td>
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<td>$96</td>
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<td>U Pass</td>
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<td></td>
<td>$240</td>
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<tr>
<td>YMCA</td>
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<td></td>
<td>$540</td>
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| Resident Annual Tuition | $10,768  | $10,768  | $10,768 |
| Resident Annual Total  | $27,836  | $27,334  | $27,833 |
| Non-Resident Annual Tuition | $33,072  | $33,072  | $33,072 |
| Non-Resident Annual Total | $50,140  | $49,638  | $50,137 |

* The Office of Student Financial Aid calculates the annual student budget based on the federal definition of the allowable cost of attendance used for determining financial aid eligibility. https://www.washington.edu/financialaid/getting-started/student-budgets/

** Student-led committees approved all fees under this header, except the NSEOF (see below), and are responsible for recommending fee changes to the Board of Regents for approval. Student representatives provide and support recommendations for the NSEOF, and the administration recommends fee changes to the Board of Regents for approval. Please note that many students pay fees beyond the ones presented here, such as course fees (the cost of which varies by discipline), fees for student insurance, international program fees and fees for WashPIRG and WSA. This list does not include international student fees: $70 one-time at Tacoma, $45 quarterly at Bothell and Seattle.
# Cost of Attendance for First-Year UW Undergraduates

## Trend Data by Campus

### Bothell

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</thead>
<tbody>
<tr>
<td>Room and Board <em>(traditional undergrads)</em></td>
<td>$9,771</td>
<td>$9,969</td>
<td>$10,752</td>
<td>$10,833</td>
<td>$10,833</td>
<td>$1,062</td>
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<td>Books, Personal, Transportation *</td>
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<td>$4,824</td>
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<td>$4,995</td>
<td>$4,995</td>
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<td>$856</td>
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<td>Student Tech Fee</td>
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<td>$126</td>
<td>$126</td>
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<tr>
<td>Activities &amp; Recreation Center 2</td>
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<td>$0</td>
<td>$0</td>
<td>$66</td>
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<td>$90</td>
<td>$90</td>
<td>$90</td>
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<td>Resident Annual Tuition</td>
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<td>$11,305</td>
<td>$11,305</td>
<td>$11,305</td>
<td>$10,768</td>
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<td>$30,879</td>
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<td>$33,072</td>
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<td>Non-Resident Annual Total</td>
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<td>$44,509</td>
<td>$47,482</td>
<td>$49,108</td>
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### Seattle

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<tbody>
<tr>
<td>Room and Board <em>(traditional undergrads)</em></td>
<td>$9,771</td>
<td>$9,969</td>
<td>$10,752</td>
<td>$10,833</td>
<td>$11,310</td>
<td>$1,539</td>
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<td>Books, Personal, Transportation *</td>
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<td>$11,305</td>
<td>$11,305</td>
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<td>$1,022</td>
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<tr>
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### Tacoma

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>Room and Board <em>(traditional undergrads)</em></td>
<td>$9,771</td>
<td>$9,969</td>
<td>$10,752</td>
<td>$10,833</td>
<td>$10,833</td>
<td>$1,062</td>
</tr>
<tr>
<td>Books, Personal, Transportation *</td>
<td>$4,824</td>
<td>$4,824</td>
<td>$4,995</td>
<td>$4,995</td>
<td>$4,995</td>
<td>$171</td>
</tr>
<tr>
<td>Annual Student Fees - Total **</td>
<td>$697</td>
<td>$697</td>
<td>$697</td>
<td>$1,057</td>
<td>$1,237</td>
<td>$540</td>
</tr>
<tr>
<td>NSEO F - one time fee</td>
<td>$100</td>
<td>$100</td>
<td>$100</td>
<td>$100</td>
<td>$100</td>
<td>$0</td>
</tr>
<tr>
<td>Student Tech Fee</td>
<td>$120</td>
<td>$120</td>
<td>$120</td>
<td>$120</td>
<td>$120</td>
<td>$0</td>
</tr>
<tr>
<td>Services and Activities Fee</td>
<td>$477</td>
<td>$477</td>
<td>$477</td>
<td>$477</td>
<td>$477</td>
<td>$0</td>
</tr>
<tr>
<td>YMCA (began in winter of 2015)</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$360</td>
<td>$540</td>
<td>$540</td>
</tr>
<tr>
<td>Resident Annual Tuition</td>
<td>$9,746</td>
<td>$11,305</td>
<td>$11,305</td>
<td>$11,305</td>
<td>$10,768</td>
<td>$1,022</td>
</tr>
<tr>
<td>Resident Annual Total</td>
<td>$25,038</td>
<td>$26,795</td>
<td>$27,749</td>
<td>$28,190</td>
<td>$27,833</td>
<td>$2,795</td>
</tr>
<tr>
<td>Non-Resident Annual Tuition</td>
<td>$27,230</td>
<td>$28,860</td>
<td>$30,879</td>
<td>$32,424</td>
<td>$33,072</td>
<td>$5,842</td>
</tr>
<tr>
<td>Non-Resident Annual Total</td>
<td>$42,522</td>
<td>$44,350</td>
<td>$47,323</td>
<td>$49,309</td>
<td>$50,137</td>
<td>$7,615</td>
</tr>
</tbody>
</table>

