July 7, 2016

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

WEDNESDAY, JULY 13, 2016

The Governance Committee Meeting on Wednesday, July 13, 2016 is canceled.

THURSDAY, JULY 14, 2016

8:30 to 9:30 a.m.  Bill & Melinda Gates Commons, Room CSE 691
Paul G. Allen Center for Computer Science & Engineering

*9:45 to 11:25 a.m.  Bill & Melinda Gates Commons, Room CSE 691
FINANCE AND ASSET MANAGEMENT COMMITTEE: Regents Jaech (Chair), Ayer, Benoliel, Blake, Harrell

ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regents Rice (Chair), Riojas, Simon, Wright-Pettibone

11:45 a.m.  Bill & Melinda Gates Commons, Room CSE 691
REGULAR MEETING OF BOARD OF REGENTS: Regents Shanahan (Chair), Ayer, Benoliel, Blake, Harrell, Jaech, Rice, Riojas, Simon, Wright-Pettibone

*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 dsos@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.
UNIVERSITY OF WASHINGTON
BOARD OF REGENTS

Finance and Asset Management Committee
Regents Jaech (Chair), Ayer, Benoliel, Blake, Harrell

July 14, 2016
8:30 to 9:30 a.m.
Bill & Melinda Gates Commons, Room CSE 691
Paul G. Allen Center for Computer Science & Engineering

Approval of Minutes of Committee Meeting on June 9, 2016

   Roy Lirio, Director, Student Fiscal Services
   Lisa Westlund, Compliance Officer, UW Medicine
   Compliance

2. Capital and Debt Update
   Chris Malins, Associate Vice President, Treasury
   Mike McCormick, Associate Vice President, Capital Planning and Development

3. Deferred Maintenance
   Mike McCormick, Associate Vice President, Capital Planning and Development
   Charles Kennedy, Associate Vice President, Facilities Services

4. Seattle North Campus Housing Phase IV(b): Stage 1 Approval – Approve Site, Architect Selection, Architect Contract, Preconstruction Budget and GC/CM Contract
   Rob Lubin, Associate Director, Facilities & Capital Planning, Housing and Food Services
   Mike McCormick, Associate Vice President, Capital Planning and Development

5. Approval of a Resolution to Issue General Revenue Obligations for University Projects and for Refunding
   Bill Starkey, Senior Associate Treasurer, Asset Liability Management, Treasury
   Annette Sommer, Associate Treasurer, Asset Liability Management, Treasury

   Scott Davies, Chief Operating Officer, UWINCO

7. Other Business
UNIVERSITY OF WASHINGTON
BOARD OF REGENTS

Academic and Student Affairs Committee
Regents Rice (Chair), Riojas, Simon, Wright-Pettibone

July 14, 2016
9:45 to 11:25 a.m.
Bill & Melinda Gates Commons, Room CSE 691
Paul G. Allen Center for Computer Science & Engineering

Approval of Minutes of Committee Meeting on June 9, 2016

1. Academic and Administrative Appointments
   Gerald J. Baldasty, Provost and Executive Vice President
   
2. Approve Revisions to Resolution: Federal Contracts – Officers of the University
   Benjamin Adams, Facility Security Officer, UW and Applied Physics Lab
   
3. Approval of the Graduate Certificate in Real Estate in the College of Built Environments
   Rebecca Aanerud, Associate Dean for Academic Affairs and Planning, The Graduate School
   John Schaufelberger, Dean, College of Built Environments
   
4. Approval of the Graduate Certificate in Digital Teaching and Learning in the UW Bothell School of Educational Studies
   Rebecca Aanerud, Associate Dean for Academic Affairs & Planning, The Graduate School
   Jane Van Galen, Professor, UW Bothell School of Educational Studies
   
5. Approve UW Tacoma Change of Status: Designation of the Institute of Technology and the Education Program at the University of Washington Tacoma as Collegiate-Level Units Headed by Deans
   Mark Pagano, Chancellor, UW Tacoma
   
6. Autumn 2016 Freshmen Enrollment Projections
   Philip Ballinger, Associate Vice Provost for Enrollment & Undergraduate Admissions
   Karl Smith, Associate Vice Chancellor, Chief Admissions Officer, UW Tacoma
   Steve Syverson, Assistant Vice Chancellor, Enrollment Management, UW Bothell
   
7. Student Retention Initiative
   Felipe Martinez, Manager of Student Success, Division of Student Life
   
8. Other Business
AGENDA

BOARD OF REGENTS
University of Washington

July 14, 2016
11:45 a.m.
Bill & Melinda Gates Commons, Room CSE 691
Paul G. Allen Center for Computer Science & Engineering

I. CALL TO ORDER

II. ROLL CALL: Assistant Secretary Shelley Tennant

III. CONFIRM AGENDA

IV. PUBLIC COMMENT PERIOD

V. BOARD ITEMS

Safety Update (Information only)
Elizabeth Cherry, Associate Vice Provost, Compliance and Risk Services

Approve 6-Year Prioritized Capital Plan and State Capital Budget Request (Action)
Mike McCormick, Associate Vice President, Capital Planning and Development

Report from the Office of Federal Relations (Information only)
Christy Gullion, Director of Federal Relations
Randy Hodgins, Vice President, External Affairs

UW Medicine Board Annual Patient Safety and Quality Report (Information only)
Kimberly McNally, Chair, UW Medicine Board Patient Safety and Quality Committee
Cindy Hecker, Interim Chief Health System Officer, UW Medicine
Rick Goss, Medical Director, Harborview Medical Center

Quarterly Compliance Report – Special Areas: Global Activities (Information only)
Elizabeth Cherry, Associate Vice Provost, Compliance and Risk Services and Interim Vice President, Finance & Facilities
Jeff Riedinger, Vice Provost, Global Affairs
Ann Anderson, Associate Vice President and Controller, Finance & Facilities
Joe Giffels, Associate Vice Provost for Research Administration and Integrity, Office of Research

Transforming Administration Program (TAP) Update (Information only)
Gerald J. Baldasty, Provost
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 June 9, 2016

Approve Revisions to Resolution: Federal Contracts – Officers of the University

Approval of the Graduate Certificate in Real Estate in the College of Built Environments

Approval of the Graduate Certificate in Digital Teaching and Learning in the UW Bothell School of Educational Studies

Approve UW Tacoma Change of Status: Designation of the Institute of Technology and the Education Program at the University of Washington Tacoma as Collegiate-Level Units Headed by Deans

Seattle North Campus Housing Phase IV(b): Stage 1 Approval – Approve Site, Architect Selection, Architect Contract, Preconstruction Budget and GC/CM Contract

Approval of a Resolution to Issue General Revenue Obligations for University Projects and for Refunding

IX. STANDING COMMITTEES

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

Academic and Administrative Appointments (Action)

Autumn 2016 Freshmen Enrollment Projections (Information only)

Student Retention Initiative (Information only)

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

Red Flag Rules – Identity Theft Compliance Program Annual Report (Information only)

Capital and Debt Update (Information only)

Deferred Maintenance (Information only)

UWINCO Board Update and Investment Performance Quarterly Report – Quarter Ended March 31, 2016 (Information only)
X. REPORTS TO THE BOARD

Faculty Senate Chair – Professor Norman Beauchamp

Student Leaders:
- ASUW President – Ms. Daniele Menez
- GPSS President – Ms. Elloise Kim
- ASUW Tacoma President – Mr. Berkan Koroglu
- ASUW Bothell President – Ms. Tanya Kumar

Alumni Association President – Mr. Jeff Rochon

XI. DATE FOR NEXT REGULAR MEETING: Thursday, August 11, 2016

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

XIII. ADJOURN
The Board of Regents held its regular meeting on Thursday, July 14, 2016, beginning at 11:45 a.m. in the Bill & Melinda Gates Commons, Room CSE 691 in the Paul G. Allen Center for Computer Science & Engineering. The notice of the meeting was appropriately provided to the public and the media.

CALL TO ORDER

Regent Shanahan, Board Chair, called the meeting to order at 11:45 a.m.

He announced it was the last regular Board meeting for UW Alumni Association President Jeff Rochon and Faculty Senate Chair Norm Beauchamp. On behalf of the Board, he thanked them for their service to the Board and the University.

GPSS President Elloise Kim and ASUW President Daniele Menez were both out of the country.

Regent Shanahan welcomed Austin Wright-Pettibone, the newly-appointed student member of the Board.

ROLL CALL

Assistant Secretary Tennant called the roll. Present were Regents Shanahan (chairing), Benoliel, Blake, Harrell, Jaech, Rice, Riojas, Simon, and Wright-Pettibone; President Cauce, Provost Baldasty, Ms. Goldblatt; designated representatives: Professor Beauchamp and Dr. Rochon.

Absent: Regent Ayer, designated representatives Ms. Kim and Ms. Menez

CONFIRM AGENDA

Regent Shanahan asked that agenda number B–2, approval of the 6-Year Prioritized Capital Plan and State Capital Budget Request, be heard for information, rather than as an action item, as posted on the preliminary meeting agenda. Hearing no objections, the agenda was confirmed as presented.

Regent Shanahan invited Computer Science & Engineering Chair and Professor Hank Levy to provide welcoming remarks and thanked Computer Science & Engineering for hosting the Board meeting. Professor Levy’s update on the CSE Building 2 status is attached to these minutes.
PUBLIC COMMENT PERIOD

Regent Shanahan announced the Board would receive comments from the public. This segment of the meeting provides Board members a chance to hear directly from the public on any subject pertaining to the University. Any Board member who has questions or 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 one community member who spoke about minority business participation at the University of Washington and about the alleged economic exploitation of African American student athletes in college football and basketball regarding their ability to “go pro.”

The speaker was not present at the time of the Public Comment Period but was invited to comment later in the meeting, following item B–1.

Regent Shanahan thanked the speaker for expressing his views and for attending the meeting.

BOARD ITEMS

Safety Update (Agenda no. B–1) (Information only)

Elizabeth Cherry, Associate Vice Provost of Compliance and Risk Services, provided a safety update. The Regents heard about safety statistics in five areas:

1) Reports of student behavior involving harm or threat of harm to another, by Jill Lee, Executive Director of Compliance Services;
2) Safe Campus Reports, by Dave Girts, Manager, Violence Prevention and Response Program, Human Resources;
3) “On the Job” accidents reports received, by Jude Van Buren, Director, Environmental Health and Safety;
4) Workers’ compensation time loss claims received, by Shari Spung, Director of Claim Services, Risk Services; and
5) Central line infections in patients, by Dr. Tim Dellit, Associate Dean for Clinical Affairs, UW Medicine.

Regent Shanahan commented the rationale for hearing this information is to determine if the right preventative measures and actions are in place. Regent Jaech asked about peer data for safety statistics.

See Attachment B–1.

Approve 6-Year Prioritized Capital Plan and State Capital Budget Request (Agenda no. B–2) (Changed from an Action to an Information item, by Board Chair request.)

Mike McCormick, Associate Vice President, Capital Planning and Development, presented the Capital Plan and the State Capital Budget Request. The request is due to the
state by September 15, so will be presented for approval by the Board at its meeting in September. A draft plan was presented to the Board at its meeting in June. The plan was developed with input from Schools and Colleges, vetted with the Board of Deans and Chancellors, Faculty Council on University Facilities, Senate Committee on Planning and Budgeting, and reviewed by the President and Provost.

Attachment 1 describes the prioritized six-year capital plan. Attachment 2 outlines the 2017-19 state capital budget request, listed in priority order, as required by the state. Mr. McCormick briefly described the importance of each of the projects. The attachment displays projections for future requests through the 2025-27 biennium.

Regent Jaech asked about the status of the Burke Museum and the University’s responsibility. The UW owns and manages the property and building and hosts the state museum. The UW plans to move forward with construction relying on the legislature to fill in the rest of the funding. A construction “off ramp” is in place if the legislature chooses not to provide funding. The Burke Museum provides outreach to the community and is a site of teaching, research, and learning.

Mr. McCormick affirmed the Regents would be asked to approve the submittal for the upcoming biennium as well as ten-year projections for future biennia.

Regent Shanahan said he hoped Regents would have a better understanding of the priorities and tradeoffs to enable them to express a consistent message about the capital needs of the University and how this aligns with the capital plan strategy. Regent Blake asked for more background detail and context about each of the projects for which the University is requesting funds from the state. Regent Simon requested a justification of the priority of each item. Regent Jaech asked how the deferred maintenance number was calculated. Mr. McCormick replied the UW develops this through interviews with the maintenance personnel familiar with the buildings. The minor capital repair number in the plan reflects the University’s goal to address infrastructure issues.

See Attachment B–2.

Report from the Office of Federal Relations (Agenda no. B–3) (Information only)

Randy Hodgins, Vice President of External Affairs, introduced Christy Gullion, Director of Federal Relations. Ms. Gullion is leaving her role as Director and will serve as Chief of Staff to Dean Ramsey in UW Medicine, effective on August 1, 2016. Sarah Martin Castro, Associate Director, will assume the position of Director of Federal Relations. Mr. Hodgins recognized the excellent work by Ms. Gullion during her time in the position. He praised her effectiveness in building relationships and her skillful mentoring and nurturing of a great staff. He thanked her and wished her well. Regent Simon added Ms. Gullion has been a “star” in D.C., well-respected on both sides of the aisle and has a history of accomplishments.

Ms. Gullion reported on three broad categories of federal agenda items and accomplishments in each area:
1) Maximizing federal support for research
Congress is making significant progress on its appropriations bills. Funding for the National Institutes of Health (UW’s major funding source), in particular, would be increased in FY17. The House is proposing a $1.25 billion increase, and the Senate $2 billion, on top of a $2 billion increase in the last fiscal year. There seems to be broad bipartisan support for medical and health sciences research. There are smaller funding increases proposed for the National Sciences Foundation. Likely these bills won’t be completed by the end of the federal fiscal year. Congress has recessed and will focus on a continuing resolution when they return in September.

2) Ensuring student access and diversity
Both the House and Senate have proposed a slight increase in the maximum Pell Grant award from $5,915 annually to $5,935 annually. This is a small increase but one in the right direction. The Senate proposal includes bringing back year ‘round Pell.

3) Meeting national public policy priorities
Reauthorizing large federal programs such as the Higher Education Act is still in process, likely to be completed next year. The America Competes Act reauthorizes science programs at NSF, NASA, NOAA, Office of Science and Technology, and the Department of Energy. A bipartisan group introduced a bill called American Innovation in Competitiveness Act to reauthorize science programs and ease the regulatory burden on researchers.

Ms. Gullion said the big issues pending include the Zika virus, gun violence, and gun control. She answered a question about potential impacts of the upcoming presidential election, and said any change in the balance of power changes the UW’s approach to the administration and congress. The UW’s priorities likely won’t change, but there may be an opportunity to match them to the administration’s priorities.

See Attachment B–3.

UW Medicine Board Annual Patient Safety and Quality Report (Agenda no. B–4) (Information only)

Kimberly McNally, Chair, UW Medicine Board Patient Safety and Quality Committee, was joined by Cindy Hecker, Interim Chief Health System Officer, UW Medicine; and Tim, Dellit, Associate Dean for Clinical Affairs, UW Medicine, to present this annual report, distributed to Regents in advance of the meeting. The report includes the quality journey and infrastructure improvement with a high-level on focus, results and metrics.

Ms. Hecker reported on the “quality journey” which began in 2000, when the Institutes of Medicine issued a report indicating there was significant harm occurring due to medical errors in hospitals across the country. UW Medical Center and Harborview found that while there was a focus on quality, it needed to be the top priority, and that there was room for improvement.

UW Medicine developed and adopted four pillar goals:
1) Focus on serving the patient/family
2) Provide the highest quality care  
3) Become the employer of choice  
4) Practice fiscal responsibility

Today there is a culture of service and quality excellence. The “Patients are First” initiative sets the framework for all that is done at UW Medicine. It uses robust data to move to outcomes. Ms. Hecker emphasized the importance of the UW Medicine Board and its entity Boards. Dr. Dellit described the dashboards and benchmarking currently in use. There has been steady improvement toward reaching the four star category. Physician satisfaction scores went up 10% in the past year.

Ms. Hecker closed by saying service quality and safety are the highest priority. In 2017, UW Medicine will continue on its quality service and safety journey along with transformation of care to deliver cost effective care and manage the health of populations while identifying and addressing health disparities.

UW Medicine is well-positioned to meet the triple aim mandated by the Affordable Care Act:
1) Improve the patient experience of care  
2) Improve the health of populations  
3) Reduce the cost of care

Ms. McNally presented highlights from the Patient Safety and Quality Committee.

Regent Blake, one of two Regents on the UW Medicine Board, thanked Ms. McNally for her service on the Safety and Quality Committee and said Regents can feel comfortable given the hard work and attention by various governing Boards.

Regent Shanahan commented on the costs of the Affordable Care Act and asked what the significant element is about changing the work. Dr. Dellit said it is minimizing unnecessary variability when not justified by medical evidence to offer a consistent level of care throughout the system with standardization and alignment. He said it’s about challenging assumptions.

See Attachment B–4.

**Quarterly Compliance Report – Special Areas: Global Activities** (Agenda no. B–5)  
(Information only)

Elizabeth Cherry, Associate Vice Provost, Compliance and Risk Services and Interim Vice President, Finance & Facilities, introduced the third of six compliance assessment reports.

Ann Anderson, Associate Vice President and Controller in Finance & Facilities, described the compliance priority item regarding the Clery Act in foreign locations.
Joe Giffels, Associate Vice Provost for Research Administration and Integrity, Office of Research, introduced export controls administration. This is regulated by multiple federal agencies including the Departments of Commerce, Treasury, and State.

Regent Shanahan underscored the fact that national security threats are real. Cyber security is an area of interest for many people. He encouraged targeted audits and on-line training for targeted groups.

Jeff Riedinger, Vice Provost of Global Affairs, provided an overview of the challenges of compliance in global activities. He believes the UW’s global footprint is beneficial despite the compliance risks. Global work benefits the community, state, nation, and the world by putting the best and brightest student and faculty minds together with similar colleagues across the globe. The UW is one of the world’s leading global universities and aspires to work safely and ethically in a complicated landscape. Dr. Riedinger said the UW is “bringing the world to Washington and Washington to the world.”

Regent Rice asked about cultural norms, specifically viewpoints and policies related to LGBTQ in other countries and how these views might impact UW students and faculty members while abroad. Vice Provost Riedinger said this information is included in pre-departure orientations, where travelers are alerted to different cultural norms. When the risks become too great (persecution, imprisonment), informed choices need to be made, similar to those around health and safety risks. He added, there are risks of being politically active while trying to influence policy and affect change.

See Attachment B–5.

**Transforming Administration Program (TAP) Update** (Agenda no. B–6) (Information only)

Regent Shanahan introduced the item by saying the University of Washington is the third largest employer in the state. Half of it, by revenue, is UW Medicine. There are lots of administrative responsibilities, so the TAP is very important as it affects distributed facilities, multiple departments, and legacy computer systems, as the UW transforms itself to deliver services economically.

Provost Baldasty provided an update of the one-year-old TAP. He described the status scorecard, progress to date, and ongoing work. The UW is working to develop systems, structure, and accountability. The hiring process to recruit an Executive Vice President for finance and administration is underway. This person will be critical to creating efficiencies in central units. The executive offices (President and Provost) have combined staffs, revised senior leadership, and are revising the structure to consolidate support staff. The Provost stressed accountability. In response to feedback from a TAP survey, Academic Personnel created a new online hiring plan process. This process expedites the task for Deans and administrators, who report the new process is easier to manage and review and offers improved electronic tracking. The Office of Sponsored Programs refocused its managerial portfolios to speed up turnaround time. The internal cost of renovating facilities has been reduced and projects are being completed more quickly. The survey identified changes needed in procurement services, which is reorganizing its
work to be more efficient and meet the goals they have established. Provost Baldasty said the TAP is creating a broader culture of service. He is asking units what have they done and what more are they planning to do in the future. A group of staff members from about forty campus units form an ambassador group to work with TAP and help achieve “buy in” for the changes. The Provost and TAP are working on communicating small but significant changes.

See Attachment B–6.

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

Regent Shanahan said Jeff Rochon, UWAA President, and Norm Beauchamp, Faculty Senate Chair, were both ending their one-year terms. He thanked Dr. Rochon for his efforts to build relationships and advocate for alumni, connecting and reconnecting a remarkable number of them with the University. He recognized Dr. Rochon’s efforts to bring the alumni voice to Olympia and said he values his contributions, partnership, and friendship.

Regent Shanahan said “Doctor Norm” taught him about aphorisms, Regent Shanahan offered Dr. Beauchamp an aphorism in the form of a lyric from an Elvis Presley song, “A little less conversation, a little more action, please,” saying this captures Dr. Beauchamp’s penchant for leading and doing and added he taught the Board that shared governance can work. Regent Shanahan thanked him for his creative dialogue and candor and said he represents the outstanding faculty at the University.

Regent Shanahan welcomed Austin Wright-Pettibone, the newly-appointed student member of the Board, and invited him to make a few remarks. Regent Wright-Pettibone said it was a real honor to be part of the Board of the University that has so changed his life, and the lives of his family members, and other students. His path to coming to the Board included hearing a “job talk” by Provost Baldasty where he talked about coming to the University and having his life completely changed by being a part of the campus. He plans to look at how to create opportunities for students to have transformative experiences while they are at the University. He recalled an early meeting with President Cauce, when she was Provost and he was a PACS member, where she talked about being the Provost of “socks and underwear,” and the critical question was how to maintain the University for the next generations. As a Chemical Engineering student, he is passionate about STEM education and sees the University’s role to drive forward innovative changes to create opportunities. His goal is to bring people together to form a University community.

Regent Shanahan thanked the Regents for their participation in the three commencement ceremonies. He asked President Cauce to thank Sara Griggs, Director of the Office of Ceremonies, for her outstanding work on the magnificent ceremonies. He was proud to hear speeches from student leaders Alex Bolton, Tyler Wu, Dominick Juarez, and Sophie Nop.

Regent Shanahan recently attended the UWPD headquarters opening and dedication. He gave a “shout out” to Chief Vinson for his work to put together the special ceremony
which featured retired and former UWPD officers and chiefs. The event featured tours of the new facility and reflected remarkable outreach and participation from other law enforcement agencies, demonstrating the relationships between the Department and the local community.