Please see previous page for footnotes.
Legislative and Budget Update

This will be an oral report for information only.
2016 Legislative Session
Sine Die Report – April 2016

The 2016 legislative session concluded March 29, the 20th day of the first special session. The legislature adjourned after passing compromise operating and capital budgets. During the final three weeks of session, budget negotiators considered a number of outstanding revenue and spending issues, trying to find tools that would have generated small amounts of new revenue.

In the end, House and Senate negotiators were not able to reach consensus on any new revenue components, and consequently, the final supplemental budget made very few new investments. It also swept other fund sources in order to create a balanced 4-year budget outlook following a grim February revenue forecast.

In all, it truly was a supplemental budget, and the table is now set for the 2017 legislative session, when higher education priorities will face a steep challenge from the K-12 McCleary situation in maintaining and growing the commitment from the state to access, quality, and opportunity for all students. Already, UW is working with the other 4-year baccalaureates, the community and technical colleges, and other higher education partners and stakeholders to develop a cohesive joint message and strategy for 2017.

UW 2016 State Legislative Agenda

• Make the University Whole – Implementing the state’s new tuition policy
  o The UW was successful in bringing home its top priority: backfill for the tuition reduction adopted by the legislature in 2015. Throughout the session, Regents, students, staff, alumni, the College Promise Coalition, and UW leadership reinforced the same message: backfilling the tuition cut was critical to preserving access to and quality of the education at the UW.

• Expanding our Successful Rural Dentistry Program in Spokane
  o Despite support from the Spokane delegation and other legislators, we were unable to secure additional funding for the RIDE program in Spokane.

• Restoring Fairness for Public Agencies Paying Leasehold Excise Tax
  o Legislators agreed with the tax fairness policy of HB 2523 and SB 6462, but we were unable to overcome the challenge of the $1.0 million annual fiscal impact.

• Computer Science & Engineering – Making more degrees a reality
  o Joined by Microsoft and other partners in the private sector, we made a strong push for additional state funding for the new CSE building but ultimately came up against a small supplemental capital budget that had almost no funding for 4-year colleges.
Additional Legislation Impacting UW and Higher Education

The UW had a stake in far more than the four items featured on the legislative agenda. Here are a few other pieces of legislation that were debated in 2016 that were of interest to the UW and higher education stakeholders. Most legislation did not ultimately pass, but bills that did pass both chambers are marked with an asterisk*.

Bills We Supported That Passed

- Higher education and disabled students ([SSB 6466*/HB 2825]) - Creates a work group to develop a plan that will make transferring between institutions easier for students with disabilities and gain the accommodations they need on campus or in the classroom.

- Telemedicine ([SSB 6519*]) - Establishes a formal work group led by UW Telehealth Services to enhance the understanding and use of health services provided around the state through telemedicine—doctors providing services and information online from a medical center directly to patients via computers and other devices.

- Athlete Agents ([SSB 6281*]) - This legislation updates the Uniform Athlete Agent Act, which protects the interests of student athletes and academic institutions by regulating the activities of athlete agents, with current best practices.

- Victims of sex crimes ([2SHB 2530*/SB 6484]) - Requires the Washington State Patrol to create and operate a statewide sexual assault kit tracking system, including participation by UW Medicine.

- Student mental health ([2SSB 6243, E2SHB 2439*/SB 6494, E2SHB 2793*]) - The legislature considered a number of bills to address mental health issues, including: development of a youth suicide prevention training program for school administrators, teachers, counselors, psychologists, social workers and parents (6243); a requirement for OSPI to create an online social and emotional training module for educators, administrators, and other school staff (2439); creating a children’s mental health work group to identify barriers in mental health services for children and families (6494); and creating the safe homes task force to raise public awareness and increase suicide prevention education among new partners in key positions to reduce suicide (2793).

- Professional educator workforce ([E2SSB 6455*/HB 2921]) - Addresses the teacher shortage by allowing retired teachers to reenter the workforce without penalty to pension benefits, improving student enrollment forecasting, adding funding for alternative routes to certification and educator retooling programs, and improving teacher recruitment strategies.

- Educational opportunity gap ([4SHB 1541*]) - Implements policies to bridge the equity gap in student achievement, including reducing the length of time students of color are out of school due to suspension, hiring and retaining more teachers of color, and more integrated student services and family engagement.

- Reverse transfer agreements ([SSB 6354*]) - Requires public four-year institutions and community colleges to develop plans for the transfer of academic credits from a four-year to a community or technical college.
Bills We Opposed That Didn’t Pass

- Adjudicative proceedings ([SSB 6019, SSB 6464]) - These bills sought to revise the processes for internal adjudicative matters within a government agency. SSB 6464 would have required any adjudicative process to be completed within two years or go to a judge for judicial review, which is problematic for some faculty-related processes that are more complex than procedures at most other agencies and can sometimes last longer than two years.

- State need grant ([HB 2301]) - This proposal would have capped individual state need grant awards at the community and technical college rate for a student’s first two years at any institution, including four-year colleges, in essence limiting the amount one student could receive but increasing the number of recipients.

Other Bills

- Free to Finish ([HB 2955]) – Would have created the Washington “free to finish” college program to encourage state residents with some credits from a state community college or four-year institution just shy of graduation to return and complete their degree tuition-free.

- Textbooks ([HB 2680, HB 2686, HB 2780, HB 2796]) - Several proposals sought to reduce the cost-burden of textbooks on students, including bills that would require college course descriptions to include the cost of all required books and materials, or encourage faculty and institutions to use more open resources.

- Higher education opportunity/expanding college bound ([HB 2801]) – Would have expanded the College Bound Scholarship program to allow undocumented students eligible for in-state tuition to also qualify for College Bound.

- Services & activities fees ([HB 2911, SB 6587]) - These bills would separate services and activities fees from tuition rates at state universities and allow the governing boards of higher education institutions to annually alter existing services and activities fees.

- Higher ed. admin efficiency ([HB 2755/SB 6409]) – These bills would have cut unneeded red tape and redundant administrative processes for the state’s public four-year and community and technical college institutions.

- UW regents faculty rep. ([HB 2546]) - Would have changed the composition of the UW board of regents to include a voting member of the faculty.

- Bellevue College CSE bachelor degrees/CTC pilot (SSB 5928*/2SHB 2769) – 5928 allows Bellevue College to offer a bachelors degree in computer science following college board approval. 2769 would have allowed up to five community and technical colleges to develop programs for bachelor degrees in high-demand fields of study.

- Community and technical college access ([HB 2820]) – Would have created the Washington Promise program, a tuition waiver for eligible Washington residents attending the state’s community and technical college.
Transforming Administration Program (TAP) Update

This item is being presented for information only.

BACKGROUND

In 2014-15, the Board of Regents established a standing agenda item to highlight administrative efficiency efforts at the University of Washington. This standing item is now being presented within the context of the Transforming Administration Program (TAP).

The Transforming Administration Program is a key initiative in the Office of the President and Office of the Provost. The overarching mission of TAP is to transform UW administration into an enhanced culture of service. TAP encompasses all central administrative units (those led by Vice Presidents and Vice Provosts).

An oral presentation will be provided to the board on recent updates to the program and its overall strategic direction.
TRANSFORMING ADMINISTRATION PROGRAM

https://tap.uw.edu

April 14, 2016

UNIVERSITY OF WASHINGTON
What is TAP?

• The Transforming Administration Program, launched nearly one year ago by then-Interim President Cauce and Interim Provost Baldasty, has a goal of **enhancing the culture of service in UW’s central administrative units.**

• A 2015 campus survey, along with feedback from UW leadership, administrative teams and academic units, was used to guide identification of TAP projects.

• Since initial launch, 35 projects have been initiated in four areas: Improving Service Delivery, Improving Data for Decision Making, Restructuring for Efficiency, and Building Capacity for New Strategies.
What’s Next?

- Identification of the “Big 3” TAP projects for strategic focus in the next year

- Other TAP projects will continue to be tracked by Organizational Excellence (OE).