Regents Shanahan invited Regent Harrell to provide a brief update on the Diversity, Equity, and Inclusion Advisory Committee. She said it is “moving along” with outreach to potential committee members. In the area of procurement and contracting, the work with Angela Battle and Jim Evans on the Dashboard continued with the goal to present this scorecard to the Board in October.

The Board will meet in Spokane in September and has the exciting goal of going paperless that month.

Pat thanked Ed Sponholz, from UW Video, for his work on the audio production of the meetings.

REPORT OF THE UNIVERSITY PRESIDENT: President Cauce

President Cauce recognized Professor Beauchamp and Dr. Rochon for their terrific work. She said TAP is about culture change and she has seen that with UWAA, as it has become more relevant as a strong and active advocacy organization. UWAA plays a role in convening important conversations, as it did during the Race and Equity Initiative.

She praised Dr. Beauchamp’s success in making the Faculty Senate more relevant and a full and equal partner working together with the administration to achieve the best experience for students and faculty members.

President Cauce offered highlights of University. The faculty was recognized for its work on innovation as the UW was ranked 19th in the world in granted patents and expects to have best year ever for start-ups. She said she continues to find new parts of the University that amaze her. She recently attended a fundraiser on San Juan Island for Airlift Northwest, an organization that provides air transport for people needing medical care, despite their ability to pay.

The UW ranked tenth in the Leiden science rankings. These are based on hard impact numbers for publications and citations.

The UW has a community of supporters who are continuing their tradition of generosity and this is expected to be the best fundraising year ever. This reflects the great work of students and faculty, supported by administrative teamwork.

CONSENT AGENDA

Regent Shanahan noted there were seven 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 Rice, seconded by Regent Simon, the Board voted to approve the seven items on the consent agenda as shown below:

Minutes for the meeting of June 9, 2016

Approve Revisions to Resolution: Federal Contracts – Officers of the University (Agenda no. A–2)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve an update to a resolution passed on January 2, 2014 regarding security of classified information related to Federal contracts with the University of Washington.

The recent membership changes on the Board of Regents necessitate this proposed update to the resolution.

See Attachment A–2.

Approval of the Graduate Certificate in Real Estate in the College of Built Environments (Agenda no. A–3)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to Graduate Faculty in the College of Built Environments to offer the Graduate Certificate in Real Estate, effective Autumn Quarter 2016. The graduate certificate will be housed in the College of Built Environments Dean’s Office, with faculty oversight by an interdisciplinary faculty group reporting to the Dean. The certificate program will have provisional status with a review to be scheduled for the 2021-2022 academic year. At such time that continuing status is granted, a ten-year review cycle would begin.

See Attachment A–3.

Approval of the Graduate Certificate in Digital Teaching and Learning in the UW Bothell School of Educational Studies (Agenda no. A–4)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to the UW Bothell School of Educational Studies to offer the Graduate Certificate in Digital Teaching and Learning, effective Autumn Quarter 2016. The graduate certificate program will have provisional status with a review to be scheduled for the 2021-2022 academic year. At such time that continuing status is granted, a ten-year review cycle would begin.

See Attachment A–4.

Approve UW Tacoma Change of Status: Designation of the Institute of Technology and the Education Program at the University of Washington Tacoma as Collegiate-Level Units Headed by Deans (Agenda no. A–5)
It was the recommendation of the Administration and the Academic and Student Affairs Committee that the status of the Institute of Technology and the Education Program at the University of Washington Tacoma be changed to schools in a collegiate-level unit each under the leadership of a dean, with the effective date of the transition to occur with the appointment date of the inaugural dean.

See Attachment A–5.

**Seattle North Campus Housing Phase IV(b): Stage 1 Approval – Approve Site, Architect Selection, Architect Contract, Preconstruction Budget and GC/CM Contract** (Agenda no. F–4)

It was the recommendation of the administration and the Finance and Asset Management Committee that the Board of Regents approve the Seattle North Campus Housing Phase IV(b): Stage 1:

1. Project Site (Development Site 71C);
2. Architect Selection and delegate the contract award;
3. Delegate Award of General Contractor/Construction Manager Contract;
4. Preconstruction Budget of $10 million.

See Attachment F–4.

**Approval of a Resolution to Issue General Revenue Obligations for University Projects and for Refunding** (Agenda no. F–5)

It was the recommendation of the administration and the Finance and Asset Management Committee that the Board of Regents approve:

1. A resolution to allow for the issuance of General Revenue obligations through July 31, 2017 for the following purposes:
   a. The issuance of General Revenue Bonds not to exceed $210 million; and
   b. The refunding of any existing debt issued by or on behalf of the University that provides an economic benefit;
2. The funding plan for fiscal year 2017 to include use of the Capital Assets Pool (CAP), remaining bond proceeds, and debt; and
3. Delegation to the President or the designee(s) of the President the authority to proceed with the issuance of the bonds, to establish all other terms of the bonds, and to execute other documents and approvals as required to complete the transactions.

See Attachment F–5.

**STANDING COMMITTEES**

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

Provost Baldasty highlighted the appointments of new faculty reflects enrollment demand and the core mission of the University.
Academic and Administrative Appointments (Agenda no. A–1)

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

See Attachment A–1.

**Autumn 2016 Freshmen Enrollment Projections** (Agenda no. A–6)

See Attachment A–6.

**Student Retention Initiative** (Agenda no. A–7)

See Attachment A–7.

FINANCE AND ASSET MANAGEMENT COMMITTEE: Regent Jaech, Chair


See Attachment F–1.

**Capital and Debt Update** (Agenda no. F–2)

See Attachment F–2.

**Deferred Maintenance** (Agenda no. F–3)

See Attachment F–3.

**UWINCO Board Update and Investment Performance Quarterly Report – Quarter Ended March 31, 2016** (Agenda no. F–6)

See Attachment F–6.

REPORTS TO THE BOARD OF REGENTS

**Faculty Senate Chair:** Professor Norman Beauchamp

Dr. Beauchamp said he has been at the University of Washington for fourteen years, in various leadership roles, and this has been the most inspiring year. It has been a privilege for him to represent the faculty and work with the Board. He hoped for some level of alignment and found inspiration, friendship, and partnership. The Board’s dedication, he said, is inspiring. He offered an aphorism from Winston Churchill, “This is not the end, this is not the beginning of the end, but perhaps it’s the end of the beginning.” He has seen new and renewed momentum in the Faculty Senate.
Dr. Beauchamp said he is proud of:

1) Shared governance, including the relationship between the Faculty Senate and the Board of Regents, and the level of shared governance with faculty in the Faculty Senate;
2) the beginning of greater accountability during a transition from being reactive to proactive;
3) the beginning of a greater focus on equity, diversity, and inclusiveness; and
4) the beginning of a focused effort in succession planning.

Michael Townsend has been selected to be Secretary of the Faculty for a five-year term. Dr. Beauchamp introduced Zoe Barsness, the incoming chair of the Faculty Senate. Her academic field is organizational theory. She is a leader in shared governance at UW Tacoma and at UW Seattle.

**ASUW President:** Ms. Daniele Menez was not present.

**GPSS President:** Ms. Elloise Kim was not present.

**ASUW Tacoma President:** Mr. Berkan Koroglu

Mr. Koroglu introduced himself and provided some background. He was raised in Istanbul, Turkey, and lived there until he moved to New York at the age of eighteen. He came to Washington to attend Pierce Community College in Lakewood and then transferred to UW Tacoma in the spring quarter. He acknowledged Ms. Nop left “big shoes to fill” and set high expectations. His directors recently held a retreat and he has met with the Vice Chancellor and Chancellor. He highlighted the diversity on the UW Tacoma campus. He is working with the Chancellor on a shared governance memorandum and meeting with various people on campus.

**ASUW Bothell President:** Ms. Tanya Kumar was not present.

**Alumni Association President:** Dr. Jeff Rochon

Dr. Rochon reflected on an action-packed and rewarding year during which he worked with amazing people on a variety of important topics. He feels privileged to be a representative of the greater good at the University. He became a UWAA Trustee nine years ago and continued to serve to keep people involved for the benefit of the University. UWAA changed strategically when advocacy began and UW Impact was formed and became a unique entity reinforcing the relationship between the UW and the UWAA. He remains committed to being involved with UW Impact and the University. He thanked the Regents for their inclusiveness, commitment, engagement, and for the respect they have for one another and for the University. He thanked the President and Provost, saying he was especially grateful to have been involved in their selection and hiring. He is excited about the future and proud of the University. He thanked Vice President Connie Kravas for her vision for Advancement and thanked the hard-working staff of the UWAA.
Dr. Rochon highlighted the work the UWAA did with the Graduate School presenting the Equity and Difference Lecture Series in conjunction with the Race and Equity initiative.

In the past year, 3300 advocacy messages were sent to legislators through UW Impact, which also conducted its first poll to identify alumni issues and make legislators aware of them.

UWAA continues its efforts to lower the “Cascade Curtain” by hosting social events in Spokane, sponsoring a Husky 509 newsletter, and with the upcoming Mighty Tieton Block Party, near Yakima, on July 30.

Clyde Walker will serve as UWAA President next year. He is a dynamic and engaged leader.

DATE FOR NEXT MEETING

The next regular meeting of the Board of Regents scheduled on Thursday, August 11, 2016, is canceled. The next regular meeting of the Board of Regents is scheduled on Thursday, September 8, 2016, in Spokane, Washington.

EXECUTIVE SESSION

Regent Shanahan announced the Regents would hold an executive session to review the performance of public employees.

ADJOURNMENT

Returning to open session, Regent Shanahan adjourned the regular meeting at 4:00 p.m.

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Joan Goldblatt
Secretary of the Board of Regents

Approved at the meeting of the Board on September 8, 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
Department of Philosophy
Woody, Andrea Isaacs
Chair, Philosophy, effective 7/1/2016
Continuing Appointments:
• Associate Professor, Philosophy
• Adjunct Associate Professor, Dance
• Adjunct Associate Professor, History
Degrees:
• PhD, 1997, University of Pittsburgh
• PhD, 1996, University of Pittsburgh
• BA, 1987, Princeton University

Department of Sociology
Stovel, Katherine Wellesley
Chair, Sociology, effective 7/1/2017
Continuing Appointment:
• Professor, Sociology
Degrees:
• PhD, 1999, University of North Carolina
• MA, 1994, University of North Carolina
• BA, 1988, Stanford University

Michael G. Foster School of Business
Department of Marketing and International Business
Forehand, Mark Robeck
Chair, Marketing and International Business, effective 7/1/2016
Continuing Appointments:
• Professor, Marketing and International Business
• Adjunct Professor, Global Health
Degrees:
• PhD, 1997, Stanford University
• BA, 1992, Stanford University
Michael G. Foster School of Business
Chen, Xiao-Ping

Associate Dean, Foster School, effective 7/1/2016
Continuing Appointment:
- Professor, Management and Organization

Degrees:
- PhD, 1998, University of Illinois
- MA, 1992, University of Illinois
- MED, 1988, Hangzhou University
- BS, 1985, Hangzhou University

School of Dentistry
Department of Pediatric Dentistry
Dodson, Thomas B.

Acting Chair, Pediatric Dentistry, effective 7/1/2016
Continuing Appointments:
- Professor, Oral and Maxillofacial Surgery
- Associate Dean, Dentistry
- Chair, Oral and Maxillofacial Surgery

Degrees:
- DMD, 1984, Harvard School of Dental Medicine
- MPH, 1984, Harvard University
- BA, 1979, University of Oregon

Daniel J. Evans School of Public Policy and Governance
Daniel J. Evans School of Public Policy and Governance
Thomas, Craig Warren

Associate Dean, Evans School of Public Policy and Governance, effective 7/1/2016
Continuing Appointments:
- Professor, Evans School of Public Policy and Governance
- Adjunct Professor, Political Science
- Adjunct Professor, School of Environmental and Forest Sciences

Degrees:
- PhD, 1997, University of California (Berkeley)
- MPP, 1988, University of California (Berkeley)
- BA, 1983, University of Washington
**University of Washington, Tacoma**

**Kayaoglu, Turan**  
Associate Vice Chancellor, Tacoma, effective 7/1/2016  
Continuing Appointment:  
- Professor, School of Interdisciplinary Arts and Sciences, Tacoma

Degrees:  
- PhD, 2005, University of Washington  
- MA, 1999, University of Denver  
- BA, 1996, Bilkent University (Turkey)

**Purdy, Jill Marie**  
Associate Vice Chancellor, Tacoma, effective 7/1/2016  
Continuing Appointment:  
- Associate Professor, Milgard School of Business, Tacoma

Degrees:  
- PhD, 1994, Pennsylvania State University  
- BA, 1988, College of William and Mary

**Milgard School of Business, Tacoma**

**Smith, Howard Lee**  
Dean, Milgard School of Business, Tacoma, effective 7/1/2016  
Continuing Appointment:  
- Professor, Milgard School of Business, Tacoma

Degrees:  
- PhD, 1976, University of Washington  
- MS, 1973, University of California (Los Angeles)  
- BS, 1971, San Diego State University

**Social Work Program, Tacoma**

**Diehm, Thomas Michael**  
Acting Director, Social Work, Tacoma, effective 8/1/2016  
Continuing Appointments:  
- Principal Lecturer, Social Work, Tacoma  
- Adjunct Principal Lecturer, Social Work

Degrees:  
- PhD, 2004, Portland State University  
- Master Of Social Work, 1993, University of Denver  
- Bachelor in Social Work, 1991, University of Southern Colorado  
- MA, 1980, Indiana University of Pennsylvania  
- BA, 1978, University of Nebraska
ENDOWED APPOINTMENTS

College of Arts and Sciences
Department of Linguistics
Aldridge, Edith
Howard And Frances Nostrand Endowed Professorship, effective 7/1/2016
Continuing Appointments:
- Associate Professor, Linguistics
- Adjunct Associate Professor, Asian Languages and Literature
Degrees:
- PhD, 2004, Cornell University
- MA, 1992, Sophia University (Japan)
- BA, 1990, Sophia University (Japan)

Michael G. Foster School of Business
Department of Accounting
Curtis, Asher
Herbert O. Whitten Endowed Professorship In Accounting, effective 7/1/2015
Continuing Appointment:
- Assistant Professor, Accounting
Degrees:
- PhD, 2007, University of New South Wales (Australia)
- MCom, 2003, University of New South Wales (Australia)
- BComm, 2001, University of New South Wales (Australia)

Hodge, Frank Douglas
Emmett S. Harrington Endowed Professorship, effective 7/1/2014
Michael G. Foster Endowed Fund for Faculty, effective 7/1/2016
Continuing Appointment:
- Professor, Accounting
Degrees:
- PhD, 2000, Indiana University
- MBA, 1996, Indiana University
- BA, 1988, Carroll College (Montana)

Matsumoto, Dawn A.
Gerhard G. Mueller Endowed Professorship In Accounting, effective 7/1/2015
Continuing Appointment:
- Professor, Accounting
Degrees:
- PhD, 1998, University of Washington
- BBA, 1989, University of Hawaii
McVay, Sarah Elizabeth  
**Deloitte & Touche Endowed Professorship In Accounting, effective 7/1/2015**
Continuing Appointment:  
- Professor, Accounting  
Degrees:  
- PhD, 2004, University of Michigan (Ann Arbor)  
- BA, 1997, University of Oregon

Palmrose, Zoe-Vonna  
**Kermit O. Hanson Professorship, effective 7/1/2014**
Continuing Appointment:  
- Acting Professor, Accounting  
Degrees:  
- PhD, 1982, University of Washington  
- MBA, 1978, University of Washington  
- BS, 1968, Oregon State University

Department of Finance and Business Economics  
Duchin, Ran  
**William A. Fowler Endowed Professorship in Business, effective 7/1/2015**
Continuing Appointment:  
- Associate Professor, Finance and Business Economics  
Degrees:  
- PhD, 2008, University of Southern California  
- MBA, 2003, Hebrew University (Israel)  
- BA, 2001, Hebrew University (Israel)

Department of Management and Organization  
Chen, Xiao-Ping  
**Mark Pigott Chair in Business Strategic Leadership, effective 7/1/2016**
Continuing Appointments:  
- Professor, Management and Organization  
- Associate Dean, Foster School  
Degrees:  
- PhD, 1998, University of Illinois  
- MA, 1992, University of Illinois  
- MED, 1988, Hangzhou University  
- BS, 1985, Hangzhou University
Johnson, Michael D.
Boeing Endowed Professorship In Business Management, effective 7/1/2015
Continuing Appointment:
• Associate Professor, Management and Organization
Degrees:
• PhD, 2006, Michigan State University
• MA, 1999, University of Phoenix
• BA, 1985, Hope College

Shansby, Gary
Edward V. Fritzky Endowed Visiting Chair In Leadership, effective 7/1/2016
Continuing Appointment:
• Affiliate Professor, Management and Organization
Degree:
• BA, 1959, University of Washington

Department of Marketing and International Business
Rutz, Oliver
Marion B. Ingersoll Professorship, effective 7/1/2015
Continuing Appointment:
• Associate Professor, Marketing and International Business
Degrees:
• PhD, 2007, University of California (Los Angeles)
• MBA, 2003, University of California (Los Angeles)
• BA, 1999, University of Heidelberg (Germany)

College of the Environment
School of Aquatic and Fishery Sciences
Roberts, Steven Beyer
Kenneth K. Chew Endowed Professorship in Aquaculture, effective 7/1/2016
Continuing Appointment:
• Associate Professor, Aquatic and Fishery Sciences
Degrees:
• PhD, 2002, University of Notre Dame
• BS, 1997, North Carolina State University
School of Environmental and Forest Sciences
Graumlich, Lisa

Professor Mary Laird Wood Professorship, effective 7/1/2016
Continuing Appointments:
• Professor, School of Environmental and Forest Sciences
• Adjunct Professor, Biology
• Dean, College of the Environment

Degrees:
• PhD, 1985, University of Washington
• MS, 1978, University of Wisconsin
• BS, 1975, University of Wisconsin

School of Oceanography
Wilcock, William Sam Douglas
Jerome M. Paros Endowed Chair In Sensor Networks, effective 7/1/2016
Continuing Appointments:
• Professor, Oceanography
• Adjunct Professor, Earth and Space Sciences

Degrees:
• PhD, 1992, Massachusetts Institute of Technology
• MSC, 1986, Imperial College
• BA, 1985, Cambridge University (UK)

School of Medicine
Department of Surgery
Meissner, Mark Harmon

Peter Gloviczki Term Professorship in Venous and Lymphatic Disorders, effective 7/1/2016
Continuing Appointment:
• Professor without Tenure, Surgery

Degrees:
• MD, 1985, University of Colorado (campus unspecified)
• BS, 1980, University of Utah

Department of Urology
Lin, Daniel Wei

Pritt Family Endowed Chair in Prostate Cancer Research, effective 7/1/2016
Continuing Appointment:
• Professor, Urology

Degrees:
• MD, 1994, Vanderbilt University
• BS, 1989, Stanford University
School of Nursing
Department of Family and Child Nursing
Spiker, Susan J.
Kathryn Barnard Endowed Professorship for Infant Mental Health, effective 7/1/2016
Continuing Appointments:
• Professor, Family and Child Nursing
• Adjunct Professor, Psychology
Degrees:
• PhD, 1982, Cornell University
• BA, 1974, New College of Florida

Department of Psychosocial and Community Health
Boutain, Doris M.
John and Marguerite Walker Corbally Professorship In Public Service, effective 7/1/2016
Continuing Appointment:
• Associate Professor, Psychosocial and Community Health
Degrees:
• MN, 2000, University of Washington
• PhD, 2000, University of Washington
• BSN, 1994, Southern University at New Orleans

School of Public Health
Department of Biostatistics
Heagerty, Patrick J.
Gilbert S. Omenn Endowed Chair in Biostatistics, effective 10/1/2016
Continuing Appointment:
• Professor, Biostatistics
Degrees:
• PhD, 1995, Johns Hopkins University
• MS, 1991, State University of New York (Albany)
• BS, 1985, Cornell University

Thornton, Timothy
Robert W. Day Endowed Professorship in Public Health, effective 10/1/2016
Continuing Appointment:
• Associate Professor, Biostatistics
Degrees:
• PhD, 2005, University of Chicago
• BS, 1998, Hampton University
University of Washington, Tacoma
Milgard School of Business, Tacoma

Smith, Howard Lee
Gary E. and James A. Milgard Endowed Deanship, effective 7/1/2016
Degrees:
- PhD, 1976, University of Washington
- MS, 1973, University of California (Los Angeles)
- BS, 1971, San Diego State University

NEW APPOINTMENTS

College of Arts and Sciences
Department of Asian Languages and Literature
Lu, Chan
Assistant Professor, Asian Languages and Literature, effective 9/16/2016
Degrees:
- PhD, 2009, Carnegie Mellon University
- MA, 2005, Beijing University (China)
- BA, 2002, Xiangtan University

Department of History
Marhoefer, Laura Teresa
Assistant Professor, History, effective 9/1/2016
Degrees:
- PhD, 2008, Rutgers University
- BA, 2000, Columbia University

Department of Physics
Parno, Diana Marwick Seymour
Research Assistant Professor, Physics, effective 6/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Physics
Degrees:
- PhD, 2011, Carnegie Mellon University
- MS, 2006, Carnegie Mellon University
- AB, 2004, Harvard University
Schlichting, Soeren  
Research Assistant Professor, Physics, effective 9/16/2016  
Degrees:  
- PhD, 2013, Ruprechts Karl University  
- PhD, 2013, University of Heidelberg (Germany)  
- MSC, 2010, Michigan State University  
- BSC, 2009, Technische Universit

Department of Statistics  
Chen, Yen-Chi  
Assistant Professor, Statistics, effective 9/16/2016  
Degrees:  
- PhD, 2016, Carnegie Mellon University  
- MS, 2013, Carnegie Mellon University  
- BS, 2011, National Taiwan University

Harchaoui, Zaid  
Assistant Professor, Statistics, effective 9/1/2016  
Degrees:  
- PhD, 2008, Institut des Sciences et Technologies de Paris (France)  
- MSC, 2004, Institut des Sciences et Technologies de Paris (France)

School of Art, Art History, and Design  
Desjardins, Audrey  
Acting Assistant Professor, pending Ph.D., Art, Art History, and Design, effective 12/16/2016  
Degrees:  
- PhD - Expected, 2016, Simon Fraser University (Canada)  
- MA, 2012, Simon Fraser University (Canada)  
- BA, 2009, University of Montreal (Canada)