- OE will continue to provide ongoing support and capacity-building for units engaged in strategy development, process improvement and organizational change.
“Big 3” Goals

• “One administration,” acting in concert towards a common vision, goals and principles

• Decisions and process are value-based

• Resources are re-deployed and prioritized to increase the impact of our education, research and service missions

• A culture where everyone is engaged, empowered and accountable
“Big 3” strategies

UW needs to transform its systems, structures and accountability mechanisms to support:

• Clear and consistent policy development and implementation

• Collaborative, solutions-oriented customer service

• Easily accessed and consistent data for decision support

• Engaged, empowered and collaborative leadership

• Continuous process improvement and innovation
## “Big 3” Project #1 – Systems

### Example: HR/Payroll Modernization

<table>
<thead>
<tr>
<th>Why?</th>
<th>Reduce the risk associated with the University's 34-year-old legacy payroll system. Improve business processes across departments, units and colleges and provide better employee and compensation data for strategic decision-making.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who owns?</td>
<td>Kelli Trosvig (UW - IT), Mindy Kornberg (Human Resources), Cheryl Cameron (Academic HR), Ann Anderson (Payroll)</td>
</tr>
<tr>
<td>What does success look like?</td>
<td>A modern integrated system deployed with access to uniform data, robust reporting and standardized business processes. Implementation of integrated user support for all customers. The HR/P Modernization program is laying the foundation for future UW administrative modernization efforts by creating a framework for change, technology implementation, and service delivery that can be continuously enhanced.</td>
</tr>
<tr>
<td>When will it be done?</td>
<td>TBD</td>
</tr>
</tbody>
</table>
### Example: UW Central Administration Re-Org

<table>
<thead>
<tr>
<th>Why?</th>
<th>The current Central Administration organizational structure is not organized for functions to work together effectively or efficiently and meet customer needs.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who owns?</td>
<td>President/Provost</td>
</tr>
<tr>
<td>What does success look like?</td>
<td>Single leader; one administration working together across finance, facilities, HR, IT and administration to support customer needs and drive down administrative costs and burden.</td>
</tr>
<tr>
<td>When will it be done?</td>
<td>December 2016</td>
</tr>
</tbody>
</table>
### “Big 3” Project #3 - Accountability

#### Example: Organizational Assessment of Central Administration Service Delivery

<table>
<thead>
<tr>
<th>Why?</th>
<th>Providing excellent service to customers means faster problem resolution, reduced costs, more engaged and productive staff, and higher quality products and services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who owns?</td>
<td>Provost</td>
</tr>
<tr>
<td>What does success look like?</td>
<td>Highly rated service delivery leads to faculty and staff effectiveness in the classroom, research, patient care and administration. Students are relieved of administrative burden (waiting in lines, shopping for answers). Faculty and staff retention is high and student experience transformed.</td>
</tr>
<tr>
<td>When will it be done?</td>
<td>March 2017</td>
</tr>
</tbody>
</table>
Questions and Discussion
Quarterly Compliance Report – Health & Safety

This report is for information only.

BACKGROUND

In November 2015, Elizabeth Cherry, Associate Vice Provost, Compliance and Risk Services, presented a report on the University’s new Structural Compliance Program. Over an 18-month cycle, the Board of Regents will receive a quarterly report from each of the six key institution-wide compliance areas:

- Research
- Health & Safety
- Financial
- Information
- Special Areas (e.g. global activities)
- Civil Rights/Employment

Attachments

1) University of Washington Health & Safety Compliance Overview
2) University of Washington Health & Safety Compliance Priority Item 1: Health & Safety Governance
3) University of Washington Health & Safety Compliance Priority Item 2: Accident Prevention Plans
4) University of Washington Health & Safety Compliance Priority Item 3: Safety of Minors in University-sponsored Programs
University of Washington Health & Safety Compliance

Overview

The University of Washington, like other dynamic research institutions, faces a multitude of challenges and opportunities when it comes to compliance with the health and safety laws and regulations promulgated by the Environmental Protection Agency, the Food and Drug Administration, the Occupational Safety and Health Administration, and the Washington State Department of Labor and Industries, just to name a few. Health and safety compliance covers a diverse group of topic areas – campus security, emergency management, and environmental contamination among them – and spans thousands of spaces across multiple UW locations, including: the technician working in the School of Drama’s Scene Shop; the staff of Facilities Services’ Grounds Maintenance Unit keeping the cherry trees pruned and healthy; the sophomore conducting research in a bioengineering lab; the middle-school girl participating in a STEM summer program; and the principal investigator launching clinical trials of a promising new treatment for Alzheimer’s Disease.

Due to the complexity of organizational and operational issues related to health and safety compliance, many universities struggle to develop a robust culture of safety on their campuses. Nonetheless, such a culture is vital and “emanates from ethical, moral, and practical considerations, rather than regulatory requirements.”¹ Challenges to establishing this culture may include: 1) articulating a governance and oversight structure that embraces the wide range of environmental (e.g., chemicals, biological agents, radiation, industrial tools) and non-environmental (e.g., violence prevention, suicide, safety of minors) concerns, 2) insufficient leadership with regard to setting high expectations for safety in departments and units, and 3) availability and allocation of adequate human and financial resources.

UW administrative units – including Environmental Health & Safety, Emergency Management, the Police Department, Student Life Health & Wellness, and others – are the frontline of the institution’s commitment to providing a healthy and safe environment for faculty, staff, students, visitors and volunteers. However, a culture of safety does not take hold without broad acceptance and adoption of role-specific best practices, and the choice to follow them day in and day out. These seemingly routine and repetitive practices, when taken as a whole – and embraced by every member of the UW community, regardless of status – contribute to a culture of safety. As OSHA asserts in its guidance on creating a safety culture, “Any process that brings all levels within the organization together to work on a common goal that everyone holds in high value will strengthen the organizational culture . . . safety and health is a unique area that can do this.”²

The newly-created UW Compliance Services program facilitates and supports this work by providing a unifying framework for the University’s diverse compliance obligations and subject matter experts. It employs seven elements to assess and strengthen the effectiveness and maturity of the University’s compliance functions: 1) leadership and oversight, 2) standards of conduct, policies and procedures, 3) education and outreach, 4) monitoring and auditing, 5) receiving reports and investigating, 6)
accountability, incentives and corrective action, and 7) response and prevention. The program convenes subject matter experts to participate in ongoing assessments that emphasize continuous improvement.

Assessment

In February 2016, Health & Safety compliance assessment meetings brought together subject matter experts representing compliance topic areas from across the University: athletics, campus security, construction safety, emergency management, employee health centers, environmental contamination, facilities, risk services, safety of minors, student life, violence prevention, and worker health. Through those meetings, three compliance priority items were identified for focused attention over the next 18 months: Health & Safety Governance, Accident Prevention Plans, and Safety of Minors in UW-sponsored Programs.

The Health & Safety compliance assessment was led by:
Elise Chayet | Associate Administrator, Clinical Support Services & Planning, Harborview Medical Center
Elizabeth Cherry | Associate Vice Provost, Compliance & Risk Services
Jude Van Buren | Director, Environmental Health & Safety

Subject matter experts:
Emma Alder | Interim Occupational Health & Safety Manager, Environmental Health & Safety
Alieu Ann | Public Safety Director, Harborview Medical Center
Becky Bullock | Director, Risk Financing, Compliance & Risk Services
Steve Charvat | Director, Emergency Management, Facilities Services
Damon Fetters | Director, Facilities Maintenance & Construction, Facilities Services
Ron Fouty | Safety Director, Capital Planning & Development
Gloria Galloway | Commander, UW Police Department
Doug Gallucci | Assistant Director, Environmental Programs, Environmental Health & Safety
Dave Girts | Manager, Violence Prevention & Response Program, Human Resources
Mark Jenkins | Executive Director, Hall Health Center
Liz Kindred | Safety Officer, Harborview Medical Center
Tracey Mosier | Safety Manager, Facilities Services
Mark Murray | Assistant Director, Building & Fire Safety, Environmental Health & Safety
Jackie Mynarski | Associate Athletic Director, Compliance, Intercollegiate Athletics
Anne Newcombe | Clinical Director, Emergency Services, Harborview Medical Center
Pam Schreiber | Executive Director, Housing & Food Services
Sheryl Schwartz | Assistant Director, Campus Preventative Health, Environmental Health & Safety
Anna Stock | Property Rights Manager, UW Real Estate
Ellen Taylor | Assistant Vice President, Student Life and Director, Counseling Center
Gillian Wickwire | Threat Assessment & Management Specialist, Safe Campus
Melinda Young | Occupational Health & Biosafety Specialist, Washington National Primate Research Center
Summary of Priority Items

Priority Item 1: Health & Safety Governance
Board and committee structures governing health and safety compliance at UW developed over time and have not been comprehensively reviewed for effectiveness and efficiency. Various committees exist – covering a wide range of environmental and non-environmental health and safety issues – but most are advisory in nature and operational rather than strategic. There is presently no oversight body with the responsibility to assess, prioritize, and mitigate health and safety risks from a centralized, institutional perspective.