School of Dance  
Lincoln, Rachael Elizabeth  
Assistant Professor, Dance, effective 9/16/2016  
Prior UW Appointment:  
- Lecturer, Full-time, Dance  
Degrees:  
- MFA, 2009, University of California (Los Angeles)  
- BA, 1996, University of Arizona

School of Music  
Lulich, Benjamin  
Artist In Residence, Music, effective 9/16/2016  
Degree:  
- BM, 2005, Cleveland Institute of Music
Whiting, Bonnie Anne  
**Artist In Residence, Music, effective 9/16/2016**  
Degrees:  
- DMA, 2012, University of California (San Diego)  
- MM, 2009, University of Cincinnati  
- BM, 2004, Oberlin Conservatory

Michael G. Foster School of Business  
Department of Accounting  
deHaan, Eduard  
**Assistant Professor, Accounting, effective 7/1/2016**  
Degrees:  
- PhD, 2013, University of Washington  
- MA, 2008, San Francisco State  
- BA, 2001, University of California (Santa Cruz)

Grant, Stephanie Marie  
**Assistant Professor, Accounting, effective 7/1/2016**  
Degrees:  
- PhD, 2016, University of Illinois (Urbana)  
- MA Accounting, 2008, University of Northern Iowa  
- BS, 2007, University of Northern Iowa

Department of Information Systems and Operations Management  
Rachamadugu, RamMohan Venkata  
**Senior Lecturer, Full-time, Information Systems and Operations Management, effective 9/16/2016**  
Degrees:  
- PhD, 1982, Carnegie Mellon University  
- MS, 1980, Carnegie Mellon University  
- MBA, 1972, Indian Institute of Management (India)  
- BS, 1970, University of Madras (India)

Department of Marketing and International Business  
Mummalaneni, Narasimha  
**Assistant Professor, Marketing and International Business, effective 7/1/2016**  
Degrees:  
- PhD, 2016, Northwestern University  
- MS, 2012, Northwestern University  
- AB, 2010, University of Chicago
School of Dentistry
Department of Oral Medicine
Taylor, Stuart
Clinical Assistant Professor, Dental Pathway, Oral Medicine, effective 7/1/2016
Degrees:
• MSD, 2009, University of Washington
• Bachelor of Dental Surgeons, 2000, University of Manchester (UK)

College of Engineering
Department of Computer Science and Engineering
Hsia, Justin Ezekiel
Lecturer, Full-time, Computer Science and Engineering, effective 9/1/2016
Degrees:
• PhD, 2015, University of California (Berkeley)
• MS, 2011, University of California (Berkeley)
• BS, 2007, University of California (Berkeley)
• BSME, 2007, University of California (Berkeley)

Department of Electrical Engineering
Ratliff, Lillian Jane
Assistant Professor, Electrical Engineering, effective 8/1/2016
Prior UW Appointment:
• Affiliate Associate Professor, Electrical Engineering
Degrees:
• PhD, 2015, University of California (Berkeley)
• MSEE, 2010, University of Nevada
• Bachelor Of Electrical Engeneering, 2008, University of Nevada

College of the Environment
School of Aquatic and Fishery Sciences
Padilla Gamino, Jacqueline Lilia
Assistant Professor, Aquatic and Fishery Sciences, effective 8/16/2016
Prior UW Appointment:
• Affiliate Assistant Professor, Aquatic and Fishery Sciences
Degrees:
• PhD, 2011, University of Hawaii
• MS, 2005, California State University (Northridge)
• BS, 2001, Universidad Autonoma de Baja California

Wood, Chelsea Lynne
Assistant Professor, Aquatic and Fishery Sciences, effective 9/16/2016
Degrees:
• PhD, 2013, Stanford University
• AB, 2006, Dartmouth University
School of Environmental and Forest Sciences

Kane, Van Robert
Research Assistant Professor, School of Environmental and Forest Sciences, effective 6/11/2016
Prior UW Appointment:
  • Research Associate, School of Environmental and Forest Sciences
Degrees:
  • PhD, 2010, University of Washington
  • BA, 1977, Pennsylvania State University

Zheng, Guang
Visiting Associate Professor, School of Environmental and Forest Sciences, effective 6/20/2016
Degrees:
  • PhD, 2011, University of Washington
  • MSC, 2007, Nanjing University (China)
  • BES, 2004, Nanjing Forestry University

Information School

Hildreth, Susan Hodge
Professor of Practice, Information School, effective 8/16/2016
Degrees:
  • MBA, 1979, Rutgers University
  • MLS, 1973, State University of New York (Albany)
  • BA, 1972, Syracuse University

Weber, Nicholas Matthew
Assistant Professor, Information School, effective 9/1/2016
Prior UW Appointment:
  • Research Associate, Information School
Degrees:
  • PhD, 2015, University of Illinois
  • Master Of Library And Information Science, 2010, University of Illinois
  • BA, 2005, University of Illinois
School of Medicine
Department of Anesthesiology and Pain Medicine

Adams, Trevor Lee
Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Anesthesiology and Pain Medicine

Degrees:
- MD, 2009, Eastern Virginia Medical School
- MS, 2005, Old Dominion University
- BA, 2002, Tusculum College

Dinges, Emily Marie
Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Anesthesiology and Pain Medicine

Degrees:
- MD, 2007, Oregon Health Sciences University
- BS, 2002, University of Portland

Groenewald, Cornelius Botha
Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Anesthesiology and Pain Medicine

Degree:
- MB ChB, 2002, University of Stellenbosch (South Africa)

Hallman, Matthew Robert
Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2016
Prior UW Appointment:
- Clinical Assistant Professor, Salaried, Anesthesiology and Pain Medicine

Degrees:
- MD, 2005, University of Minnesota
- MS, 2001, Georgetown University
- BA, 1999, University of St. Thomas
Krishnamoorthy, Vijay  
Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2016  
Prior UW Appointment:  
- Acting Assistant Professor, temporary, Anesthesiology and Pain Medicine  
Degrees:  
- MPH, 2015, University of Washington  
- MD, 2004, University of Illinois (Chicago)  
- BS, 2000, University of Illinois (Chicago)  

Liston, David Evan  
Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2016  
Prior UW Appointment:  
- Acting Assistant Professor, temporary, Anesthesiology and Pain Medicine  
Degrees:  
- MPH, 2001, Yale University  
- MD, 1999, Baylor College of Medicine  
- BS, 1994, New Mexico State University  

Sunshine, Jacob Eugene  
Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2016  
Prior UW Appointment:  
- Resident, Anesthesiology and Pain Medicine  
Degrees:  
- MD, 2012, University of Washington  
- MS, 2011, University of Washington  
- BA, 2005, University of Wisconsin  

Department of Biomedical Informatics and Medical Education  
Nagasawa, Pamela Reiko  
Assistant Professor without Tenure, Biomedical Informatics and Medical Education, effective 7/1/2016  
Prior UW Appointment:  
- Acting Assistant Professor, temporary, Biomedical Informatics and Medical Education  
Degrees:  
- PhD, 2010, University of Washington  
- MED, 2002, University of Washington  
- BS, 1992, Westminster College of Salt Lake City
Department of Family Medicine  
Maher, Jonathan Charles  
Lecturer, Full-time, Family Medicine, effective 7/1/2016  
Degrees:  
- BHS, 2000, University of Washington  
- BA, 1997, University of Massachusetts  

Department of Global Health  
Mugambi, Melissa Latigo  
Assistant Professor without Tenure, Global Health, effective 8/1/2016  
Prior UW Appointment:  
- Affiliate Assistant Professor, Global Health  
Degrees:  
- PhD, 2013, Case Western Reserve University  
- MD, 2012, Northwestern University  
- BS, 2005, Massachusetts Institute of Technology  

Reiner, Robert Charles Jr.  
Assistant Professor without Tenure, Global Health, effective 7/1/2016  
Degrees:  
- PhD, 2010, University of Michigan (Ann Arbor)  
- MS, 2009, University of Michigan (Ann Arbor)  
- MS, 2005, California State University (Northridge)  
- BA, 2002, University of California (Berkeley)  

Stanaway, Jeffrey David  
Assistant Professor without Tenure, Global Health, effective 7/1/2016  
Prior UW Appointment:  
- Acting Assistant Professor, temporary, Global Health  
Degrees:  
- PhD, 2013, University of Washington  
- MPH, 2008, University of Arizona  
- BS, 2007, Virginia Polytechnic Institute and State University  
- BS, 2001, Virginia Polytechnic Institute and State University  

Department of Immunology  
von Moltke, Jakob Helmuth  
Assistant Professor, Immunology, effective 9/1/2016  
Degrees:  
- PhD, 2012, University of California (Berkeley)  
- MA, 2007, Columbia University  
- BA, 2002, Dartmouth College
Department of Medicine

Barbee, Lindley Anne
Assistant Professor without Tenure, Medicine, effective 7/1/2016
Prior UW Appointment:
- Acting Instructor, Medicine

Degrees:
- MD, 2008, University of Miami (Florida)
- MPH, 2008, University of Michigan
- BA, 2000, Northwestern University

Bennett, Katherine Ann
Assistant Professor without Tenure, Medicine, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Medicine

Degrees:
- MD, 2006, Ohio State University
- BA, 2001, Washington University

Beste, Lauren Ann
Assistant Professor without Tenure, Medicine, effective 7/1/2016
Prior UW Appointment:
- Clinical Assistant Professor, Salaried, Medicine

Degrees:
- MSC, 2009, University of Washington
- MD, 2004, Johns Hopkins University
- BS, 2000, Pennsylvania State University

Dvir, Danny
Assistant Professor without Tenure, Medicine, effective 6/20/2016
Degree:
- MD, 2003, Tel Aviv University (Israel)

Kawasumi, Masaoki
Assistant Professor without Tenure, Medicine, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Medicine

Degrees:
- PhD, 2004, Keio University (Japan)
- MD, 1999, Keio University (Japan)
Lin, Shin  
Assistant Professor without Tenure, Medicine, effective 7/1/2016  
Degrees:  
• MD, 2006, Johns Hopkins University  
• PhD, 2006, Johns Hopkins University  
• Master of Health Science, 2004, Johns Hopkins University  
• BA, 1999, Harvard University  

Department of Neurological Surgery  
Ravanpay, Ali Cyrus  
Assistant Professor without Tenure, Neurological Surgery, effective 6/26/2016  
Prior UW Appointment:  
• Chief Resident, Neurological Surgery  
Degrees:  
• MD, 2009, University of Washington  
• PhD, 2007, University of Washington  
• BA, 1999, University of California (Berkeley)  

Department of Obstetrics and Gynecology  
Albright, Catherine Marie  
Assistant Professor without Tenure, Obstetrics and Gynecology, effective 8/15/2016  
Degrees:  
• MS, 2016, Brown University  
• MD, 2009, Columbia University  
• BS, 2005, Johns Hopkins University  

Doll, Kemi Morenikeji  
Assistant Professor without Tenure, Obstetrics and Gynecology, effective 8/15/2016  
Degrees:  
• MS, 2016, University of North Carolina (Chapel Hill)  
• MD, 2008, Columbia University  
• Bachelor of Science Engineering, 2004, Duke University  

Fuchs, Esther  
Assistant Professor without Tenure, Obstetrics and Gynecology, effective 8/1/2016  
Degree:  
• MD, 2001, University of Berne (Switzerland)
Department of Ophthalmology
Lee, Cecilia Sungmin
Assistant Professor without Tenure, Ophthalmology, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Ophthalmology
Degrees:
- MD, 2008, Emory University
- BS, 2004, Emory University

Department of Pathology
Deng, Xinxian
Research Assistant Professor, Pathology, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Pathology
Degrees:
- PhD, 2006, Tufts University
- BS, 1999, Fudan University (China)

Gonzalez-Cuyar, Luis Francisco
Assistant Professor without Tenure, Pathology, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Pathology
Degrees:
- MD, 2005, University of Puerto Rico
- BS, 2001, University of Puerto Rico

Hyun, Teresa Sulli
Assistant Professor without Tenure, Pathology, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Pathology
Degrees:
- MD, 2007, University of Michigan (Ann Arbor)
- PhD, 2007, University of Michigan (Ann Arbor)
- BA, 1998, Amherst College

Kennedy, Scott Robert
Assistant Professor without Tenure, Pathology, effective 7/1/2016
Prior UW Appointment:
- Acting Instructor, Pathology
Degrees:
- PhD, 2007, University of North Carolina (Chapel Hill)
- BS, 2001, University of North Carolina (Chapel Hill)
Shi, Min  
**Research Assistant Professor, Pathology, effective 7/1/2016**  
Prior UW Appointment:  
- Acting Assistant Professor, temporary, Pathology  
Degrees:  
- PhD, 2005, University of California (Riverside)  
- MS, 1995, Shanghai Institute of Biochemistry (China)  
- BS, 1992, Nanjing University (China)  

**Department of Pediatrics**  
Lam, Christina Tsui-Shan  
**Assistant Professor without Tenure, Pediatrics, effective 7/18/2016**  
Degrees:  
- MD, 2007, University of California (Los Angeles)  
- BS, 2003, California Institute of Technology  

McKinney, Christy Michelle  
**Associate Professor without Tenure, Pediatrics, effective 7/1/2016**  
Prior UW Appointment:  
- Clinical Assistant Professor, Oral Health Sciences  
Degrees:  
- PhD, 2006, University of Washington  
- MPH, 2002, Tulane University  
- BA, 1993, University of Washington  

Nichols, David Paul  
**Associate Professor without Tenure, Pediatrics, effective 7/1/2016**  
Degrees:  
- MD, 2001, University of Missouri (Columbia)  
- BA, 1997, St. Louis University  

Pollack, Ari H.  
**Assistant Professor without Tenure, Pediatrics, effective 7/1/2016**  
Prior UW Appointment:  
- Acting Assistant Professor, temporary, Pediatrics  
Degrees:  
- MS, 2014, University of Washington  
- MD, 2002, Tulane University  
- MA, 1998, University of California (Los Angeles)  
- BS, 1996, University of California (Los Angeles)
Weiss, Elliott Mark
Assistant Professor without Tenure, Pediatrics, effective 7/1/2016
Degrees:
- MS, 2016, University of Pennsylvania
- MD, 2010, Washington University
- BA, 2005, Washington University

Department of Pharmacology
Land, Benjamin
Research Assistant Professor, Pharmacology, effective 7/1/2016
Prior UW Appointment:
- Acting Instructor, Pharmacology
Degrees:
- PhD, 2009, University of Washington
- BA, 2002, Cornell University

Department of Psychiatry and Behavioral Sciences
Sedlar, Georganna Ruth
Assistant Professor without Tenure, Psychiatry and Behavioral Sciences, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Psychiatry and Behavioral Sciences
Degrees:
- PhD, 2001, University of Nebraska
- MA, 1998, University of Nebraska
- BA, 1993, University of California (San Diego)

Sylvers, Patrick Douglas
Assistant Professor without Tenure, Psychiatry and Behavioral Sciences, effective 7/1/2016
Prior UW Appointment:
- Acting Assistant Professor, temporary, Psychiatry and Behavioral Sciences
Degrees:
- PhD, 2010, Emory University
- BS, 2002, University of Washington

Department of Radiology
Kolokythas, Orpheus
Associate Professor without Tenure, Radiology, effective 7/1/2016
Prior UW Appointment:
- Affiliate Associate Professor, Radiology
Degree:
- MD, 1994, Ruprechts Karl University
Ripley, Beth Ann  
Assistant Professor without Tenure, Radiology, effective 7/1/2016  
Degrees:  
- MD, 2010, University of California (San Diego)  
- PhD, 2010, University of California (San Diego)  
- BA, 1998, Stanford University  
- BS, 1998, Stanford University  

Department of Surgery  
Berfield, Kathleen S.  
Assistant Professor without Tenure, Surgery, effective 8/8/2016  
Degrees:  
- MD, 2010, University of Washington  
- BS, 2006, Western Washington University  

Department of Urology  
Ellison, Jonathan Scott  
Assistant Professor without Tenure, Urology, effective 7/1/2016  
Prior UW Appointment:  
- Acting Instructor, Urology  
Degrees:  
- MD, 2008, Duke University  
- BS, 2004, Denison University  

Hagedorn, Judith Carolin  
Assistant Professor without Tenure, Urology, effective 6/1/2016  
Prior UW Appointment:  
- Acting Instructor, Urology  
Degrees:  
- MD, 2008, Stanford University  
- Master of Health Science, 2004, Johns Hopkins University  
- BA, 2002, Rice University  

School of Nursing  
Department of Biobehavioral Nursing and Health Systems  
Byun, Eeeseung  
Assistant Professor, Biobehavioral Nursing and Health Systems, effective 9/16/2016  
Degrees:  
- PhD, 2013, University of Pennsylvania  
- MSN, 2006, University of Pennsylvania  
- BSN, 2000, Ewha Womens University (Korea)
Iribarren, Sarah Jo Hannah  
Assistant Professor, Biobehavioral Nursing and Health Systems, effective 9/1/2016  
Degrees:  
• PhD, 2013, University of Utah  
• BSN, 2003, Washington State University  
• BS, 1997, Washington State University

Department of Psychosocial and Community Health  
Johnson, Gail Carolyn  
Senior Lecturer, Full-time, Psychosocial and Community Health, effective 9/16/2016  
Prior UW Appointment:  
• Clinical Assistant Professor, Salaried, Psychosocial and Community Health  

Degrees:  
• Doctor of Nursing Practice, 2009, University of Washington  
• MN, 1987, University of Washington  
• BSN, 1979, Seattle Pacific University

School of Public Health  
Department of Environmental and Occupational Health Sciences  
Averill, Michelle M.  
Lecturer, Full-time, Environmental and Occupational Health Sciences, effective 7/1/2016  
Prior UW Appointment:  
• Acting Assistant Professor, temporary, Environmental and Occupational Health Sciences  

Degrees:  
• PhD, 2007, University of Washington  
• BS, 2002, University of Washington

Department of Global Health  
Mugambi, Melissa Latigo  
Assistant Professor without Tenure, Global Health, effective 8/1/2016  
Prior UW Appointment:  
• Affiliate Assistant Professor, Global Health  

Degrees:  
• PhD, 2013, Case Western Reserve University  
• MD, 2012, Northwestern University  
• BS, 2005, Massachusetts Institute of Technology
Reiner, Robert Charles Jr.
Assistant Professor without Tenure, Global Health, effective 7/1/2016
Degrees:
• PhD, 2010, University of Michigan (Ann Arbor)
• MS, 2009, University of Michigan (Ann Arbor)
• MS, 2005, California State University (Northridge)
• BA, 2002, University of California (Berkeley)

Stanaway, Jeffrey David
Assistant Professor without Tenure, Global Health, effective 7/1/2016
Prior UW Appointment:
• Acting Assistant Professor, temporary, Global Health
Degrees:
• PhD, 2013, University of Washington
• MPH, 2008, University of Arizona
• BS, 2007, Virginia Polytechnic Institute and State University
• BS, 2001, Virginia Polytechnic Institute and State University

Department of Health Services
Jones-Smith, Jessica Claire
Associate Professor without Tenure, Health Services, effective 6/1/2016
Degrees:
• PhD, 2010, University of North Carolina (Chapel Hill)
• MPH, 2007, University of California (Berkeley)
• BS, 1999, Loyola University (Chicago)

School of Social Work
School of Social Work
Berridge, Clara Warner
Assistant Professor, Social Work, effective 9/1/2016
Degrees:
• PhD, 2014, University of California (Berkeley)
• Master Of Social Work, 2006, University of Washington
• BA, 2003, Kalamazoo College
University of Washington, Bothell  
Division of Biological Sciences, School of STEM, UW Bothell  

Al-Noori, Salwa  
Lecturer, Full-Time, Biological Sciences, School of STEM, Bothell, effective 9/16/2016  
Prior UW appointment:  
- Lecturer Part-Time, Biological Sciences, School of STEM, Bothell  
Degrees:  
- PhD, 2000, Baylor College of Medicine  
- BS, 1990, University of Pittsburgh  
- BA, 1990, University of Pittsburgh

Lewis, Alaron Amber  
Lecturer, Full-time, Biological Sciences, School of STEM, Bothell, effective 9/16/2016  
Prior UW Appointment:  
- Lecturer Full-Time, Biological Sciences, School of STEM, Bothell  
Degrees:  
- PhD, 2006, Yale University  
- BA, 1999, Brandeis University

Price, Michele Boeing  
Lecturer, Full-time, Biological Sciences, School of STEM, Bothell, effective 9/16/2016  
Degrees:  
- PhD, 2009, University of Wisconsin (Madison)  
- MS, 2003, University of Wisconsin (Madison)  
- BS, 1999, University of Wisconsin (Madison)

Division of Computing and Software Systems, School of STEM, UW Bothell  

Kim, Jeffrey Younghwan  
Lecturer, Full-time, Computing and Software Systems, School of STEM, Bothell, effective 9/16/2016  
Prior UW Appointment:  
- Affiliate Instructor, Computing and Software Systems, School of STEM, Bothell  
Degrees:  
- PhD, 2000, University of California (Irvine)  
- MS, 1986, University of California (Riverside)  
- BS, 1982, Seoul National University (Korea)
Retik, Arieh Arkady
Lecturer, Full-time, Computing and Software Systems, School of STEM, Bothell, effective 9/16/2016
Prior UW Appointment:
- Lecturer Part-Time, Computing and Software Systems, School of STEM, Bothell
Degrees:
- DSC OR SCD, 1990, Technion Israel Institute of Technology
- MS, 1987, Technion Israel Institute of Technology
- BS, 1981, Technion Israel Institute of Technology

Si, Dong
Assistant Professor, Computing and Software Systems, School of STEM, Bothell, effective 9/16/2016
Degrees:
- PhD, 2015, Old Dominion University
- MS, 2010, Old Dominion University
- MS, 2009, Chang'an University
- BS, 2007, Nanjing University (China)

Division of Engineering and Mathematics, School of STEM, UW Bothell

Hoover, Nicole Angelene
Lecturer, Full-time, Engineering and Mathematics, School of STEM, Bothell, effective 9/16/2016
Prior UW Appointment:
- Lecturer Full-Time, Engineering and Mathematics, School of STEM, Bothell
Degrees:
- MA, 2001, University of California (Davis)
- BA, 1998, San Jose State University