A task force will be created to review and make recommendations for improving the effectiveness and efficiency of the University of Washington’s health and safety governance structure.

Priority Item 2: Accident Prevention Plans
Accident Prevention Plans (APPs) – mandated by the Washington Industrial Safety and Health Act of 1973 – must be maintained by all UW organizational units. APPs are intended to function as the cornerstone of each department’s health and safety practices. However, plans vary significantly in how current, adequate and effective they are.

Environmental Health & Safety will establish clear institution-wide categories of environmental health and safety risk and develop a basic APP that can be utilized “off the shelf” by low-risk departments. A customizable APP will be created for departments with medium to high risk, and new education and outreach efforts to facilitate APP creation and maintenance will be launched.

Priority Item 3: Safety of Minors in University-sponsored Programs
More than 24,000 minors visit the University of Washington campus every year, participating in over 100 University-sponsored programs. While many of the programs are well established and have demonstrated a remarkable history of safety and success, there is currently no method for the institution to identify, monitor and support the University-sponsored programs that serve children and youth under the age of 18.

To ensure the safety of minors on campus, a comprehensive inventory of UW-sponsored programs will be created, and age- and program-appropriate guidelines and best practices will be established.

Additional Reading
Academic leaders create strong safety culture in colleges and universities, Journal of Chemical Health and Safety (2013); Robert C. Hill Jr., David C. Finster

Citations
University of Washington Health & Safety Compliance
Priority Item 1: Health & Safety Governance

Challenge Statement
Board and committee structures governing health and safety compliance at UW developed over time and have not been comprehensively reviewed for effectiveness and efficiency. Although various environmental health and safety committees exist, they are advisory in nature and operational rather than strategic (with a main responsibility to review accident reports and make recommendations for prevention). Non-environmental health and safety areas – including police and campus security, emergency management, safety of minors, employee and student health, and patient safety – have separate committees and functions. There is presently no oversight body with the responsibility to assess, prioritize, and mitigate health and safety risks from a centralized, institutional perspective.

Context
The University has many dedicated units with strong operations in the substantive work of preventing and responding to health and safety issues: Environmental Health & Safety, UWPD, Emergency Management, and Student Life, just to name a few. Environmental Health & Safety is an advisor and a resource for health and safety issues, but its scope of work is limited to environmental health and safety.

The University does not have a strong system of incentives for compliant behavior, consistently-enforced corrective measures for violations, or broadly-communicated accountability for ensuring the safety of faculty, staff, students, and the community. The responsibility for health and safety across UW campuses should lie with the leaders of departments and units themselves. A culture of safety must be embraced by all. Identification and ownership of campus-wide, coordinated health and safety initiatives – including training and education efforts – needs oversight and leadership.

Mitigation Plan
A task force will be created to review and make recommendations for improving the effectiveness and efficiency of the University of Washington’s health and safety governance structure. Items to be considered may include:
- Charters and memberships of existing boards and committees, and their reporting systems
- Identification of gaps in oversight and leadership
- Mechanisms for accountability regarding health and safety objectives
- Existing University policies and procedures, and identification of gaps
- Improved reporting to senior leadership on health and safety risks and compliance
- Leveraging existing resources and encouraging departmental initiatives across health and safety areas – in alignment with TAP objectives

Project Leads
Elizabeth Cherry | Associate Vice Provost, Compliance & Risk Services
David Anderson | Executive Director, Health Sciences Administration
Challenge Statement
Accident Prevention Plans* (APPs) – mandated by the Washington Industrial Safety and Health Act of 1973 (WISHA) – must be maintained by all UW organizational units. Health and safety committees, also required under WISHA, must review the APPs and discuss recommendations for improvement. Plans vary significantly in how current, adequate and effective they are. This poses challenges for the work of health and safety committees and for Environmental Health & Safety (EH&S), the department charged with managing and overseeing the APP Program.

Context
The University is a large, multifaceted organization with thousands of discrete workspaces accompanied by inherent and often unique health and safety concerns, for example: research labs, hospitals and clinics, training rooms for Husky athletes, restaurants and cafes, and scene and electrics shops in the School of Drama. APPs are critical documents intended to function as the cornerstone of each department’s health and safety practices, and to describe how employees are protected from occupational hazards particular to their work or role.

Each UW department or service unit is charged with developing and maintaining its own APP. Barriers to successful fulfillment of this function include:
- A burdensome and functionally obsolete template for APPs
- The lack of appropriate training available to those responsible for creating and maintaining APPs
- Ineffective or insufficient guidance provided to health and safety committees on their review of APPs, and
- The absence of clear consequences for departments or organizations that elect not to develop or update an APP

Mitigation Plan
Employing a collaborative approach with organizational units, EH&S will:
- Establish clear institution-wide categories of environmental health and safety risk, based on specific occupational hazards.
- Develop a basic APP that can be utilized “off the shelf” by low-risk departments (e.g. those in administrative offices and basic classrooms).
- Construct a customizable and educational APP template for moderate- to high-risk departments (e.g. spaces with chemicals, radiation, industrial tools, open flames, or are controlled or enclosed).
- Initiate new education and outreach efforts to facilitate APP creation and maintenance.
- Pilot the new program with select departments.
- Create improved guidance for health and safety committees to review APPs.
Project Leads
Emma Alder | Interim Occupational Health & Safety Manager, Environmental Health & Safety
Jude Van Buren | Director, Environmental Health & Safety

Sample of Relevant Laws and Regulations
- Washington Industrial Safety and Health Act: Chapter 49.17 RCW
- Accident Prevention Program: WAC 296-800-130 – 296-800-14025

Additional Reading
*Injury and Illness Prevention Programs: White Paper, Occupational Safety and Health Administration (January 2012)*

*Also known as Departmental Health & Safety Plans*
Challenge Statement
Ranging in age from three to seventeen, more than 24,000 minors participate in over 100 University of Washington programs as varied as the Educational Outreach Summer Day Camps, the Robinson Center for Young Scholars, and the Center for Urban Horticulture Nature Preschool. While many of the programs are well established and have demonstrated a remarkable history of safety and success, there is currently no method for the institution to identify, monitor and support the University-sponsored programs that serve children and youth under the age of 18. Moreover, federal and state laws do not prescribe the specific policies and procedures needed to keep minors safe and healthy.

Context
In the wake of the child abuse scandal at the Pennsylvania State University (Penn State), states across the nation passed legislation requiring college and university employees to report suspected child abuse. As of 2012, Washington state law dictates that such reporting be made directly to law enforcement or the Department of Social and Health Services. UW Administrative Policy Statement 11.8, Reporting Suspected Child Abuse, further details these expectations with regard to faculty, staff and volunteers.

Penn State commissioned the law firm Freeh Sporkin & Sullivan, LLP to perform an independent investigation. The resulting “Freeh Report” was published in 2012 and included recommendations for institutional governance and administration, aimed at protecting minors at Penn State. The UW Office of the President reviewed the Freeh Report and mapped its recommendations to existing UW policies and practices. At the same time, a Safety of Minors Committee was convened; its recommendations included the creation of the UW Youth Programs Development and Support Office, which launches this month.

The University of Washington sponsors many on- and off-campus programs whose primary focus is working with and for minors – their mission, practices, size, age range served, and infrastructure vary widely. Many of the programs offer important educational and mentoring experiences for the UW’s enrolled students. It is in the interest of the institution to ensure that these youth-serving programs operate within the University’s educational and strategic mission, as well as operationalize high standards for safety and compliance with laws and regulations.

Mitigation Plan
To ensure the safety of minors on campus, institutional infrastructure will be developed to identify, monitor and support youth-serving programs:

- Create a comprehensive inventory of UW-sponsored programs and services in which minors participate
- Work with programs to identify, develop and share age- and program-appropriate guidelines that align with University policy and reflect national best practices
• Create and launch a set of educational training and outreach programs for university employees whose work involves programming for or direct interaction with minors
• Identify, prioritize and develop policies that operationalize institutional goals and objectives. Possible priority areas include: screening and selecting employees and volunteers, including background checks; training requirements for employees and volunteers who work with minors; establishing and monitoring standards of conduct for interactions between staff and minors; incident reporting and response; and communication with parents and guardians.
• Provide strategic support and consultation services for the 100+ University programs whose primary purpose is working with minors

Project Leads
Caroline Shelton | Director, Youth Programs Development and Support
Jason Johnson | Associate Dean, Undergraduate Academic Affairs

Sample of Relevant Laws and Regulations
Federal
• Title IX of the Education Amendments of 1972: 20 U.S.C. 1681-1688
• Americans with Disabilities Act: 42 U.S.C. 12101-12213
• Clery Act: 20 U.S.C. 1092(f)

State
• Abuse of Children: Chapter 26.44 RCW
• Report of Child Abuse or Neglect – Reporting Responsibilities: Chapter 28B.10.846 RCW
BOARD OF REGENTS MEETING

Safety Update

This will be an oral report for information only.