University of Washington, Tacoma
Institute of Technology, Tacoma

Grant, Dennis Charles
Lecturer, Full-time, Institute of Technology, Tacoma, effective 8/16/2016
Prior UW Appointment:
- Lecturer Full-Time, Institute of Technology, Tacoma
Degrees:
- MS, 2014, University of Washington
- BS, 2012, University of Washington
Horakova, Ingrid
Lecturer, Full-time, Institute of Technology, Tacoma, effective 9/16/2016
Prior UW Appointment:
  • Lecturer Full-Time, Institute of Technology, Tacoma
Degrees:
  • BS, 1989, Comenius University Bratislava (Slovakia)
  • MS, 1989, Comenius University Bratislava (Slovakia)

Kazmi, Raza Ali
Lecturer, Full-time, Institute of Technology, Tacoma, effective 9/16/2016
Degrees:
  • PhD, 2015, Mcgill University (Canada)
  • MSC, 2008, Concordia University
  • BSC, 2004, Mcgill University (Canada)

Schuessler, David Lee
Lecturer, Full-time, Institute of Technology, Tacoma, effective 9/16/2016
Degrees:
  • MS, 1996, Southern Illinois University
  • MA, 1981, Southern Illinois University
  • BA, 1978, Southern Illinois University

Milgard School of Business, Tacoma
Fleming, Brandon Edward
Assistant Professor, Milgard School of Business, Tacoma, effective 9/16/2016
Prior UW Appointment:
  • Lecturer, Full-time, School of Business, Bothell
Degrees:
  • PhD, 2012, University of Washington
  • MA, 2003, University of Michigan
  • BA, 2000, University of Michigan

Smith, Howard Lee
Professor, Milgard School of Business, Tacoma, effective 7/1/2016
Degrees:
  • PhD, 1976, University of Washington
  • MS, 1973, University of California (Los Angeles)
  • BS, 1971, San Diego State University
UW Tacoma School of Interdisciplinary Arts and Sciences

Blair, Linda Carol Nicole  
Senior Lecturer, Full-time, School of Interdisciplinary Arts and Sciences, Tacoma, effective 9/16/2016  
Prior UW Appointment:  
- Lecturer Full-Time, School of Interdisciplinary Arts and Sciences, Tacoma  
Degrees:  
- PhD, 1989, University of Tennessee  
- MA, 1982, University of Southern Mississippi  
- Bachelor of Music (BMus), 1979, Mississippi State University

Cowgill, Karen Deirdre  
Assistant Professor, School of Interdisciplinary Arts and Sciences, Tacoma, effective 9/16/2016  
Prior UW Appointment:  
- Affiliate Associate Professor, Global Health  
Degrees:  
- MSC, 2005, University of London (UK)  
- PhD, 2001, Johns Hopkins University  
- MPH, 1995, Columbia University  
- BSN, 1994, Columbia University  
- BA, 1989, Cornell University

Gao, Chunming  
Assistant Professor, Institute of Technology, Tacoma effective 9/16/2016  
Degrees:  
- PhD, 2011, Michigan Technological University  
- MS, 2003, Michigan Technological University  
- BS, 1989, Beijing Normal University (China)

Nahmani, Marc  
Assistant Professor, School of Interdisciplinary Arts and Sciences, Tacoma, effective 9/16/2016  
Degrees:  
- PhD, 2008, University of Virginia  
- MA, 2005, University of Virginia  
- BS, 1999, University of Maryland
Njoroge, Rose Nyokabi  
Lecturer, Full-time, School of Interdisciplinary Arts and Sciences, Tacoma,  
effective 9/16/2016  
Degrees:  
• PhD, 2011, Florida State University  
• MS, 2003, Florida State University  
• MS, 2002, Florida State University  
• BA, 1998, University of Texas (Arlington)
STANDING COMMITTEES

Academic and Student Affairs Committee

Approve Revisions to Resolution: Federal Contracts – Officers of the University

RECOMMENDED ACTION

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents approve the following update to a resolution passed on January 2, 2014 regarding security of classified information related to Federal contracts with the University of Washington.

The recent membership changes on the Board of Regents necessitate this proposed update to the resolution.

BACKGROUND

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

Security clearances are conducted by the US Office of Personnel Management and a full background check may take anywhere from 60 days to 24 months. A TOP SECRET security clearance requires full disclosure of 10 years of personal data including details on family members, all residences, employment and employment relationships, all foreign travel, and a list of all contact with foreign nationals. Interviews are conducted with family members, neighbors, references and employers/employees. Cleared individuals must also participate in annual training and report all travel to foreign countries, including Canada. A full reinvestigation is required every five years.

The Board of Regents passed a resolution on January 15, 2009, to amend the University’s agreement with the Department of Defense to exclude the Regents from access to classified information, thereby exempting the Regents from the requirement that each voting member obtain and maintain a TOP SECRET government security clearance. That resolution created a managerial group, to which the Board delegates all of its duties and responsibility for the negotiation,
STANDING COMMITTEES

Academic and Student Affairs Committee

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

execution, and administration of classified Defense Department contracts with the
University of Washington. The managerial group was designated as the President,
the Vice Provost for Research or designee, and the Facility Security Officer.

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

The Board of Regents passed a resolution on January 2, 2014, to amend the
University’s agreement with the Department of Defense to exclude the Regents
from access to classified information, thereby exempting the Regents from the
requirement that each voting member obtain and maintain a TOP SECRET
government security clearance. That resolution created a managerial group, to
which the Board delegates all of its duties and responsibility for the negotiation,
execution, and administration of classified Defense Department contracts with the
University of Washington. The managerial group was designated as the President,
the Vice Provost for Research or designee, and the Facility Security Officer.

The Vice Provost for Research designated the Director of Strategy and Special
Programs, Applied Physics Laboratory as the managerial group member to
provide institutional perspective and oversight for classified research and
contracts at the University.

As detailed in the Board of Regents Governance, Standing Orders, Chapter 1, the
President (or the President's designee) is authorized to act for the Board regarding
all matters concerning grants and contracts for research.

As the security program manager for activities involving access to classified
information, including classified research, the Facility Security Officer directs and
oversees the federally mandated security measures necessary to protect national
security information. The Facility Security Officer reviews all research
agreements involving access to classified information and approves these
agreements based on criteria established by the President. The Facility Security
Officer addresses any audit finding that involves institutional policy.
STANDING COMMITTEES

Academic and Student Affairs Committee

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

REVIEW AND APPROVALS

The resolution has been reviewed and approved by the Facility Security Officer and the Vice Provost for Research designee.

Attachment
Board of Regents Resolution, Security Clearance – Officers of the University
RESOLUTION
DATED JULY 14, 2016

Security Clearance–Officers of the University

1) RESOLVED, that the Board of Regents shall and does hereby designate the President, the Vice Provost for Research or their designee, and the Facility Security Officer as the managerial group of the University of Washington with regard to all matters involving classified information, including, but not limited to, the negotiation, execution, and administration of classified contracts with the University of Washington under the meaning of the National Industrial Security Program Operating Manual, and shall and does hereby delegate to the managerial group such powers as may be necessary thereto, with the President being the final authority.

2) RESOLVED, that the members of the University of Washington Board of Regents named below shall not require access to classified information in the possession of the University of Washington and, therefore, shall not require, shall not have, and can be effectively excluded from access to any and all classified information in the possession of the University of Washington, and these members do not occupy positions that would enable them to adversely affect the institution’s performance of classified contracts or programs.

William S. Ayer
Joel Benoliel
Kristianne Blake
Joanne R. Harrell
Jeremy Jaech, Board Vice Chair 2016-2017
Constance W. Rice
Rogelio Riojas
Patrick M. Shanahan, Board Chair 2016-2017
Herb Simon
Austin Wright-Pettibone (Student)

3) RESOLVED, that the University shall not engage in research or other activities involving violation of:
   a. Professional standards of academic, legal, or medical conduct;
   b. U.S.-recognized international law; and/or
   c. U.S. or Washington State law
STANDING COMMITTEES

Academic and Student Affairs Committee

Approval of the Graduate Certificate in Real Estate in the College of Built Environments

RECOMMENDED ACTION

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to Graduate Faculty in the College of Built Environments to offer the Graduate Certificate in Real Estate, effective Autumn Quarter 2016. The graduate certificate will be housed in the College of Built Environments Dean’s Office, with faculty oversight by an interdisciplinary faculty group reporting to the Dean. The certificate program will have provisional status with a review to be scheduled for the 2021-2022 academic year. At such time that continuing status is granted, a ten-year review cycle would begin.

BACKGROUND

In April 2016, The Graduate School received a full proposal from the Graduate Faculty in the College of Built Environments, requesting authority to offer the Graduate Certificate in Real Estate. The Graduate Certificate in Real Estate will be located in the College of Built Environments Dean’s Office.

The 15-credit Graduate Certificate in Real Estate will engage non-real estate graduate students from fields such as planning, architecture, engineering, construction management, business, law, public policy, social sciences and health. The curriculum will provide a coherent overview of fundamental real estate concepts including: an overview of the different real estate markets (such as residential, office, retail, industrial, etc.); key industry participants and policies; the interplay and effect of socioeconomic conditions on real estate markets; the financial structures and instruments utilized among different types of real estate financial processes (such as acquisition, renovation, new construction, etc.); the key concerns and decisions in the real estate development process; and engagement in the interdisciplinary fields and professions involved in real estate. The program will be state-based and anticipates granting 10 certificates per year at maturity.

Real Estate is an interdisciplinary field requiring the collaboration of professionals with different backgrounds and areas of expertise. Enrollment in real estate courses by graduate students in non-real estate fields has increased in
Approval of the Graduate Certificate in Real Estate in the College of Built Environments (continued p. 2)

recent years, and the Graduate Certificate in Real Estate will provide a structured opportunity for students across disciplines to gain a basic understanding of real estate concepts and principles. Real estate graduate students will benefit from the diverse perspectives that graduate students from other disciplines will continue to bring to real estate courses. The certificate program will consist of existing courses and will have no additional financial burden on the University.

The Graduate School Council met on June 2, 2016 to discuss the certificate 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, the Dean of the College of Built Environments, and the Provost have reviewed and approved the recommendation to approve the Graduate Certificate in Real Estate.

Attachment
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.

EXTERNAL 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
STANDING COMMITTEES

Academic and Student Affairs Committee

Approval of the Graduate Certificate in Digital Teaching and Learning in the UW Bothell School of Educational Studies

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 UW Bothell School of Educational Studies to offer the Graduate Certificate in Digital Teaching and Learning, effective Autumn Quarter 2016. The graduate certificate program will have provisional status with a review to be scheduled for the 2021-2022 academic year. At such time that continuing status is granted, a ten-year review cycle would begin.

BACKGROUND

In April 2016, the Graduate School received notification of intent to plan the Graduate Certificate in Digital Teaching and Learning from the School of Educational Studies at UW Bothell. After tri-campus stakeholder comment, the faculty developed a full proposal that was reviewed and approved by the Graduate Faculty of the School of Educational Studies. On May 17, 2016, the UW Bothell General Faculty Organization Executive Council endorsed the Graduate Certificate in Digital Teaching and Learning and recommended it be forwarded to the Graduate School for approval. The final proposal was submitted to the Graduate School in May 2016.

The Graduate Certificate in Digital Teaching and Learning will be a state-based program that provides students with a knowledge of teaching and learning in digital participatory, networked culture. Educators will learn digital pedagogical strategies that support deep learning and enable new modes support for diverse learners. Beyond the classroom, educators will learn to prepare students for full participation in civic and cultural life that is increasingly mediated via participatory digital platforms.

The certificate will serve current Master of Education students, other graduate students from various programs, and practicing educators from outside the UW. Creation of the program is in part a response to school districts that have described an increasing need for teacher leaders with expertise in addressing digital divides and creating deeper digital learning strategies. The program is expected to have 15 students enrolled at any given time. No additional resources
Academic and Student Affairs Committee

Approval of the Graduate Certificate in Digital Teaching and Learning in the UW Bothell School of Educational Studies (continued p. 2)

are required for this graduate certificate, and it will have no additional financial burden on the University.

The Dean of the School of Educational Studies, the Vice Provost and Dean of the Graduate School, and the Provost have reviewed and approved the recommendation to approve the Graduate Certificate in Digital Teaching and Learning.

Attachment
New Graduate Certificate Proposal – UW Bothell
New Graduate Certificate Proposal – UW Bothell

**IDEA STAGE**
Conversations with:
- Faculty/Deans/Chancellors
- PCE (fee based programs)
- Office of Planning & Budgeting & Provost Office
- UWB Director of Graduate Studies (DGS)
- Other stakeholders across the three campuses.

**DRAFT PNOI**
- Follows Graduate School PNOI guidelines
- Faculty lead engages UWB Curriculum Director (CD) and Office of Academic Affairs and Planning (OAAP) in the Graduate School during PNOI development
- CD and OAAP review PNOI for completeness, confirmed by DGS
- GFO (EC) reviews/approves
- Council of Academic Deans notified; Dean and VCAA sign
- CD submits signed PNOI to OAAP.

**PNOI COMMENT PERIOD**
- OAAP sends out for 14 day stakeholder comment period (all three campuses)
- Includes UW Libraries, Registrar’s Office, GEMS
- Includes UWB main administrative units impacted (e.g. IT, IP & B, Enrollment).

**FULL PROPOSAL DEVELOPMENT**
- Follows Graduate School proposal guidelines
- Addresses stakeholder feedback
- Includes tuition tier (state-funded programs) or draft of MOA (fee based programs) and/or other applicable agreements
- CD reviews for completeness, confirmed by DGS
- Submit preliminary draft to OAAP; unit receives & incorporates feedback
- School/unit review and approval; Dean and VCAA Sign; CD submits final proposal to OAAP.

**AC & GFO REVIEW**
- AC & GFO (EC) review proposal, including final MOA (multiple iterations possible)
- AC makes recommendation to VCAA & Chancellor who informs Graduate School Dean; includes OAAP and DGS on all correspondence
- VCAA signs proposal and CD submits to OAAP
- Graduate School Dean authorizes sending proposal to Board of Regents.

**BOARD OF REGENTS**
- Certificate approval
- Provost confirms Regents’ approval.

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

**PROGRAM LAUNCH**
Certificate program 5 year review cycle begins.
STANDING COMMITTEES

Academic and Student Affairs Committee

Approve UW Tacoma Change of Status: Designation of the Institute of Technology and the Education Program at the University of Washington Tacoma as Collegiate-Level Units Headed by Deans

RECOMMENDED ACTION

It is the recommendation of the Administration and the Academic and Student Affairs Committee that the status of the Institute of Technology and the Education Program at the University of Washington Tacoma be changed to schools in a collegiate-level unit each under the leadership of a dean, with the effective date of the transition to occur with the appointment date of the inaugural dean.

BACKGROUND

The UW Tacoma Institute of Technology and the Education Program have now reached a maturity, size, support structure and status, with full potential for further growth to warrant their change of status to collegiate-level schools each headed by a dean, effective September 16, 2016.

The transition of the two units to the status of collegiate-level units each headed by a dean was widely reviewed and supported the UW Tacoma community. This change in designation is important for leadership, accreditation, and external relations activities and will contribute to the continued growth and success of the Schools and the campus as a whole. The 2014 UW Tacoma General Guidelines and Process for Formation of Schools was adhered to in advancing the above recommendation (see attachment).

The Institute of Technology

In 2001 the Washington State Legislature passed a bill that funded the creation of the Institute of Technology at UW Tacoma. The bill states the following about the degree programs that would be offered by the Institute, “The university (UW Tacoma) will expand undergraduate and graduate degree programs meeting regional technology needs including, but not limited to, computing and software systems.” The BS in Computer Science and Systems (CSS) program existed prior to the formation of the Institute. Since 2001, the following degree programs have started in the Institute: The MS program in CSS, the BA program in CSS, the BS program in Computer Engineering and Systems (CES), the BS program in Information Technology (IT), and the Master of Cybersecurity and Leadership (MCL). A new program that was proposed in 2015-16 and is currently moving
Academic and Student Affairs Committee

Approve UW Tacoma Change of Status: Designation of the Institute of Technology and the Education Program at the University of Washington Tacoma as Collegiate-Level Units Headed by Deans (continued p. 2)

through the UW system is the BS in Electrical Engineering (EE). The MS in Electrical and Computer Engineering (ECE) and the MS in Information Technology (IT) are also currently being considered by the Institute.

Student enrollments in the Institute have grown from 181 in 2007 to 780 in 2015. During the same time, the number of faculty increased from 15 to 35. Staff numbers have expanded from 5 in 2009 to 13 in 2016. During the current academic year (2015-2016), the combined full-time faculty of the Institute of Technology consists of five Professors, seven Associate Professors, five Assistant Professors, twelve Lecturers, and one Acting Professor, for a total of 29 voting faculty; two Emeritus and one Affiliate Assistant Professor are also included in the faculty.

The estimated financial impact for the Institute of Technology as a collegiate-level unit headed by a Dean will be within the range of $35,000 to $50,000.

Education Program
The Education Program offers 20 program, credential, and endorsement options as well as certification options and MEd and EdD degrees. The Education program, in collaboration with the Nursing and Healthcare Leadership program, is home to the first doctorate available on either the Bothell or Tacoma campuses with a graduating cohort of 32 students by December 2016.

The 14 members of the full-time faculty consist of eight full professors, five associate professors, one assistant professor and one senior lecturer. In order to complete the mission of the program, 37 part-time faculty teach courses and/or provide field supervision and five staff members support the program.

The Education Program’s Center for Strong Schools launched a path breaking partnership with Tacoma Public Schools, called the Tacoma Whole Child Initiative (TWCI) intended to harness the momentum of school transformation on an unprecedented scale. Since 1992 the Education faculty members have been Principal Investigators, co-Principal Investigators or researchers on 43 externally funded grants totaling over $16 million from the U.S Department of Education, the National Science Foundation, and the Washington State Office of the Superintendent of Public Instruction.

The estimated financial impact for the Education Program as a collegiate-level unit headed by a Dean will be within the range of $35,000 to $50,000.
STANDING COMMITTEES

Academic and Student Affairs Committee

Approve UW Tacoma Change of Status: Designation of the Institute of Technology and the Education Program at the University of Washington Tacoma as Collegiate-Level Units Headed by Deans (continued p. 3)

Summary
The designations of the of schools under the leadership of Deans are important milestones for the units and the campus as a whole, creating a more recognizable and effective structure, and supporting increased visibility, support, and impact with external communities.

Attachment
UW Tacoma General Guidelines and Process for Formation of Schools (February 2014)
UW Tacoma General Guidelines and Process for Formation of Schools  
(February 2014)¹

Guidelines

1. Designation, re-designation, or reorganization of academic units requires a compelling rationale. The primary motivation for organization as a School is to improve organizational effectiveness in fulfillment of curriculum and student learning, faculty and student scholarship, internal governance, and community engagement. Key considerations include the complexity, size, governance of the unit, its academic coherence, and the strategic needs of the campus.

2. Academic leadership at UW Tacoma will report to the Chancellor (via the Vice Chancellor for Academic Affairs). The Chancellor will allocate resources (including budgets, faculty positions, physical facilities) for Schools at UW Tacoma.

3. Consistent with the UW Faculty Code (23-45C), each School shall have an elected faculty council, which will advise its leadership on matters of policy. The faculty of each school shall determine for itself the organization and structure of its council and the procedure by which the members are elected, to be articulated in School by-laws.

4. The UW Tacoma Faculty Assembly Executive Council has the authority to determine how Faculty Senators will be allocated across the campus.

5. Schools may be sub-divided into units that will have delegated responsibilities. The appointing unit for hiring, promotion and tenure will be the School and not the sub-unit unless otherwise proposed by the faculty of the School and approved by the campus faculty (or Faculty Assembly Executive Council), VCAA, Chancellor, Provost, and Regents.

6. Each School will establish criteria for faculty appointments; promotion and tenure; and merit review, curriculum development, and admissions.

7. Additional Schools may be formed from existing Programs, new Programs, or a combination thereof as the Campus develops.

8. Existing Programs need not become Schools or units within Schools by any specific deadline.

9. The appropriate bodies of the UW Tacoma Faculty Assembly will continue to advise the Chancellor on matters affecting the general welfare of the campus, matters of faculty promotion and tenure, and on matters involving academic policy, including priorities, resource and salary allocation, and budgets.

¹ These February 2014 Guidelines and Process may be modified as experience and circumstance warrant.
Process

1. The voting faculty of the affected academic units must vote (in accordance with the unit’s or units’ bylaws) in favor of the formation of a School, including a plan for governance.

2. The faculty, along with the Chancellor, Provost, and chair of the Faculty Senate Committee on Planning and Budget (or representatives of these offices) should confer regarding the applicability of sections of Chapter 26 of the *Faculty Code* (Reorganization, Consolidation, and Eliminations of Programs). If applicable, the process of the appropriate section must be followed.

3. The proposal for formation of a School should address the rationale, considerations, and requirements identified in the Guidelines above.

4. The formation of a School shall be approved by the Vice Chancellor for Academic Affairs (EVCAA) and the Chancellor, following review and recommendation by relevant campus bodies (Academic Council\(^2\) (AC) and Faculty Assembly Executive Council (EC)) before being forwarded to the Provost for review and approval. The Provost will then submit to the Regents for information (or approval in cases for which Regental action is required, such as the appointment of Deans).

5. In accordance with Faculty Assembly by-laws and the *Faculty Code*, School by-laws will be approved by appropriate faculty and administrative bodies before implementation.

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\(^2\) The current name of the leadership group composed of the Chancellor, VCAA, heads of all academic units and programs, Faculty Assembly chair and vice chair, and head of the campus branch of UW Libraries.
STANDING COMMITTEES

Academic and Student Affairs Committee

Autumn 2016 Freshmen Enrollment Projections

INFORMATION

For information only.

BACKGROUND

As an ongoing July report to the Board, this presentation will update and inform the Board on autumn 2016 freshmen enrollment projections across all three campuses. This enrollment information is preliminary, but provides the board with a good picture of what the University can expect in the fall. Final enrollment information will be available after the autumn quarter “10 Day Census.”

Freshman applications, resident enrollment and diversity are projected to increase across all three campuses, and academic profiles remain stable. In addition, this presentation includes an overview of key observations and admission strategies for each campus.