BACKGROUND

In March 2016, the Board of Regents established the Safety Update as a standing agenda item to highlight leading safety indicators at the University of Washington. The Safety Update item will focus primarily on the areas of employee, student and patient safety.
SafeCampus Incidents and Assessments/VPATs

Assessments/Violence Prevention Assessment Team Meeting (VPAT): A formal meeting organized by SafeCampus that involves campus partners and appropriate UW departments to create a coordinated response plan to a reported incident.

March 2016 Counts By Incident Response

Level 1 Immediate Notification: (4)

Pertinent campus partners and departments are alerted immediately, VPAT is immediately convened when appropriate, and an action plan is produced.

Level 2 Standard Notification: (2)

Pertinent campus partners and departments are alerted within 1 business day, VPAT in scheduled within 2 business days when appropriate, and an action plan is created.

Level 3 Primary Responsibility of SafeCampus or Partner: (44)

The level of concern is sufficiently low that a VPAT is not needed; situation is responded to by SafeCampus or partner agency.

Level 4 Information or Material Provided: (3)
Behaviors of Concern Breakout
Total 27 Incidents

Behaviors of concern is used to categorize a range of behaviors that, while not violent, are disruptive to the workplace or campus community. This graph shows the detailed behaviors within this category.

- Workplace Conduct: 4 incidents
- Unwanted Contact (Non Relationship): 0 incidents
- Suspicious Activity: 7 incidents
- Stalking-Like Behavior: 3 incidents
- Stress in Personal/Academic Life: 2 incidents
- Personal Relationship: 1 incident
- Overreaction to Situations: 0 incidents
- Decline Performance/Attendance: 0 incidents
- Interpersonal Conflict (Non-Relationship): 0 incidents
- Cognition or Reality Perception Concerns: 4 incidents
- Blaming Others: 0 incidents
- Belligerence, Intimidation, Conflicts: 4 incidents
- Academic Conduct: 2 incidents
In 2015 SafeCampus became the UW’s designated central reporting point for concerns about suicide-related behavior.

### SafeCampus Incidents - Suicide Reports

![Graph showing suicide reports from Mar 2014 to Mar 2016]

### SafeCampus Incidents – UW Affiliation

<table>
<thead>
<tr>
<th>UW Affiliation of SafeCampus Incidents</th>
<th>Reporting Individual or Department</th>
<th>FOCUS: Person Experiencing</th>
<th>PIQ: Person Causing Concern</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unknown Identity</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Public</td>
<td>1</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>Public (patient)</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Public (Personal Relationship)</td>
<td>1</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Public (Previous UW Affiliation)</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>UW Faculty - Non Supervisor</td>
<td>5</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>UW Faculty - Supervisor</td>
<td>8</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>UW Graduate Student</td>
<td>0</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>UW Graduate Student Employee</td>
<td>2</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>UW Staff - Non Supervisor</td>
<td>14</td>
<td>8</td>
<td>9</td>
</tr>
<tr>
<td>UW Staff - Supervisor</td>
<td>17</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>UW Undergraduate Student</td>
<td>4</td>
<td>4</td>
<td>17</td>
</tr>
<tr>
<td>UW Undergraduate Student Employee</td>
<td>1</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>VPRP Partner</td>
<td>7</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Other</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>
March 2016 Safety Statistics

<table>
<thead>
<tr>
<th>Reports of student behavior involving harm or threat of harm to another</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students seeking advocacy services for the first time</td>
<td>17</td>
</tr>
<tr>
<td>Safe Campus reports(^1)</td>
<td>53</td>
</tr>
<tr>
<td>Accident reports received(^2)</td>
<td>258</td>
</tr>
<tr>
<td>Workers Compensation time loss claims received</td>
<td>9</td>
</tr>
<tr>
<td>Central line infections in patients</td>
<td>3 (15% reduction)</td>
</tr>
</tbody>
</table>

\(^1\) SafeCampus acts as the central point of communication and the coordinating unit for violence mitigation activities across the UW. The Violence Prevention and Response Program is a partnership of key players in campus safety and violence prevention, including Student Life, Human Resources, the Bothell and Tacoma campuses, UW and Harborview Medical Centers, the UW Police Department, Academic Human Resources, and the Graduate School. Detailed information is included in the attached report.

\(^2\) An accident is an event reported EH&S through OARS (Online Accident Reporting System) which may or may not result in an injury or Workers’ Comp claim.