This information includes freshman only. Transfer and graduate program admissions information is available later in the summer after admission processes are complete. Detailed information will be provided to the Board in fall.

Attachment
Autumn 2016 Freshmen Enrollment Projections
Autumn 2016 Freshmen Enrollment Projections

- Philip Ballinger, Associate Vice Provost for Enrollment & Undergraduate Admissions
- Karl Smith, Associate Vice Chancellor, Chief Admissions Officer, UW Tacoma
- Steve Syverson, Associate Vice Chancellor, Enrollment Management, UW Bothell
Freshman Applications by Residency 2012-2015 Final/Census and 2016 (as of 6-27-2016)
FRESHMAN ADMIT RATES (%) BY RESIDENCY WITH PROJECTIONS FOR 2016 (AS OF 6-27-2016)
FRESHMAN YIELD (%) BY RESIDENCY WITH PROJECTIONS FOR 2016 (AS OF 6-27-2016)

Freshman Enrollment by Residency
2012-2015 Final/Census and 2016 projection (as of 6-27-2016)

- U.S. Non-res:
  - 2012: 6349
  - 2013: 6255
  - 2014: 6951
  - 2015: 6792
  - 2016: ~8300 (projection)

- International:
  - 2012: 562
  - 2013: 1190
  - 2014: 1176
  - 2015: 1355
  - 2016: ~1200

- WA Residents:
  - 2012: 4044
  - 2013: 4711
  - 2014: 4270
  - 2015: 4280
  - 2016: ~4600

Office of Admissions

UNIVERSITY of WASHINGTON
## COMPARATIVE CONFIRMED FRESHMAN CLASS DATA 2015-2016 (AS OF W/E 6-26-2016)

<table>
<thead>
<tr>
<th></th>
<th>2015</th>
<th>2016</th>
<th>Percentage Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>African American</td>
<td>220</td>
<td>236</td>
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<tr>
<td>American Indian</td>
<td>64</td>
<td>82</td>
<td>+28.1%</td>
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<tr>
<td>Asian American</td>
<td>2037</td>
<td>2116</td>
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<tr>
<td>Caucasian</td>
<td>2812</td>
<td>2604</td>
<td>-7.4%</td>
</tr>
<tr>
<td>Hawaiian/Pacific Islander</td>
<td>72</td>
<td>65</td>
<td>-9.7%</td>
</tr>
<tr>
<td>Hispanic/Latino</td>
<td>515</td>
<td>576</td>
<td>+11.8%</td>
</tr>
<tr>
<td>International</td>
<td>1201</td>
<td>978</td>
<td>-18.6%</td>
</tr>
<tr>
<td>Two or more races*</td>
<td>475</td>
<td>507</td>
<td>+7%</td>
</tr>
<tr>
<td>Not indicated</td>
<td>81</td>
<td>77</td>
<td>-4.9%</td>
</tr>
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</table>

*Two or more races also reflected in ethnicity groups above
## Academic Profile of First Year Class 2015 Actual vs 2016 (As of 7-1-2016)

<table>
<thead>
<tr>
<th></th>
<th>2015 Actual</th>
<th>2016</th>
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<tbody>
<tr>
<td>HS GPA</td>
<td>3.78</td>
<td>3.78</td>
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<tr>
<td>SAT Math</td>
<td>648</td>
<td>644</td>
</tr>
<tr>
<td>SAT Critical Reading</td>
<td>599</td>
<td>602</td>
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</table>
**Confirmed Freshman Applicants by First-Generation Status 2012-2015 Final/Census and 2016 (As of 7-1-2016)**

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>First Generation</td>
<td>27.9%</td>
<td>28.3%</td>
<td>27.2%</td>
<td>25.7%</td>
<td>27.9%</td>
</tr>
</tbody>
</table>
**Observations & Key Strategies**

- The 2016 fall freshman class reflects a 2016-2020 plan to stabilize class size at 6,500 students of whom at least 4,300 will be Washington residents.
  - The fall class will enroll a record number of resident students – approximately 4,400.
  - The fall class will enroll a record number of under-represented students.
  - The fall class maintains academic profile.

- While stabilizing class size at around 6,500, we will modulate this number according to graduation outcomes.
  - The Office of Institutional Research is refining an enrollment projection model that associates incoming undergraduate student numbers with progressive overall undergraduate enrollment levels and projected degree production.
  - The better our graduation rates become, the more enrollment capacity we will create.

- The University will continue to monitor significant changes in the competitive enrollment environment.
  - For example, the University of California system sharply increased new undergraduate enrollment levels this year and will do so again next year. UC Berkeley, UCLA, UCSD, UC Davis, UC Santa Barbara, and UC Irvine are all primary competing institutions for the UW for both resident and non-resident students.

### UW Tacoma Freshman Applications by Residency
2012-2015 Final/Census and 2016 as of 6-27-2016

- **2016**: 1851 (International: 97, U.S. Non-Res: 261, WA Residents: 1493)
### COMPARATIVE CONFIRMED FRESHMAN CLASS DATA 2015-2016 (AS OF 6-14-2016)

<table>
<thead>
<tr>
<th></th>
<th>2015</th>
<th>2016</th>
<th>Percentage Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>African American</td>
<td>43</td>
<td>43</td>
<td>0%</td>
</tr>
<tr>
<td>American Indian</td>
<td>3</td>
<td>6</td>
<td>+100%</td>
</tr>
<tr>
<td>Asian American</td>
<td>118</td>
<td>123</td>
<td>+4%</td>
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<tr>
<td>Caucasian</td>
<td>164</td>
<td>192</td>
<td>+17%</td>
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<tr>
<td>Hawaiian/Pacific Islander</td>
<td>10</td>
<td>14</td>
<td>+40%</td>
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<tr>
<td>Hispanic/Latino</td>
<td>82</td>
<td>108</td>
<td>+32%</td>
</tr>
<tr>
<td>International</td>
<td>6</td>
<td>8</td>
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<tr>
<td>Two or more races</td>
<td>48</td>
<td>55</td>
<td>+15%</td>
</tr>
<tr>
<td>Not indicated</td>
<td>4</td>
<td>7</td>
<td>+75%</td>
</tr>
</tbody>
</table>
### Academic Profile of First Year Class 2015 Actual vs 2016 (As of 6-28-2016)

<table>
<thead>
<tr>
<th></th>
<th>2015 Actual</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>HS GPA</td>
<td>3.22</td>
<td>3.24</td>
</tr>
<tr>
<td>SAT Math</td>
<td>491</td>
<td>484</td>
</tr>
<tr>
<td>SAT Critical Reading</td>
<td>484</td>
<td>491</td>
</tr>
<tr>
<td>------------------</td>
<td>-------</td>
<td>-------</td>
</tr>
<tr>
<td></td>
<td>58.9%</td>
<td>65.8%</td>
</tr>
</tbody>
</table>
**Observations & Key Strategies**

- UW Tacoma outreach, recruitment and admissions practices are aligned with its Urban Serving emphasis. In the coming years the University will continue to solidify its market positioning in the South Sound, and lay the ground work to expand into new Washington markets.

  - Establish a seamless pathway for high school students in the South Sound region to the UW Tacoma.
  - Support the college going culture in the South Sound while increasing market share from feeder schools.
  - Execute a tiered territory recruitment plan that focuses on serving the students of the South Puget Sound and surrounding areas.

- Evidence recruitment plan is on track:
  - Freshman applications increased 18%
  - Freshmen confirmation increased 16%
  - Application growth was driven by applicants from Pierce, Thurston and South King County
  - 61% of confirmed students are first-generation 37% of confirmed students are from underrepresented minority backgrounds
  - Pathway to Promise will expand to 3 new school districts during the 2016-2017 school year.
FRESHMAN APPLICATIONS BY RESIDENCY 2012-2015 FINAL/CENSUS AND 2016 (AS OF 6-30-2016)
FRESHMAN ENROLLMENT BY RESIDENCY 2012-2015 FINAL/CENSUS AND 2016 (AS OF 6-30-2016)
## COMPARATIVE CONFIRMED FRESHMAN CLASS DATA 2015-2016 (AS OF 6-14-2016)

<table>
<thead>
<tr>
<th></th>
<th>2015</th>
<th>2016</th>
<th>Percentage Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>African American</td>
<td>62</td>
<td>81</td>
<td>+31%</td>
</tr>
<tr>
<td>American Indian</td>
<td>2</td>
<td>0</td>
<td>-100%</td>
</tr>
<tr>
<td>Asian American</td>
<td>233</td>
<td>289</td>
<td>+24%</td>
</tr>
<tr>
<td>Caucasian</td>
<td>267</td>
<td>252</td>
<td>-6%</td>
</tr>
<tr>
<td>Hawaiian/Pacific Islander</td>
<td>4</td>
<td>8</td>
<td>+100%</td>
</tr>
<tr>
<td>Hispanic/Latino</td>
<td>112</td>
<td>109</td>
<td>-3%</td>
</tr>
<tr>
<td>International</td>
<td>21</td>
<td>34</td>
<td>+62%</td>
</tr>
<tr>
<td>Two or more races</td>
<td>50</td>
<td>61</td>
<td>+22%</td>
</tr>
<tr>
<td>Not indicated</td>
<td>7</td>
<td>11</td>
<td>+57%</td>
</tr>
</tbody>
</table>
# Academic Profile of First Year Class 2015 Actual vs 2016 (As of 6-28-2016)

<table>
<thead>
<tr>
<th></th>
<th>2015 Actual</th>
<th>2016</th>
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</thead>
<tbody>
<tr>
<td>HS GPA</td>
<td>3.28</td>
<td>3.3</td>
</tr>
<tr>
<td>SAT Math</td>
<td>529</td>
<td>529</td>
</tr>
<tr>
<td>SAT Critical Reading</td>
<td>516</td>
<td>506</td>
</tr>
</tbody>
</table>
## Confirmed Freshman Applicants by First-Generation Status 2012-2015 Final/Census and 2016 (As of 6-30-2016)

<table>
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<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>First Generation</td>
<td>49.9%</td>
<td>47.3%</td>
<td>49.3%</td>
<td>49.2%</td>
<td>47.9%</td>
</tr>
</tbody>
</table>
Observations & Key Strategies

- Freshman applications surpassed 3,000 for the first time in history.

- Some new yield strategies appear to have increased the freshmen yield, resulting in a substantially larger freshman class.

- For the future we are focusing on process-related issues that have delayed timely responses to applicants and believe it will improve our yield.

- We are developing strategies to better target the Hispanic and first generation students earlier in their High School careers.

- We are developing closer collaboration to improve transition from our primary feeder schools.
STANDING COMMITTEES

Academic and Student Affairs Committee

Student Retention Initiative

INFORMATION ITEM

This item is for information only.

BACKGROUND

The projects that compose the Retention Initiative stem from the recommendations made by the Retention and Graduation Rates taskforce at the University of Washington, Seattle campus. The taskforce was charged by then Provost Ana Mari Cauce with developing a set of recommendations for improving retention rates of undergraduate students on the Seattle Campus. These projects were designed to help a particular subset of the undergraduate population continue to make satisfactory academic progress towards their degree.

The two projects that will be highlighted during the presentation will be the Reinstated Student Pilot and the Outreach to Stop Outs and Non-Graduates. The Reinstated Student Pilot is an initiative to help students succeed upon their readmission to the UW. The pilot relies on strategic collaborations among different units throughout the university. The goal is to help students improve academically so they can continue to make satisfactory academic progress towards a degree.

The Outreach to Stop Outs and Non-Graduates is a collaboration with a Undergraduate Academic Affairs, Office of Minority Affairs & Diversity and different academic departments. The Stop Out Outreach identifies pre-major students that have not enrolled at the UW and hopes to reconnect with them to facilitate their return to the UW. The Outreach to Non-Graduates identifies students who are close to graduation but are no longer enrolled at the UW. The goal is to help these students complete any outstanding academic requirements so that they can graduate from the UW within a timely manner.

These projects are the responsibility of the Manager of Student Success within the Division of Student Life.

Attachments

1. UW Undergraduate Retention and Graduation: Executive Summary, OEA Report 14-01
2. Biographical Information for Felipe Martinez, Ed.D.
UW Undergraduate Retention and Graduation: Executive Summary

Catharine Beyer, Angela Davis-Unger, Nana Lowell, Debbie McGhee, Jon Peterson
June 2014

“I struggled to stay motivated. Had really bad study habits. Lived in a horrible environment. Was alone, no support group, friends or family. Didn't feel like I fit in anywhere. Academic struggles. Depression for about one year.” —Former UW student

Purpose of the Study

The six-year undergraduate completion rate for public colleges and universities in the U.S. averaged 59% in 2011 (National Center for Educational Statistics, 2014). In Washington State, the average six-year completion rate has been about 69% for several years. According to UW Planning and Budgeting records, the UW's six-year graduation rate has averaged 81% since 2005. Even though the UW has an excellent graduation rate, we recognize that improving completion rates is a value to U.S. and Washington State economies, to families and individuals seeking knowledge and upward mobility, and to students who have been admitted to the UW and want to succeed here.

Therefore, the UW Retention and Completion Study (UW RGS) was conducted on behalf of the Provost's Office by the Office of Educational Assessment (OEA) in Undergraduate Academic Affairs (UAA). The study's focus was limited to the UW's Seattle campus. The purposes of the study were 1) to learn which groups of students are more likely to leave the UW than others, 2) to understand more about why those students leave from their own point of view, and 3) to identify strategies for intervening in future students' decisions to leave.

Methods

The UW RGS gathered and analyzed data from four sources:
- Conversations with 63 staff members and administrators about retention efforts on campus.
- Analysis of the relationships of demographic and academic variables (as predictors) and yearly retention and graduation status (as outcomes) using multiple logistic regression techniques.
- OEA researchers used graduation and retention tables from the Office of Budgeting and Planning (OPB) to identify 56,271 students who entered UW Seattle as undergraduates between Spring 2005 and Winter 2012, and we examined the following variables for these students, obtained from the UW student database: sex, race/ethnicity, citizenship, residency, entry type (first-time first-year vs. transfer), first in family to attend college, Pell Grant eligibility, high school GPA, SAT scores, transfer GPA, UW GPA in the first year.
- A survey of 10,555 former students who had left the UW without graduating since 2004, which focused on their reasons for leaving. A total of 1,763 students (17%) completed the survey.
- Analysis of questions on an all-student survey (SERU) conducted in 2014 at the UW on why students who had considered leaving the UW had chosen to stay.
Findings

Community Conversations

A list of the retention efforts at UW (Appendix B) shows that retention efforts at the UW are decentralized and extensive across the Seattle campus. Those with whom we spoke pointed out that the information we have about students, particularly for some groups of students, is limited, and they would like better ways of gathering information on student populations and linking it to the student database. Furthermore, they suggested that the UW continue to explore aspects of retention that were not within the scope of this current study. These aspects included how UW policies (such as financial holds on registration, course withdrawal, credit/quarter limits, emergency loan pay-back, and hardship withdrawal policies) affect retention and completion, as well as information about the retention and completion of graduate students.

Existing Data

Analysis of existing data revealed the following:

- Differences in retention rates by first-generation status are not apparent until other demographic variables are controlled, which suggests that there are complex mechanisms underlying the relationship between first-generation status and college outcome.
- Part-time enrollment negatively affects not only the likelihood of persisting, but also the likelihood of graduation.
- The six-year graduation rates for Native American, African American, and Pacific Islander students lag behind those of other ethnic groups by up to thirteen percentage points.
- There has been a widening gap between the graduation rates of PELL recipients and their peers that is unrelated to other factors such as ethnicity or first-generation status.
- The average first-year UW GPA among graduates (3.24) was significantly greater than the average GPA for non-graduates average (2.61). First-year UW GPA predicted the outcome even after controlling for a student’s incoming GPA, and there was a significant difference between the average UW GPA of graduates and non-graduates among all demographic groups.

Survey of Leavers

The survey responses of former students clearly showed that the leaving process is usually complex. Students most often reported more than one reason for leaving, and often two or three reasons interacting with each other brought about students’ decisions to leave. The most frequently-given reasons that students gave for leaving in both fixed and open-ended responses included:

- Emotional distress/depression; health and well-being
- Financial reasons
- Quality of the academic experience (classes too big, not learning much, not getting money’s worth)
- Not doing well academically; problems with grades or credits
- Social isolation
- Issues related to major (couldn’t get into engineering or nursing; didn’t have the major I wanted at UW)
- Felt unwelcome here/bad personal experience here

In addition, students provided many suggestions for what the UW might have done to prevent them from leaving. The most frequently-given suggestion was to provide more support for students in a variety of ways.
Survey of Students Who Considered Leaving and Decided to Stay

Although about one in every five students who enters the UW leaves without graduating, more than one in every four students considers leaving but decides to stay. Those who considered leaving reported the same reasons for leaving that the students who actually left reported. The differences between those who stayed and those who left appeared to be that students who stayed have 1) a sense of being supported, especially by family, in their push to complete their undergraduate degrees, 2) the ability to wait the hard time out and/or take some small steps to help resolve the issue, and 3) perhaps the ability to conduct a cost-benefit analysis, weighing how much trouble it might be to leave against how hard it is to stay.

Recommendations

We offer the following recommendations:

Recommendation 1: Disseminate findings from this study widely throughout UW Seattle, particularly to the individuals and groups who participated in the community conversations and others engaged in retention efforts. Our hope is to inform ongoing work and to generate questions for further analysis and future study.

Recommendation 2: Hire an individual with the responsibility for coordinating retention efforts campus-wide and leading efforts to identify and resolve issues that relate to baccalaureate completion at UW Seattle. According to an ACT (2010) survey completed by chief academic affairs officers at 1,107 colleges and universities, including 258 public four-year universities, most (69.4%) of the public four-year institutions reported that there was a person on their campuses responsible for the coordination of retention programs. The individual with the responsibility of centrally coordinating retention efforts would conduct or coordinate interventions with students who are identified by this study as at risk for leaving and to design interventions such as those described in Walton and Cohen (2011) and Tough (2014).

Recommendation 3: Convene a task force to work with the individual responsible for coordinating retention to review findings from this report and construct a strategic plan for retention at UW-Seattle. The explicitly stated goal of the task force would be to increase the six-year graduation rate beyond 81% and to identify clear, evidence-based objectives that may be established and pursued with that goal in mind. Based on the findings of this study, the task force should consider the following:

- The effects of all forms of financial aid on retention and ways to increase work-study opportunities
- Ways to provide students with additional information about depression and anxiety related to college and to ensure that timely access to counseling is available for students seeking help for both major and minor depression
- Methods for improving the retention of underrepresented minority students, part-time students, and out-of-state students, whose retention rates are lower than those of others
- Methods for identifying and intervening with undergraduates whose UW GPAs fall below 2.6 in the first year
- Ways to help students have realistic expectations about typical academic experiences at UW and to enlist their parents in helping them in times of academic difficulty
- Approaches to ease students’ feelings of social isolation, especially in their first two years at UW
- Ways to help those monitoring and assisting special populations track those populations
- The effects of current UW policies on retention, including financial holds on registration, course withdrawal policy, credit and quarter limit rules, emergency loan pay-back policy, hardship withdrawal
Recommendation 4: Consider retention issues related to graduate and professional students at UW Seattle, and collaborate with UW Bothell and Tacoma on retention matters in ways that are useful to them.

Finally, we would like to acknowledge the big and small, direct and indirect ways everyone who works at the UW is working to help students complete their degrees. The effort noted in the table in Appendix B, which represents only a portion of the retention work on campus, is laudable and contributes significantly to the UW having excellent first-year retention and six-year completion rates.
Felipe Martinez, Ed.D.
Manager of Student Success
Division of Student Life

Dr. Martinez is a higher education professional with over 10 years of experience developing programs that focus on student engagement, retention and leadership development. His research interests include, access to higher education, educational equity, globalization and the experience of first-generation college students within the university setting.

When creating support programs, Dr. Martinez utilizes a strengths-based approach to nurture student development and success. He has taught graduate students in the College of Education and currently works as Manager of Student Success at the University of Washington. In this role, he manages a portfolio of projects that aim at increasing the university’s overall graduation rate.
STANDING COMMITTEES

Finance and Asset Management Committee

Red Flag Rules – Identity Theft Compliance Program Annual Report

INFORMATION


This program requires ‘financial institutions’ and ‘creditors,’ which includes the University of Washington, to create an identity theft reduction program. The University of Washington is covered under the Red Flag Rules due to its role in:

- Collecting registration and billing information to create patient accounts and/or bill for the provision of healthcare services; and
- Issuing and collecting loan funds.

This report fulfills the FTC mandated annual reporting requirements to the Board of Regents' Finance and Asset Management Committee.

GOVERNANCE AND MANAGEMENT

Student Fiscal Services (a department in Finance and Facilities) is responsible for the administration of the Red Flag Rules Program for all non UW Medicine offices.

The UW Medicine Board Compliance Committee and the respective boards or committees of UW Physicians (UWP), Children’s University Medical Group (CUMG), Harborview Medical Center, UW Medical Center, Northwest Hospital, and Valley Medical Center have oversight for the UW Medicine Identity Theft Prevention Programs which are managed by UW Medicine Compliance, UWP Compliance, and CUMG Compliance.

UW Medicine hospitals and clinics and other entities maintain operational procedures that support the implementation of program policies.

PROGRAM ACCOMPLISHMENTS

A comprehensive website has been created that includes information on how to identify and detect Red Flags, how to respond to Red Flags, how the Red Flags Compliance Program is administered, and contact information for the Red Flag Rules compliance coordinators. The website also includes a list of outside
STANDING COMMITTEES

Finance and Asset Management Committee

Red Flag Rules – Identity Theft Compliance Program Annual Report (continued p. 2)

resources and a link to Administrative Policy Statement 35.2 – Identity Theft Prevention: Red Flag Rules.

In addition to maintaining the Red Flag Rules website, a training program has been implemented that involves communicating directly and providing program and/or rule updates with all University of Washington offices and units that are required to meet the Red Flag Rules.

Student Fiscal Services has a proactive identity theft prevention and identification program that looks for suspicious documents, suspicious personal identifying information, and/or suspicious account activity in place. This program is reviewed and updated annually.

UW Medicine maintains an Identify Theft Prevention Program (ITPP) to help detect, prevent and mitigate any identity theft involving patients. In addition to a UW Medicine-specific ITPP policy, operational procedures and training, the ITPP includes Patient Identification and Clarification Committees (PICC) that receive, investigate, and recommend resolution of complaints of misidentification (including, but not limited to identity theft).

During FY 2016, EMV (Europay, MasterCard, and Visa) chip enabled credit card terminals were installed across campus. These terminals provide a higher level of security and increased protection against fraud and identity theft for University departments processing credit card transactions.

COMPLIANCE UPDATES

In FY 2016 to date:

- Student Fiscal Services reported observing or identifying no instances of identity theft in relation to the 4,160 institutional loans disbursed to students.

- Student Fiscal Services identified 19 possible instances of fraud/identity theft among the 4,131,488 credit card payments processed across campus. In each instance, documentation was provided to the requisite financial institutions.

- UW Medicine Compliance and the UW Medicine PICCs investigated 22 incidents of potential identity theft. Of those incidents, 17 were determined to constitute identity theft. These figures represent a
STANDING COMMITTEES

Finance and Asset Management Committee

Red Flag Rules – Identity Theft Compliance Program Annual Report (continued p. 3)

significant decrease from the prior year, down by more than fifty percent. The remaining five investigated incidents included two registration errors and three unsubstantiated claims. For the 17 identity theft incidents, the patients were directed to notify law enforcement, and UW Medicine reconciled the billing and medical records.

ONGOING GOALS

Continue to identify, and communicate directly with all University of Washington offices with transactions that may be covered by the Red Flag Rules. These discussions are designed to provide program updates and information on identifying and responding to potential identity theft.

Continue to identify and report to the appropriate parties, all suspected instances of identity theft.
STANDING COMMITTEES

Finance and Asset Management Committee

Capital and Debt Update

INFORMATION ITEM

This item is being presented for information only.

BACKGROUND

This is a standing agenda item. The item, previously named "One Capital Plan," has been re-named "Capital and Debt Update" in order to reflect inclusion of the Monthly Debt Report.

Attachments
1. One Capital Plan Process and One Capital Plan Metrics
2. Prioritized 6-Year Capital Plan (2017-2023)
3. 2017-2019 State Capital Budget Request and 10 Year Capital Plan
4. Capital Project Approval Process
5. Major Capital Assets Summary Scorecard (As of May 31, 2016)
6. Monthly Debt Report
One Capital Plan Process

Planning Cycle

The Prioritized One Capital Plan captures three bienniums 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.

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 - 49,000 FTE by 2023
- Faculty and staff growth in Seattle (21,500 FTE) will follow a similar trend - 23,000 FTE by 2023
- Research expenditures to remain flat for the next few years, then grow at 2% annually
- Student enrollment at Bothell (4,900 FTE) is expected to grow to 6,000 FTE by 2023
- Student enrollment at Tacoma (4,600 FTE) is expected to grow to 6,000 FTE by 2023

Campus Planning Targets

- Total square footage in Seattle should grow by roughly 1.6 million GSF by 2023
- Total square footage in Bothell (currently 700,000 GSF) should grow by roughly 200,000 GSF by 2023
- Total square footage in Tacoma (currently 735,000 GSF) should grow by roughly 165,000 GSF by 2023
- Capital reinvestment in existing facilities should be between 1.5-2.5% of the CRV or $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 | - Improve learning environments | - Focus local/minor capital on classroom improvements
 | - Accommodate areas of growth | - Create new flexible spaces, considered as shell/fit out
 | - Provide quality student housing | - Recapture underutilized space
 | - Innovation District in West Campus | - Proforma driven projects with increasing equity
2. Innovation Mindset | - Develop tower above Sound Transit for office and other uses - flexible space designed for churn
 | - Address infrastructure & renewal | - Leverage new and existing funding sources
3. Public as a Philosophy | - Combine University investments with private development to attract research partners
 | - 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

F–2.1/207-16
7/14/16
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 to the left illustrates the amount of spending projected in the draft One Capital Plan relative to these targets. Any annual shortfall results in increased levels of deferred maintenance in the future. The chart on the right illustrates the source and uses of funds for minor capital projects.
### Prioritized 6-Year Capital Plan (2017-2023)

<table>
<thead>
<tr>
<th>Funding in $ Millions</th>
<th>Project Budget</th>
<th>Previous Cap Plan</th>
<th>Project Information</th>
<th>Project Funding</th>
<th>Previous Fund Split</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Total GSF</td>
<td>New GSF</td>
<td>New O&amp;M</td>
</tr>
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<td><strong>STUDENT EXPERIENCE</strong></td>
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<td>1 Classroom Improvements (multi-year plan)</td>
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**Lewis Hall Renovation**

**College of the Environment - Anderson Hall Renovation**

**School of Dentistry Building**

**subtotals:** $ 798 $ 766

### INNOVATION MINDSET

<table>
<thead>
<tr>
<th>Funding in $ Millions</th>
<th>Project Budget</th>
<th>Previous Cap Plan</th>
<th>Project Information</th>
<th>Project Funding</th>
<th>Previous Fund Split</th>
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<td>Total GSF</td>
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<td>New O&amp;M</td>
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<td><strong>Lewis Hall Renovation</strong></td>
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<tr>
<td><strong>subtotals:</strong></td>
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<th>Funding in $ Millions</th>
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<th>Previous Cap Plan</th>
<th>Project Information</th>
<th>Project Funding</th>
<th>Previous Fund Split</th>
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<td>19 Industry Partnership Lab Development</td>
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<td>21 UW Medicine - Harborview Hall Lease</td>
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<td>23 School of Medicine - South Lake Union Rosen Remodel</td>
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**subtotals:** $ 1,078 $ 434

7/14/16
## Prioritized 6-Year Capital Plan (2017-2023)

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<tr>
<th>Funding in $ Millions</th>
<th>Project Information</th>
<th>Project Funding</th>
<th>Previous Fund Split</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total GSF</td>
<td>New GSF</td>
<td>New O&amp;M</td>
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<tr>
<td></td>
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<tr>
<td>Public as a Philosophy</td>
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<tr>
<td>25 Burke Museum</td>
<td>$83</td>
<td>102,000</td>
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<td>26 Intellectual House Phase 2</td>
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<td>8,200</td>
<td>8,200</td>
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<td>27 West Campus Park</td>
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<td>-</td>
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<tr>
<td>28 Waterfront Improvements in South Campus &amp; the Cut</td>
<td>$10</td>
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<tr>
<td>29 Burke Gilman Trail Improvements - Phase 3</td>
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<td>-</td>
<td>-</td>
</tr>
<tr>
<td>30 University District Development at Transit - non-core functions</td>
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<td>200,000</td>
<td>200,000</td>
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<tr>
<td>31 UW Tacoma - Soil Remediation</td>
<td>$7</td>
<td>6</td>
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<tr>
<td>Subtotals:</td>
<td>$299</td>
<td>$274</td>
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<tr>
<td>Transforming Administration</td>
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<td>32 UW Medicine IT Core Applications and Infrastructure</td>
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<tr>
<td>33 Enterprise Information Systems (Financial System)</td>
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<tr>
<td>34 Seismic Improvements (6-year plan)</td>
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<tr>
<td>35 Minor Capital Repair</td>
<td>$165</td>
<td>207</td>
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<td>36 UW Seattle - Parking garage(s) - add'l. 500 spaces</td>
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<td>37 UW Seattle - Parking lot improvements</td>
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<td>38 UW Bothell - Parking garage</td>
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<tr>
<td>39 Fuel Switching / Power Plant Upgrade</td>
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<td>40 Strategic Opportunities / Matching Funds</td>
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<td>Subtotals:</td>
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<td>$471</td>
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<tr>
<td>Totals:</td>
<td>$2,884</td>
<td>$1,945</td>
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</table>

| Totals: | $20 | $112 | $350 | $637 | $512 | $625 | $647 |
| Totals: | $2,884 | $1,945 | $3,192,575 | 2,235,200 | $20 | $112 | $350 | $637 | $512 | $625 | $647 |

F–2.2/207-16

7/14/16
## 2017-2019 State Capital Budget Request and 10 Year Capital Plan

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<tr>
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<td>State Funds</td>
<td>UW Building</td>
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<td>Acq</td>
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<td>1 Minor Capital Repair (incl. preventative maintenance)</td>
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<td>69,000</td>
<td>- 69,000</td>
<td>- 69,000</td>
<td>- 69,000</td>
<td>69,000</td>
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<tr>
<td>2 Burke Museum (under construction)</td>
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<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<td>3 Seismic Improvements (6 year plan - collapse prevention)</td>
<td>25,000</td>
<td>25,000</td>
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<td>-</td>
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<tr>
<td>4 Population Health Sciences - Research Building</td>
<td>20,000</td>
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<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<tr>
<td>5 Population Health - Education Building (T-Wing addition/renovation)</td>
<td>10,000</td>
<td>50,000</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<tr>
<td>6 College of Engineering - Interdisciplinary Education and Research</td>
<td>1,000</td>
<td>14,000</td>
<td>35,000</td>
<td>-</td>
<td>-</td>
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<td>7 UW Bothell - Phase 4 - Academic STEM Building</td>
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<td>9 Center for Advanced Materials and Clean Energy Technologies</td>
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<td>11 Evans School - Parrington Hall Remodel</td>
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<td>-</td>
<td>-</td>
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<tr>
<td>12 College of Education - Miller Hall Renovation</td>
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<td>400</td>
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<td>48,600</td>
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<td>-</td>
<td>400</td>
<td>2,000</td>
<td>22,600</td>
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**Totals:** 106,000 69,000 155,400 69,000 93,900 69,000 52,500 69,000 24,100 69,000 777,000

* Acq = Acquisition, PD = Pre-development, D = Development, C = Construction

6 year total: 350,000
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

![Diagram of the Capital Project Approval Process]

- Institutional Strategy & Project Prioritization
  - Identify projects
  - Categorize projects
  - Prioritize projects
  - Develop overall funding strategies

- One Capital Plan
  - Institutional objective
  - Business case
  - Estimated budget and financing strategy
  - Benchmarks & metrics
  - Estimated schedule

- Board of Regents - Actions
  - Approve overall plan
  - Approve capital budget request

- Board of Regents - Information
  - Approve preliminary site
  - Approve architect
  - Approve contractor
  - Approve pre-construction budget

- Board of Regents - Actions
  - Approve final site (after Environmental Impact Statement)
  - Approve naming plan
  - Approve financing plan
  - Approve project budget

- Board of Regents - Reporting
  - Project status
  - Budget vs. forecast
  - Schedule vs. forecast
  - Business equity rates
## Major Capital Assets Summary Scorecard (As of May 31, 2016)

### Major Construction Projects

<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>Scheduled Use Date</th>
<th>Selections</th>
<th>Business Equity</th>
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</thead>
<tbody>
<tr>
<td>Animal Research and Care Facility</td>
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<td>Const</td>
<td>Research</td>
<td>85,000</td>
<td>$123.5</td>
<td>4/17</td>
<td>4/17</td>
<td>ZGF</td>
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<td>Burke-Gilman Trail Phase 1 &amp; Phase 2 Design</td>
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<td>Infrastruct</td>
<td>n/a</td>
<td>6.1</td>
<td>3/16</td>
<td>11/18</td>
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<td>Computer Science and Engineering Exp.</td>
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<td>Research</td>
<td>130,000</td>
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<td>11/18</td>
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<td>LMN</td>
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<td>Denny Hall Renovation</td>
<td>56.9</td>
<td>Const</td>
<td>Classroom</td>
<td>86,400</td>
<td>52.9</td>
<td>12/16</td>
<td></td>
<td>THA</td>
</tr>
<tr>
<td>Fluke Hall Renovation</td>
<td>28.5</td>
<td>Const</td>
<td>Research</td>
<td>n/a</td>
<td>37.0</td>
<td>7/16</td>
<td></td>
<td>HDR</td>
</tr>
<tr>
<td>GIX Tenant Improvements</td>
<td>19.6</td>
<td>Design</td>
<td>Classroom</td>
<td>99,900</td>
<td>19.6</td>
<td>7/17</td>
<td></td>
<td>Bora</td>
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<tr>
<td>Life Sciences Building</td>
<td>164.8</td>
<td>Design</td>
<td>Classroom</td>
<td>193,600</td>
<td>164.8</td>
<td>7/18</td>
<td>Perkins+Will</td>
<td>Skansa</td>
</tr>
<tr>
<td>NanoEngineering and Sciences Building</td>
<td>58.9</td>
<td>Const</td>
<td>Research</td>
<td>78,000</td>
<td>87.8</td>
<td>7/16</td>
<td>ZGF</td>
<td>Skansa</td>
</tr>
<tr>
<td>New Burke Museum</td>
<td>79.0</td>
<td>Design</td>
<td>Other</td>
<td>110,000</td>
<td>79.0</td>
<td>4/17</td>
<td>Olson Kundig</td>
<td>Skansa</td>
</tr>
<tr>
<td>North Campus Housing Replacement</td>
<td>240.0</td>
<td>Design</td>
<td>Housing</td>
<td>n/a</td>
<td>240.0</td>
<td>6/18</td>
<td>Kieran Timberlake</td>
<td>X</td>
</tr>
<tr>
<td>Police Department Facility</td>
<td>19.5</td>
<td>Const</td>
<td>Other</td>
<td>29,000</td>
<td>19.5</td>
<td>6/16</td>
<td>Miller Hull</td>
<td>X</td>
</tr>
<tr>
<td>UW Medicine South Lake Union 3.2</td>
<td>143.0</td>
<td>Design</td>
<td>Research</td>
<td>180,886</td>
<td>143.0</td>
<td>9/17</td>
<td>Perkins + Will</td>
<td>X</td>
</tr>
<tr>
<td>Tacoma Urban Solutions Center</td>
<td>28.0</td>
<td>Const</td>
<td>Student</td>
<td>40,000</td>
<td>28.0</td>
<td>9/17</td>
<td>Miller Hull</td>
<td>X</td>
</tr>
<tr>
<td>UWMC Expansion Phase II *</td>
<td>186.3</td>
<td>Const</td>
<td>Medical</td>
<td>244,000</td>
<td>186.3</td>
<td>4/17</td>
<td>NBBJ</td>
<td>X</td>
</tr>
<tr>
<td>West Campus Utility Plant *</td>
<td>30.5</td>
<td>Const</td>
<td>Infrastruct</td>
<td>17,000</td>
<td>44.2</td>
<td>1/17</td>
<td>Miller Hull</td>
<td>X</td>
</tr>
</tbody>
</table>

### Other Capital Projects

- HR Payroll Modernization*: $75.9
- Totals: $1,366

### Totals

- $1,293,786
- $1,117
- $1,061
- $347

### 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

* Selection of the design firm for this project was made prior to Capital Planning & Development's expanded definition of and enhanced focus upon business equity. There is no business equity utilization reported on this project to date.

* forecasts that have changed since previous meeting

---

**ATTACHMENT 5**

F–2.5/207-16

7/14/16

Page 1 of 1
**Monthly Debt Report**

**As of 5/31/2016**

## Recent Events

- Long-term interest rates remain low, with the current 30 year weighted average fixed borrowing cost estimated to be 3.42%\(^{(1)}\).
- Short-term interest rates continue to rise. The University re-priced commercial paper on May 23th with a 4-month term at 0.53% (up from 0.45%).

## Estimated Project Capacity

<table>
<thead>
<tr>
<th>FY 2016-2021 (in millions)</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Debt Capacity</td>
<td>$755</td>
<td></td>
</tr>
<tr>
<td>Plus: Remaining CAP(^{(2)})</td>
<td>100</td>
<td></td>
</tr>
<tr>
<td>Less: Authorized Projects(^{(3)})</td>
<td>(450)</td>
<td></td>
</tr>
<tr>
<td>Remaining Project Capacity</td>
<td>$405</td>
<td></td>
</tr>
</tbody>
</table>

- A project capacity update was presented at the May Regents meeting based on 2015 audited financial statements and projections.
- Figures represent how much additional debt the University can issue over the next five years while aligning with peer minimum ratios.
- $405 million of debt funded project capacity is available.

## External Debt Portfolio - $2,348 Million

- The external portfolio as of 4/30/2016 was $2,349 million. This is $1.12 million lower than the previous report, which is a result of $1.12 million in principal payments.
- Weighted average cost of capital: 3.57%.
- 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

\(\text{Maximum Annual Debt Service} = 204M\)

---

\((1)\) 80/20 weighting between the tax-exempt and taxable 30 year long term interest rates to accurately reflect the Universities portfolio. Previously reported the tax-exempt rate.

\((2)\) 10% of the Invested Funds (IF), less previously allocated Capital Assets Pool (CAP) dollars.

\((3)\) Includes South Lake Union 3.2, Life Sciences, Housing Phase 4a, Court 17 and 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.

\((4)\) Excludes principal payments on Commercial Paper.

\((5)\) Excludes Valley Limited Tax General Obligation Bonds.
### Outstanding External Debt

#### (in millions)

<table>
<thead>
<tr>
<th>Project</th>
<th>Purpose</th>
<th>Balance</th>
<th>Final Maturity</th>
<th>% by Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Molecular Engineering Building</td>
<td>Instruction and Research</td>
<td>70.8</td>
<td>2043</td>
<td></td>
</tr>
<tr>
<td>Dempsey Hall</td>
<td>Instruction and Research</td>
<td>39.6</td>
<td>2041</td>
<td></td>
</tr>
<tr>
<td>Foege Building</td>
<td>Instruction and Research</td>
<td>31.6</td>
<td>2031</td>
<td></td>
</tr>
<tr>
<td>UW Bothell Phase 3</td>
<td>Instruction and Research</td>
<td>25.5</td>
<td>2043</td>
<td></td>
</tr>
<tr>
<td>William H. Gates Law School</td>
<td>Instruction and Research</td>
<td>23.8</td>
<td>2028</td>
<td></td>
</tr>
<tr>
<td>AAALAC</td>
<td>Instruction and Research</td>
<td>23.1</td>
<td>2035</td>
<td></td>
</tr>
<tr>
<td>Ben Hall</td>
<td>Instruction and Research</td>
<td>19.2</td>
<td>2037</td>
<td></td>
</tr>
<tr>
<td>Animal Research and Care Facilitie</td>
<td>Instruction and Research</td>
<td>16.8</td>
<td>2047</td>
<td></td>
</tr>
<tr>
<td>Denny Hall</td>
<td>Instruction and Research</td>
<td>15.0</td>
<td>2046</td>
<td></td>
</tr>
<tr>
<td>Ocean Sciences</td>
<td>Instruction and Research</td>
<td>13.2</td>
<td>2024</td>
<td></td>
</tr>
<tr>
<td>Physics-Astronomy</td>
<td>Instruction and Research</td>
<td>7.8</td>
<td>2023</td>
<td></td>
</tr>
<tr>
<td>Other Instruction and Research</td>
<td>Instruction and Research</td>
<td>28.2</td>
<td>various</td>
<td></td>
</tr>
<tr>
<td><strong>Subtotal Instruction and Research</strong></td>
<td></td>
<td>314.7</td>
<td></td>
<td><strong>13%</strong></td>
</tr>
<tr>
<td>South Lake Union (Ph I, II, 3.1, &amp; 3.)</td>
<td>UW Medicine</td>
<td>408.2</td>
<td>2048</td>
<td></td>
</tr>
<tr>
<td>UWMC Expansion</td>
<td>UW Medicine</td>
<td>190.3</td>
<td>2046</td>
<td></td>
</tr>
<tr>
<td>Valley Medical Center</td>
<td>UW Medicine</td>
<td>79.0</td>
<td>2040</td>
<td></td>
</tr>
<tr>
<td>NW Hospital</td>
<td>UW Medicine</td>
<td>78.6</td>
<td>2033</td>
<td></td>
</tr>
<tr>
<td>UWMC Surgery Pavilion</td>
<td>UW Medicine</td>
<td>46.3</td>
<td>2028</td>
<td></td>
</tr>
<tr>
<td>Other UW Medicine</td>
<td>UW Medicine</td>
<td>29.5</td>
<td>various</td>
<td></td>
</tr>
<tr>
<td><strong>Subtotal UW Medicine</strong></td>
<td></td>
<td>831.9</td>
<td></td>
<td><strong>35%</strong></td>
</tr>
<tr>
<td>Housing Expansion</td>
<td>Student Life</td>
<td>389.6</td>
<td>2045</td>
<td></td>
</tr>
<tr>
<td>Husky Union Building</td>
<td>Student Life</td>
<td>106.5</td>
<td>2043</td>
<td></td>
</tr>
<tr>
<td>IMA Building</td>
<td>Student Life</td>
<td>32.9</td>
<td>2030</td>
<td></td>
</tr>
<tr>
<td>Radford Court Apartments</td>
<td>Student Life</td>
<td>32.7</td>
<td>2032</td>
<td></td>
</tr>
<tr>
<td>Nordheim Court</td>
<td>Student Life</td>
<td>21.5</td>
<td>2033</td>
<td></td>
</tr>
<tr>
<td>Bothell Student Center</td>
<td>Student Life</td>
<td>18.0</td>
<td>2046</td>
<td></td>
</tr>
<tr>
<td>Ethnic Cultural Center</td>
<td>Student Life</td>
<td>13.2</td>
<td>2043</td>
<td></td>
</tr>
<tr>
<td>UW Tacoma YMCA</td>
<td>Student Life</td>
<td>12.1</td>
<td>2046</td>
<td></td>
</tr>
<tr>
<td>Other Student Life</td>
<td>Student Life</td>
<td>29.9</td>
<td>various</td>
<td></td>
</tr>
<tr>
<td><strong>Subtotal Student Life</strong></td>
<td></td>
<td>656.4</td>
<td></td>
<td><strong>28%</strong></td>
</tr>
<tr>
<td>UW Tower</td>
<td>Academic Support</td>
<td>109.4</td>
<td>2037</td>
<td></td>
</tr>
<tr>
<td>Cobb Building</td>
<td>Academic Support</td>
<td>32.9</td>
<td>2045</td>
<td></td>
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<tr>
<td>HR Payroll Modernization</td>
<td>Academic Support</td>
<td>25.0</td>
<td>n/a</td>
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<tr>
<td>422S Roosevelt</td>
<td>Academic Support</td>
<td>17.1</td>
<td>2029</td>
<td></td>
</tr>
<tr>
<td>454S Building</td>
<td>Academic Support</td>
<td>15.7</td>
<td>2024</td>
<td></td>
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<tr>
<td>Other Academic Support</td>
<td>Academic Support</td>
<td>42.9</td>
<td>various</td>
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<tr>
<td><strong>Subtotal Academic Support</strong></td>
<td></td>
<td>243.0</td>
<td></td>
<td><strong>10%</strong></td>
</tr>
<tr>
<td>Husky Stadium</td>
<td>Athletics</td>
<td>231.2</td>
<td>2045</td>
<td></td>
</tr>
<tr>
<td>Husky Ballpark</td>
<td>Athletics</td>
<td>11.8</td>
<td>2045</td>
<td></td>
</tr>
<tr>
<td>Other Athletics</td>
<td>Athletics</td>
<td>7.3</td>
<td>various</td>
<td></td>
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<tr>
<td><strong>Subtotal Athletics</strong></td>
<td></td>
<td>250.3</td>
<td></td>
<td><strong>11%</strong></td>
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<tr>
<td>Available Proceeds</td>
<td>Unallocated</td>
<td>51.8</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total University Outstanding Debt</strong></td>
<td></td>
<td>2,348.1</td>
<td></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

(1) Will not exactly match ILP balances due to bond premiums and use of the CAP.
STANDING COMMITTEES

Finance and Asset Management Committee

Deferred Maintenance

INFORMATION ITEM

This item is being presented for information only.

BACKGROUND

Sightlines, Inc. has been retained to help assess the level of investment in existing buildings in relation to industry standards and our peer institutions. This presentation includes preliminary findings for discussion. Ongoing work will create predictive modeling intended to inform the One Capital Plan.

Attachment

Sightlines Report: “Our Facilities, Comparing UW’s Seattle Campus with its Peers”
OUR FACILITIES

COMPARING UW’S SEATTLE CAMPUS WITH ITS PEERS

July 14, 2016
Presented by:

Charles Kennedy
Associate Vice President
Facilities Services

Michael McCormick
Associate Vice President
Capital Planning & Development
SIGHTLINES

WHAT IS SIGHTLINES?

Sightlines is a leading asset-advisory firm specializing in rigorous benchmarking and analysis, helping universities improve facilities and financial performance to enable focused operational and capital decisions.

Sightlines serves the nation’s leading institutions, including:

> 70% of the Top 20 Colleges*
> 75% of the Top 20 Universities*
> 34 flagship state universities
> 14 of the 14 Big 10 institutions
> Nine of the 12 Ivy Plus institutions

*U.S. News & World Report 2016 universities rankings

OUR COMPARISON INSTITUTIONS

> Carnegie Mellon University
> The Johns Hopkins University
> Massachusetts Institute of Technology
> Northwestern University
> Rutgers University
> University of Colorado - Boulder
> University of Illinois - Urbana/Champaign
> University of Michigan
> University of Minnesota - Twin Cities

Size, technical complexity, region, geographic location and setting are all factors included in the selection of peer institutions.
**CAMPUS PROFILE**

**DENSITY**

UW's Seattle campus is more dense than our peers in terms of people per square foot, and in terms of research percentage.

**INTENSITY**

The University's Seattle campus buildings are some of the largest among our peer institutions.

**COMPLEXITY**

Our Seattle campus buildings are more technically complex in terms of systems that support research than peers, which puts more strain on maintenance.
PREVENTATIVE MAINTENANCE

Funding for preventative maintenance from the UW Building Account is well below our peers.

Our preventative maintenance spending v. peers

Our preventative maintenance spending v. peers (last five years)
On average our maintenance staff, including custodial, groundskeeping and skilled trades maintenance, cover more gross square footage per full-time employee than our peers. Surpassing 100,000 GSF/FTE for maintenance is considered high efficiency. We’ve maintained quality maintenance coverage at our Seattle campus despite the larger-than-average burden.

Maintenance five year trend

- UW staff cover 18% more GSF than they did five years ago

Maintenance coverage

- Average Increase

Maintenance supervision

- FTE/Supervisor

General repair score

- General repair score
The renovation age of a building can tell us about its operational demands and capital risks.

### Operational demands

**React as needed**
Issues in components past the end of their lifecycles will demand reactive maintenance.

**Balancing preventative and reactive maintenance**
Young components require preventative maintenance while aging components require reactive maintenance.

**Focus on preventative maintenance**
Significant need for preventative maintenance in young systems.

### Capital risk

**Highest risk**
Life cycles of major components past due, the end of the building's life cycle is approaching.

**Higher risk**
Life cycles coming due in core building components.

**Medium risk**
Lower cost space renewal updates needed.

**Low risk**
A "honeymoon" period, little need for capital investment.

---

Building renovation age v. peers

UW - Seattle buildings by type

- UW E&G
- UW ICA
- UW HFS

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ANNUAL ASSET INVESTMENT

Total capital investment v. funding target
$262M deferred since FY2012 due to limited funding

- Increasing net asset value
- Lowering risk profile
- Increasing backlog and risk

bars: purple - Education and General (E&G), white - Investment in new space, dashes: Life cycle need, dashes: Annual investment target
Our approach has created a deferred maintenance backlog in the Seattle campus’ Education and General (E&G) buildings that’s well above the peer average, but well below for both UW housing and athletics.
Looking ahead, our strategy stratifies capital risk to current need (deferred maintenance backlog), capital renewal, and modernization and infrastructure needs.

Asset reinvestment need

Total current need by system

- Current need
- Renewal need
- Modernization/infrastructure
STANDING COMMITTEES

Finance and Asset Management Committee

Seattle North Campus Housing Phase IV(b): Stage 1 Approval – Approve Site, Architect Selection, Architect Contract, Preconstruction Budget and GC/CM Contract

RECOMMENDED ACTION

It is the recommendation of the administration and the Finance and Asset Management Committee that the Board of Regents approve:

1) Project Site (Development Site 71C);
2) Architect Selection and delegate the contract award;
3) Delegate Award of General Contractor/Construction Manager Contract.
4) Preconstruction Budget of $10 million

BACKGROUND

Detailed project information is included in the attachments.

FUTURE ACTIONS

Stage 2 Approval anticipated in January 2018

1) Approve Project Budget
2) Approve Use of the Internal Lending Program – Debt Funding
3) Approve Naming Plan

Attachments
1. Seattle North Campus Housing Phase IV(b) Project Summary
2. Seattle North Campus Housing Phase IV(b) Project Description
Seattle North Campus Housing Phase IV(b) Project Summary

Regent Actions

Approve Project Site
Approve Architect Selection - Kieran Timberlake
Delegate Award of GC/CM contract
Approve Preconstruction Budget - $10,000,000

Stage 2
Actions: January 2018
Project Budget - $140,000,000
Financing - Maximum ILP $70,000,000
Building Names - Haggett Hall, Oak Hall

Objective

The last phase of a 10 year plan to increase capacity and provide safe, affordable, quality housing for our students, encouraging on-campus residency. Residential on-campus housing should provide a community where young scholars are immersed in a carefully structured living and learning environment with the opportunities to mature and be successful in their educational pursuits.

Description

Phase IV(b) includes the demolition of Haggett Hall with 800 beds, the construction of two student-residential buildings with 1,050 beds, and the reconstruction of Denny Field as an artificial surface all-season field with lighting. The residential units are proposed as a combination of studios (2.4%), single rooms with private baths (1.6%), double rooms with private baths (83%), triple rooms with private baths (4.7%), and quad rooms with private baths (8.3%). The residence halls will include academic and recreational space, multipurpose room, market and cafe, and fitness center. Landscape improvements surrounding the new buildings and the area behind Lewis Hall are also included.

Financials

<table>
<thead>
<tr>
<th>Proposed Budget</th>
<th>Proposed Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preconstruction Costs</td>
<td>ILP Debt Funds $</td>
</tr>
<tr>
<td>Construction Costs</td>
<td>$</td>
</tr>
<tr>
<td>FF&amp;E</td>
<td>$</td>
</tr>
<tr>
<td>Other Costs</td>
<td>$</td>
</tr>
<tr>
<td>Contingency</td>
<td>$</td>
</tr>
<tr>
<td>Escalation</td>
<td>$</td>
</tr>
<tr>
<td>Total Project Cost</td>
<td>$</td>
</tr>
</tbody>
</table>

| Source                          | Housing & Food Services Revenues |
|                                 | $ 10,000,000 100%               |

Benchmarks

Costs escalated to 2019

Average Stanford Benchmark - $155,750 / bed
Lander Hall - $153,500 / bed
Maple and Terry Halls - $132,000 / bed
North Campus Phase IV(a) - $136,000 / bed

Metrics & Indicators

<table>
<thead>
<tr>
<th>Current</th>
<th>Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net Assignable SF</td>
<td>287,886</td>
</tr>
<tr>
<td>Gross SF</td>
<td>435,651</td>
</tr>
<tr>
<td>GSF / Bed</td>
<td>415</td>
</tr>
<tr>
<td>Construction Cost / GSF</td>
<td>$255</td>
</tr>
<tr>
<td>Project Cost / GSF</td>
<td>$321</td>
</tr>
<tr>
<td>Project Cost / Bed</td>
<td>$133,000</td>
</tr>
</tbody>
</table>

Schedule
Project Description

Seattle Campus Housing and Dining Master Plan

- A ten-year plan that began in 2009.
- Plan will add 3,000 new on-campus beds and replace most of the 1950 and 1960's residence halls with required substantial redevelopment.
- Both new and existing housing have a diversity of rental options with a wide range of rent costs.
- Replacement was chosen over renovation because it has been proven to be 25-30 percent less expensive.
- Four phases:
  - Phases I to III added the majority of new beds and focused on West Campus; completed in August 2015. Each phase was completed on time and under budget, saving $20 million.
  - Phase IV has two sub-phases (IV(a) and IV(b)) focused on North Campus housing.
    - Phase IV(a), approved in January 2016, includes the demolition of McCarty Hall and the construction of three new buildings at a cost of $240 million, to be completed in 2018.
    - Phase IV(b), includes the demolition of Haggett Hall and the construction of two new buildings at a cost of $140 million.
  - At the completion of Phase IV, McMahon Hall will remain as a student residence with potential for future remodel.

Student Demand, Construction Cost and Rental Rates

- For the 2015 academic year, the demand for on-campus housing exceeded the supply by 31 percent, with 10,037 applications for 7,673 UW beds.
  - The autumn quarter 2015 on-campus occupancy rate was 112 percent of as-built capacity, with the excess of residents largely housed in double rooms transformed into triples.
  - High student satisfaction, shown in feedback and post-occupancy surveys for the new facilities on West Campus, continues to drive high demand.
- UW housing rates continue to be in the lowest third in the Pac-12, and single-student apartment rates are $50–150 per person per month lower than the Seattle market.
Site Plan

The Seattle Campus Housing & Food Services Student Master Plan 2014 for the North Campus Student Housing (Phases IV(a) and IV(b)) was reviewed with and recommended by the UW Architectural Commission in June 2014, as the preferred project site for development. The project area is identified in the Campus Master Plan as development site 71C.

The University's State Environmental Policy Act Responsible Official determined that the proposed North Campus Student Housing Phase IV(a) and IV(b) projects would have no significant adverse environmental impacts.

The Draft Environment Impact Statement (EIS) was issued in September 2015 followed by a 30-day comment period. Several written comments were received. No comments regarding potential significant adverse environmental impacts were submitted during the comment period. The Final Supplemental EIS was issued on November 10, 2015, which includes all written comments and responses and required mitigation.
STANDING COMMITTEES

Finance and Asset Management Committee

Approval of a Resolution to Issue General Revenue Obligations for University Projects and for Refunding

RECOMMENDED ACTION

It is the recommendation of the administration and the Finance and Asset Management Committee that the Board of Regents approve:

1. The attached resolution to allow for the issuance of General Revenue obligations through July 31, 2017 for the following purposes:
   a. The issuance of General Revenue Bonds not to exceed $210 million; and
   b. The refunding of any existing debt issued by or on behalf of the University that provides an economic benefit.

2. The funding plan for fiscal year 2017 to include use of the Capital Assets Pool (CAP), remaining bond proceeds, and debt; and

3. Delegation to the President or the designee(s) of the President the authority to proceed with the issuance of the bonds, to establish all other terms of the bonds, and to execute other documents and approvals as required to complete the transactions.

BACKGROUND

In May 2008, the Board of Regents adopted a revised debt policy that authorized the creation of the Internal Lending Program (ILP). As part of this policy, bonds paid from General Revenues are issued to fund internal loans for approved campus projects and to refund outstanding obligations of the University. Issuing bonds at an institutional level minimizes the cost of issuance and assures that the lowest interest rate is achieved.

In May 2014, the Board of Regents adopted revised debt and investments policies that allowed for the creation of the Capital Assets Pool (CAP). The CAP is sized at a target of 10% of the total value of the Invested Funds (IF) and is used to fund campus capital projects. Use of the CAP is treated as an ILP loan, with interest paid to the IF.

Refunding obligations will be issued to capture economic benefit and/or to achieve longer-term strategic objectives. Bonds refunded for economic benefit
Finance and Asset Management Committee

Approval of a Resolution to Issue General Revenue Obligations for University Projects and for Refunding (continued p. 2)

are authorized under this resolution; any refunding for non-economic reasons will require specific Regental approval.

In FY 2016, the University issued $132.1 million of the $210 million bond authorization. Bond proceeds funded all or a portion of various projects, including the West Campus Utility Plant, Denny Hall, various Housing and Dining projects (Phases 2a, 2b, 3), UWMC Expansion Phase 2 and UW Bothell Student Center. Under separate authority, the University issued $194.4 million of bonds for Southlake Union Phase 3.2 and for a refinancing related to other obligations issued by or on behalf of Northwest Hospital & Medical Center.

FUNDING PLAN

The debt authorization is sized to fund 18 months of project expenditures on Board authorized projects. Sizing for 18 months allows for borrowing ahead if market conditions warrant.

Expected draws for ILP projects and related debt issuance costs through December 2017 total $343 million. As shown in Attachment 1, these draws will be funded by a combination of unspent bond proceeds\(^{(1)}\), commercial paper, General Revenue Bonds, and use of the CAP. Only projects in the Internal Lending Program will be funded under this authorization.

The total bond authorization is calculated as follows:

<table>
<thead>
<tr>
<th>Bond Sizing ($000)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Debt needed to fund ILP projects</td>
<td>$198,000</td>
</tr>
<tr>
<td>Debt needed to fund non-ILP projects</td>
<td>0</td>
</tr>
<tr>
<td>Total debt needs</td>
<td>198,000</td>
</tr>
<tr>
<td>Plus: Estimated cost of issuance</td>
<td>2,000</td>
</tr>
<tr>
<td>Plus: Allowance for discount bonds(^{(2)})</td>
<td>10,000</td>
</tr>
<tr>
<td>Total bond authorization</td>
<td>$210,000</td>
</tr>
</tbody>
</table>

\(^{(1)}\) Unspent bond proceeds are monies from a previously issued bond issue that are still available to complete projects.

\(^{(2)}\) Investors sometimes want the interest (coupon) they receive on bonds to be less than the market rate. Should this occur, the University would need to sell more bonds to fund approved projects. In the case of variable rate bonds, no allowance for discount bonds would be needed since they are sold at face value (e.g. at Par).
STANDING COMMITTEES

Finance and Asset Management Committee

Approval of a Resolution to Issue General Revenue Obligations for University Projects and for Refunding (continued p. 3)

CAPITAL ASSETS POOL

The funding plan includes $25 million from the CAP. Based on current projections, the CAP will have funded $148 million of projects, or approximately 6% of the total Invested Funds by July 31, 2017. Actual CAP usage will change throughout the fiscal year, and may be more or less than $25 million.

<table>
<thead>
<tr>
<th>CAP Summary ($000)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Previous Expenditures</td>
<td>$123,000</td>
</tr>
<tr>
<td>Projected 2017 Expenditures</td>
<td>25,000</td>
</tr>
<tr>
<td>Total CAP Used</td>
<td>$148,000</td>
</tr>
</tbody>
</table>

REFUNDING

The bond resolution provides a list of eligible debt to be refunded. Eligible debt includes both debt originally issued by the University, debt issued on behalf of the University, and bank loans of University affiliate Northwest Hospital & Medical Center (NWH), a Washington nonprofit corporation.

FINANCING STRUCTURE

The bonds issued in FY 2017 will be General Revenue Bonds and have an expected term of 30 years, with a maximum final maturity of 31 years. The current schedule calls for the bonds to be issued in February 2017.

The final structure and timing of the bonds will depend on market conditions at the time of issuance and will be reported to the Board of Regents.

REVIEW AND APPROVALS

The resolution and terms have been reviewed and approved by the Interim Vice President for Finance and Facilities and the Associate Vice President, Treasury. Additionally, this recommendation has been reviewed by the University’s financial advisor and bond counsel.

Attachments
1. Sources and Uses of Funds
2. Board of Regents - University of Washington - Resolution Dated July 14, 2016
Sources and Uses of Funds  
(Through December 2017)

**Sources of Funds ($000)**

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount ($000)</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Revenue Bonds(1)</td>
<td>210,000</td>
</tr>
<tr>
<td>Commercial Paper</td>
<td>81,000</td>
</tr>
<tr>
<td>Unspent Bond Proceeds</td>
<td>27,000</td>
</tr>
<tr>
<td>Capital Assets Pool</td>
<td>25,000</td>
</tr>
<tr>
<td><strong>Subtotal ILP Debt</strong></td>
<td><strong>343,000</strong></td>
</tr>
</tbody>
</table>

**Uses of Funds ($000)**

<table>
<thead>
<tr>
<th>ILP Projects(2)</th>
<th>Projected Funding Needs</th>
<th>Board Authorized</th>
<th>Approved Project Budget</th>
<th>% Spent to Date(3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing and Dining Phase 3</td>
<td>13,120</td>
<td>Jun-12</td>
<td>142,300</td>
<td>74%</td>
</tr>
<tr>
<td>UWMC Expansion Phase 2</td>
<td>25,000</td>
<td>Nov-12</td>
<td>186,300</td>
<td>75%</td>
</tr>
<tr>
<td>ARCF</td>
<td>56,800</td>
<td>Nov-13</td>
<td>123,500</td>
<td>60%</td>
</tr>
<tr>
<td>Life Sciences</td>
<td>66,580</td>
<td>Nov-15</td>
<td>164,750</td>
<td>6%</td>
</tr>
<tr>
<td>Housing and Dining Phase 4a</td>
<td>147,000</td>
<td>Jan-16</td>
<td>240,000</td>
<td>6%</td>
</tr>
<tr>
<td>UWT Housing</td>
<td>22,500</td>
<td>May-16</td>
<td>22,500</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Subtotal ILP Projects</strong></td>
<td><strong>331,000</strong></td>
<td></td>
<td><strong>879,350</strong></td>
<td></td>
</tr>
</tbody>
</table>

| Cost of Issuance (Estimated)       | 2,000                   |
| Discount Bonds (Estimated)         | 10,000                  |

**Total Uses of Funds**  **343,000**

---

(1) Authorized by 2016/2017 Bond Resolution  
(2) Projects previously authorized by Board  
(3) Through May 2016
BOARD OF REGENTS

UNIVERSITY OF WASHINGTON

RESOLUTION

DATED JULY 14, 2016

Authorizing the issuance and sale of

UNIVERSITY OF WASHINGTON
GENERAL REVENUE OBLIGATIONS [2016/2017]
**UNIVERSITY OF WASHINGTON**

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Exhibit A  Description of Refunding Candidates

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* This Table of Contents and the cover page are not a part of this resolution; they are included for convenience of the reader only.
A RESOLUTION of the Board of Regents of the University of Washington providing for the authorization, sale, issuance and delivery of University of Washington General Revenue obligations in the aggregate principal amount not to exceed $210,000,000, for University purposes including financing or refinancing the acquisition of and improvements to capital facilities serving the University; providing in addition for the authorization, sale, issuance and delivery of University of Washington General Revenue refunding obligations for the purpose of refunding certain outstanding obligations; providing for the date, form, terms, maturities and redemption of the obligations; providing for the payment of and establishing the security for such obligations; providing for the redemption of the outstanding obligations to be refunded; delegating authority to an authorized representative of the University to make certain determinations and appointments with respect to the obligations of this issue from time to time; and authorizing the execution of documents in connection with the issuance and sale of such obligations and application of the proceeds thereof.

WHEREAS, the Legislature, pursuant to the Bond Act (as hereinafter defined) has authorized the Board of Regents to sell and issue revenue bonds for any University purpose; and

WHEREAS, the University has determined to issue one or more series of general revenue obligations in the aggregate principal amount not to exceed $210,000,000 (the “2016/2017 New Money Bonds”) for the purpose of financing or refinancing certain facilities serving the University as described herein; and

WHEREAS, it is in the University’s best interests to proceed with the financing or refinancing of facilities serving the University, including Housing and Dining Phase 3, Housing and Dining Phase 4a, the Life Sciences Building, the West Campus Utility Plant, Animal Research and Care Facility, and UWMC Expansion Phase 2 and other University projects; and

WHEREAS, obligations described on Exhibit A attached hereto have previously been issued by or on behalf of the University for University purposes, and also are subject to optional redemption prior to their respective maturities (the “Refunding Candidates”); and

WHEREAS, the University has been advised that debt service savings may be obtained by refunding some or all of the Refunding Candidates through the issuance of one or more series
of general revenue refunding obligations (the “2016/2017 Refunding Bonds”), and through the issuance of commercial paper notes to provide interim financing; and

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF REGENTS OF THE UNIVERSITY OF WASHINGTON, as follows:

Section 1. Definitions.

The terms defined in this Section 1 shall, for all purposes of this resolution (including the recitals) and of any resolution supplemental hereto, have the following meanings:

**Acquired Obligations** means the Government Obligations acquired by the University under the terms of this resolution and an Escrow Agreement to effect the defeasance and refunding of one or more of the Refunding Candidates.

**Additional Bonds** means one or more series or subseries of additional obligations of the University payable from General Revenues.

**Authorized Denominations** means:

(a) with respect to 2016/2017 Bonds in the Fixed Mode or Term Mode, $5,000 and any integral multiple thereof within a series or subseries and maturity, and

(b) with respect to 2016/2017 Bonds in the Daily Mode, the Weekly Mode, the Index Floating Mode, or the Commercial Paper Mode, $100,000 and any integral multiple of $5,000 in excess thereof within a series or subseries and maturity or as otherwise set forth in the applicable Remarketing Agreement or Trust Agreement.

**Authorized Representative of the University** means the President of the University or his or her designee for the purposes of one or more duties of the Authorized Representative under this resolution (including without limitation, the Interim Vice President for Finance and Facilities or his or her designee pursuant to Section 1 of Administrative Order No. 1, as amended October 5, 2015, which provides that the Vice President for Finance or Facilities, or his or her designee, is authorized to act for the President regarding the execution and administration of all instruments that have been delegated to the President by the Board, and have not been delegated elsewhere under Sections 2 through 10 of the Administrative Order or under other administrative orders).

**Bank Bonds** has the meaning set forth in the applicable Reimbursement Agreement.

**Beneficial Owner** means any person that has or shares the power, directly or indirectly, to make investment decisions concerning ownership of any 2016/2017 Bonds (including persons holding 2016/2017 Bonds through nominees, depositories or other intermediary).

**Board** means the Board of Regents of the University, which exists and functions pursuant to chapter 28B.20 RCW, as amended from time to time.
Bond Act means, together, chapter 28B.140 RCW and chapter 28B.142 RCW, in each case as amended from time to time.

Bond Counsel means an attorney or firm of attorneys whose opinion is accepted in the national tax-exempt capital markets as to the issuance and validity of municipal securities and as to the interest paid thereon being exempt from federal income taxation, which attorney or firm of attorneys has been approved by, selected by or retained by the University from time to time.

Bond Fund means the special fund designated as the General Revenue Bond Redemption Fund, 2016/2017.

Bond Purchase Contract means the Bond Purchase Contract(s) between the University and the underwriter(s) for 2016/2017 Bonds or a certificate of award executed by the University pertaining to the initial sale and purchase of 2016/2017 Bonds.

Bond Register means the registration books maintained by the Registrar containing the names and addresses of the Registered Owners of the Bonds.


Building Fee Revenue Bond Act means RCW 28B.20.700-.740, as amended by Chapter 499 Wash. Laws 2009, and as further amended from time to time.

Building Fees means building fees defined in RCW 28B.15.025, as amended from time to time, and imposed for the purposes set forth in RCW 28B.15.210, as amended from time to time.

Business Day means a day (a) on which banks in Seattle, Washington or New York, New York, the Securities Depository, the Credit Facility Issuer, the Liquidity Facility, or the Remarketing Agent are not authorized to remain open or required to remain closed and (b) on which the New York Stock Exchange is not closed.

Call Date means the date(s) on which the Refunding Candidates may be called for redemption under the terms of the proceedings pursuant to which they were issued.

CAP means the Capital Assets Pool (CAP) as defined in the Debt Policy.
**Closing Date** means each date on which a series of 2016/2017 Bonds are issued and delivered in return for payment of the full purchase price therefor.

**Code** means the Internal Revenue Code of 1986 as in effect on the date of issuance of the 2016/2017 Bonds or (except as otherwise referenced herein) as it may be amended to apply to obligations issued on the date of issuance of the 2016/2017 Bonds, together with applicable proposed, temporary and final regulations promulgated, and applicable official public guidance published, under the Code.

**Commercial Paper Mode** means the Mode during which the 2016/2017 Bonds bear interest at a Commercial Paper Rate or Rates.

**Commercial Paper Rate** means the interest rate (per annum) on any 2016/2017 Bond in the Commercial Paper Mode determined pursuant to the applicable Remarketing Agreement or Trust Agreement for such 2016/2017 Bonds.

**Commission** means the Securities and Exchange Commission.

**Continuing Disclosure Certificate** means the certificate of the University, if required under the Rule, undertaking to provide ongoing disclosure to assist the underwriter(s) for 2016/2017 Bonds in complying with the Rule.

**Credit Facility** means a policy of municipal bond insurance, a letter of credit, line of credit, guarantee or other financial instrument or any combination of the foregoing, which obligates a third party to make payment or provide funds for the payment of financial obligations, if any, of the University with respect to any 2016/2017 Bonds, including but not limited to payment of the scheduled principal of and interest on 2016/2017 Bonds. There may be more than one Credit Facility for a series or subseries of 2016/2017 Bonds.

**Credit Facility Issuer** means the issuer of any Credit Facility.

**Current Mode** means, with respect to any series or subseries of the 2016/2017 Bonds, the Mode then in effect.

**Daily Mode** means the Mode during which a series or subseries of the 2016/2017 Bonds bear interest at the Daily Rate.

**Daily Rate** means the per annum interest rate for a series or subseries of the 2016/2017 Bonds in the Daily Mode determined pursuant to the Remarketing Agreement or Trust Agreement for such 2016/2017 Bonds.

**Debt Policy** means the University of Washington Debt Management Policy Statement of Objectives and Policies, approved by the Board most recently on July 9, 2015.

**Derivative Payment Date** means any date specified in a Payment Agreement on which a University Payment is due and payable under the Payment Agreement.
**DTC** means The Depository Trust Company, New York, New York as depository for the 2016/2017 Bonds, or any successor or substitute depository for the 2016/2017 Bonds.

**Escrow Agent** means any escrow agent selected by the Authorized Representative of the University in accordance with this resolution.

**Escrow Agreement** means one or more Escrow Deposit Agreements to be dated as of the applicable Closing Date.

**Fair Market Value** has the meaning set forth in the Federal Tax Certificate.

**Federal Tax Certificate** means certificate of that name executed by the Authorized Representative of the University at the time of issuance and delivery of 2016/2017 Tax-Exempt Bonds.

**Fiscal Agent** means the fiscal agent of the State of Washington.

**Fiscal Year** means the University’s duly adopted fiscal year, currently ending June 30.

**Fitch** means Fitch Ratings, Inc., organized and existing under the laws of the State of Delaware, its successors and their assigns, and, if such organization shall be dissolved or liquidated or shall no longer perform the functions of a securities rating agency, **Fitch** shall be deemed to refer to any other nationally recognized securities rating agency (other than S&P or Moody’s) designated by the Authorized Representative of the University.

**Fixed Mode** means the Mode in which a series or subseries of the 2016/2017 Bonds bear interest at a Fixed Rate or Fixed Rates to the Maturity Date or Maturity Dates.

**Fixed Rate** means a per annum interest rate or rates borne by a series or subseries of the 2016/2017 Bonds to the maturity thereof determined pursuant to Section 23 and the Bond Purchase Contract, Remarketing Agreement or Trust Agreement for such 2016/2017 Bonds.

**General Revenues** means all nonappropriated income, revenues, and receipts of the University if and to the extent such funds are not restricted in their use by law, regulation, or contract. For example, the following items are restricted and, therefore, excluded:

(a) Appropriations to the University by the State from the State’s General Fund;

(b) Each fund the purpose of which has been restricted in writing by the terms of the gift or grant under which such fund has been donated, or by the donor thereof;

(c) Fees imposed upon students as a condition of enrollment at the University, including but not limited to services and activities fees, building fees, and technology fees; and

(d) Revenues and receipts attributable to the Metro Tract Revenue.
Unrestricted fund balances, to the extent that they were accumulated from money that was received as General Revenues, also would be includable and available to pay obligations secured by General Revenues. Upon the removal of any income, revenues, or receipts from General Revenues pursuant to Section 15(d), this definition of General Revenues shall be deemed to be amended accordingly without further action by the University.

**Government Obligations** means government obligations as are authorized to be used for refunding purposes by chapter 39.53 RCW, as amended or restated from time to time.

**Index Floating Mode** means the Mode during which a series or subseries of the 2016/2017 Bonds bear interest at the Index Floating Rate.

**Index Floating Rate** means the index-based floating rate for a series or subseries of the 2016/2017 Bonds in the Index Floating Mode determined pursuant to the Remarketing Agreement or Trust Agreement for such 2016/2017 Bonds.

**Interest Payment Date** means the dates selected by the Authorized Representative of the University and set forth in the Bond Purchase Contract, Trust Agreement or Remarketing Agreement, as applicable.

**Interest Rate** means a Fixed Rate, Daily Rate, Weekly Rate, Commercial Paper Rate, Index Floating Rate or Term Rate, as the context requires.

**Irrevocable Deposit** means the irrevocable deposit of money or Government Obligations in order to provide for the payment of all or a portion of the principal of, premium, if any, and interest on any 2016/2017 Bonds in accordance with, and meeting all the requirements of, Section 21.

**Issuance Costs** means, without intending thereby to limit or restrict any proper definition of such costs under any applicable laws and GAAP, the following:

(a) costs reasonably incurred incident to preparing, offering, selling, issuing and delivering the 2016/2017 Bonds, including, without limitation, the fees and expenses of Bond Counsel, special counsel (if any) and financial advisor to the University, bond printing, CUSIP bureau fees, rating agency fees, underwriter fees or discount, escrow agent fees and recording and filing fees;

(b) the fees and expenses payable to the Registrar incident to the Registrar’s acceptance of its duties under this resolution; and

(c) fees or premiums due to any Credit Facility Issuer.

**Legislature** means the Legislature of the State.
**Letter of Representations** means the blanket issuer letter of representation, signed by the Authorized Representative of the University and accepted by DTC pertaining to the payment of Bonds and the “book-entry” system for evidencing the beneficial ownership of Bonds.

**Liquidity Facility** means a line of credit, standby purchase agreement or other financial instrument or any combination of the foregoing, if any, which obligates a third party to make payment or to provide funds for the payment of the Purchase Price of 2016/2017 Bonds (or portion thereof). There may be more than one Liquidity Facility for a series or subseries of 2016/2017 Bonds, and the University may provide self-liquidity for a series or subseries of 2016/2017 Bonds, all as set forth in the applicable Remarketing Agreement or Trust Agreement.

**Liquidity Facility Issuer** means the issuer of any Liquidity Facility.

**Maturity Date** means the maturity date or dates for Bonds set forth in the Bond Purchase Contract, Trust Agreement, or Remarketing Agreement, as applicable.

**Maximum Rate** means the maximum rate for 2016/2017 Bonds set forth in the applicable Bond Purchase Contract, Trust Agreement or Remarketing Agreement.

**Mode** means the Daily Mode, Weekly Mode, Commercial Paper Mode, Index Floating Mode, Term Mode, or the Fixed Mode, as the context may require.

**Metro Tract** means the “university tract” as defined in RCW 28B.20.381 to include the tract of land in the city of Seattle, consisting of approximately ten acres, originally known as the “old university grounds,” as amended to the date of this resolution, and more recently referred to as the “metropolitan tract,” together with all buildings, improvements, facilities, and appurtenances thereon.

**Metro Tract Revenue** means all revenues of the University derived from operating, managing, and leasing the Metro Tract.

**Moody’s** means Moody’s Investors Service, Inc., a corporation duly organized and existing under and by virtue of the laws of the State of Delaware, and its successors and assigns, except that if such corporation shall be dissolved or liquidated or shall no longer perform the functions of a securities rating agency, then the term Moody’s shall be deemed to refer to any other nationally recognized securities rating agency (other than Fitch or S&P) selected by the Authorized Representative of the University.

**MSRB** means the Municipal Securities Rulemaking Board or any successor to its functions. Until otherwise designated by the MSRB or the Commission, any information or notices submitted to the MSRB in compliance with the Rule are to be submitted through the MSRB’s Electronic Municipal Market Access system (“EMMA”), currently located at www.emma.msrb.org.

**Net Revenue** means, with respect to any item or auxiliary revenues proposed to be added to General Revenues, revenues of such item or auxiliary less operating expenses. If the item or
auxiliary revenues have previously been pledged to pay debt service on outstanding obligations of the University, the terms revenues and operating expenses shall be determined in accordance with the resolution(s) authorizing the outstanding indebtedness.

**Notice Parties** means, with respect to each series of the 2016/2017 Bonds, the University, the University’s financial advisor, the Registrar, any Remarketing Agent, and any Liquidity Facility Issuer or Credit Facility Issuer.

**Opinion of Bond Counsel** means an opinion in writing of Bond Counsel.

**Outstanding** means, as of any particular time, all Bonds issued theretofore except:

(a) Bonds theretofore canceled by the Registrar after purchase by the University;

(b) Bonds for which an Irrevocable Deposit has been made, but only to the extent that the principal of and interest on such Bonds are payable from such Irrevocable Deposit; provided, that the Bonds to be paid or redeemed with such Irrevocable Deposit shall be deemed to be Outstanding for the purpose of transfers and exchanges or replacement of mutilated, lost, stolen or destroyed Bonds under the proceedings authorizing their issuance;

(c) temporary, mutilated, lost, stolen or destroyed Bonds for which new Bonds have been issued pursuant to the resolution authorizing their issuance; and

(d) Bonds exchanged for new Bonds pursuant to the resolution authorizing their issuance.

Notwithstanding the foregoing, 2016/2017 Bonds that are Bank Bonds shall remain Outstanding until the applicable Credit Facility Issuer or Liquidity Facility Issuer is paid all amounts due on such 2016/2017 Bonds.

**Participant** means (a) any person for which, from time to time, DTC effects book-entry transfers and pledges of securities pursuant to the book-entry system or (b) any securities broker or dealer, bank, trust company or other person that clears through or maintains a custodial relationship with a person referred to in (a).

**Payment Agreement** means a written contract or agreement between or on behalf of the University and a Reciprocal Payor, which provides that the University’s obligations thereunder will be conditioned on the absence of: (a) a failure by the Reciprocal Payor to make any payment required thereunder when due and payable, and (b) a default thereunder with respect to the financial status of the Reciprocal Payor; and

(a) under which the University is obligated to pay, on one or more scheduled and specified Derivative Payment Dates, the University Payments in exchange for the Reciprocal Payor’s obligation to pay or to cause to be paid to the University, on the same scheduled and specified Derivative Payment Dates, the Reciprocal Payments; *i.e.*, the contract must provide for net payments;
(b) for which the University’s obligations to make all or any portion of University Payments are payable from General Revenues;

(c) under which Reciprocal Payments are to be made directly into the Bond Fund;

(d) for which the University Payments are either specified to be one or more fixed amounts or are determined according to a formula set forth in the Payment Agreement; and

(e) for which the Reciprocal Payments are either specified to be one or more fixed amounts or are determined according to a formula set forth in the Payment Agreement.

**Permitted Investment** means any legally permissible investment for University funds, but only to the extent that the same are acquired at Fair Market Value.

**Person** means an individual, a corporation, a partnership, limited liability company, an association, a joint stock company, a trust, an unincorporated organization, a governmental body or a political subdivision, a municipal corporation, a public corporation or any other group or organization of individuals.

**Projects** means projects approved by the Board or pursuant to the Debt Policy including without limitation Housing and Dining Phase 3, Housing and Dining Phase 4a, the Life Sciences Building, the West Campus Utility Plant, Animal Research and Care Facility, and UWMC Expansion Phase 2.

**Purchase Date** means the dates selected by the Authorized Representative of the University and set forth in the Trust Agreement or Remarketing Agreement, as applicable.

**Purchase Price** has the meaning set forth in the Trust Agreement or Remarketing Agreement, as applicable.

**Rating Agency** means Fitch, Moody’s or S&P.

**Rating Category** means the generic rating categories of a Rating Agency, without regard to any refinement or gradation of such rating category by a numerical modifier or otherwise.

**RCW** means the Revised Code of Washington, as now in existence or hereafter amended, or any successor codification of the laws of the State.

**Reciprocal Payment** means any payment to be made to, or for the benefit of, the University under the Payment Agreement by the Reciprocal Payor.

**Reciprocal Payor** means any bank or corporation, partnership or other entity that is a party to the Payment Agreement and that is obligated to make one or more Reciprocal Payments thereunder.
**Record Date** means:

(a) with respect to 2016/2017 Bonds in the Fixed Mode or Term Mode, the 15th day (whether or not a Business Day) of the month next preceding each Interest Payment Date; and

(b) with respect to all other Modes, the Business Day immediately prior to the applicable Interest Payment Date.

**Redemption Date** means the date fixed for redemption of 2016/2017 Bonds subject to redemption in any notice of redemption given in accordance with the terms hereof or the terms of an applicable Trust Agreement, Remarketing Agreement or Bond Purchase Contract.

**Redemption Price** means amounts to be paid to redeem the 2016/2017 Bonds on the Redemption Date as set forth in the applicable Bond Purchase Contract, Trust Agreement, Remarketing Agreement, or Section 12(a) as applicable.

**Refunded Bonds** means the Refunding Candidates designated by the Authorized Representative of the University pursuant to Section 23 of this resolution.

**Refunding Candidates** means the bonds issued by or on behalf of the University and the obligations issued by or on behalf of Northwest Hospital & Medical Center currently outstanding as shown on Exhibit A.

**Registered Owner** means the person named as the registered owner of a 2016/2017 Bond on the Bond Register. For so long as the 2016/2017 Bonds are held by a Securities Depository or its nominee, such Securities Depository shall be deemed to be the Registered Owner.

**Registrar** means the Fiscal Agent, whose duties include registering and authenticating the 2016/2017 Bonds, maintaining the Bond Register, registering the transfer of the 2016/2017 Bonds, paying interest on and principal of the 2016/2017 Bonds, and drawing on any Credit Facility securing 2016/2017 Bonds for such purpose, and drawing any amounts under any Credit Facility or Liquidity Facility for the purpose of paying the Purchase Price of any 2016/2017 Bonds payable pursuant to such Credit Facility or Liquidity Facility.

**Reimbursement Agreement** means a Reimbursement Agreement relating to the 2016/2017 Bonds between the University and any Credit Facility Issuer or Liquidity Facility Issuer, and any and all modifications, alterations, and amendments and supplements thereto.

**Remarketing Agent** means one or more remarketing agents selected from time to time by the Authorized Representative of the University to serve as remarketing agent for 2016/2017 Bonds pursuant to a Remarketing Agreement.

**Remarketing Agreement** means a Remarketing Agreement relating to 2016/2017 Bonds between the University and any Remarketing Agent, or any similar agreement, as it may be amended or supplemented from time to time in accordance with its terms.
**Rule** means the Commission’s Rule 15c2-12 under the Securities and Exchange Act of 1934, as amended from time to time.

**Securities Depository** means any clearing agency registered under Section 17A of the Securities Exchange Act of 1934, as amended.

**Serial Bonds** means those 2016/2017 Bonds designated as serial bonds in the Bond Purchase Contract.

**State** means the state of Washington.

**S&P** means Standard & Poor’s Ratings Services, a Division of The McGraw-Hill Companies, and its successors and assigns, except that if such corporation shall be dissolved or liquidated or shall no longer perform the functions of a securities rating agency, then the term S&P shall be deemed to refer to any other nationally recognized securities rating agency (other than Moody’s or Fitch) selected by the Authorized Representative of the University.

**Term Bonds** means 2016/2017 Bonds, if any, designated as term bonds in the applicable Bond Purchase Contract.

**Term Rate** means the per annum interest rate for a series or subseries of 2016/2017 Bonds in the Term Rate Mode determined pursuant to the Remarketing Agreement or Trust Agreement for such 2016/2017 Bonds.

**Term Rate Mode** means the Mode during which a series or subseries of 2016/2017 Bonds bear interest at the Term Rate.

**Trust Agreement** means a Trust Agreement entered into between the University and a Trustee with respect to 2016/2017 Bonds, setting forth the terms of such 2016/2017 Bonds.

**Trustee** means a bond trustee selected by the Authorized Representative of the University to act on behalf of owners of 2016/2017 Bonds pursuant to a Trust Agreement.


**2016/2017 New Money Bonds** means the University of Washington General Revenue Bonds, Series [2016/2017][__] [Taxable] issued in one or more series or subseries in the aggregate principal amount not to exceed $210,000,000 to finance (or refinance commercial paper issued to finance) costs of the Projects pursuant to this resolution.

**2016/2017 Refunding Bonds** means the University of Washington General Revenue Refunding Bonds, Series [2016/2017][__] [Taxable] issued in one or more series or subseries to redeem and/or defease or otherwise implement the refinancing of one or more of the Refunding Candidates.
2016/2017 Taxable Bonds means any 2016/2017 Bonds determined to be issued on a taxable basis pursuant to Section 23.

2016/2017 Tax-Exempt Bonds means any 2016/2017 Bonds determined to be issued on a tax-exempt basis pursuant to Section 23.

University means the University of Washington, a higher educational institution of the State, the main campus of which is located at Seattle, Washington.

University of Washington building account means the fund of that name into which certain Building Fees are to be deposited pursuant to RCW 28B.15.210, as amended from time to time.

University of Washington bond retirement fund means the special fund of that name created by chapter 254, Laws of 1957.

University Payment means any payment required to be made by or on behalf of the University under a Payment Agreement and which is determined according to a formula set forth in the Payment Agreement.

Weekly Mode means the Mode during which a series or subseries of the 2016/2017 Bonds bear interest at the Weekly Rate.

Weekly Rate means the per annum interest rate for a series or subseries of the 2016/2017 Bonds in the Weekly Mode determined pursuant to the Remarketing Agreement or Trust Agreement for such 2016/2017 Bonds.

Interpretation. In this resolution, unless the context otherwise requires:

(a) The terms “hereby,” “hereof,” “hereto,” “herein, “hereunder” and any similar terms, as used in this resolution, refer to this resolution as a whole and not to any particular article, section, subdivision or clause hereof, and the term “hereafter” shall mean after, and the term “heretofore” shall mean before, the date of this resolution;

(b) Words of the masculine gender shall mean and include correlative words of the feminine and neuter genders and words importing the singular number shall mean and include the plural number and vice versa;

(c) Words importing persons shall include firms, associations, partnerships (including limited partnerships), trusts, corporations, limited liability companies and other legal entities, including public bodies, as well as natural persons;

(d) Any headings preceding the text of the several articles and sections of this resolution, and any table of contents or marginal notes appended to copies hereof, shall be solely for convenience of reference and shall not constitute a part of this resolution, nor shall they affect its meaning, construction or effect;
(e) All references herein to “articles,” “sections” and other subdivisions or clauses are to the corresponding articles, sections, subdivisions or clauses hereof; and

(f) Whenever any consent or direction is required to be given by the University, such consent or direction shall be deemed given when given by the Authorized Representative of the University or his or her designee, respectively, and all references herein to the Authorized Representative of the University shall be deemed to include references to his or her designee, as the case may be.

Section 2. Findings.

The Board hereby finds as follows:

(a) It is in the best interests of the University to finance (or refinance commercial paper issued to finance or refinance) all or a portion of the costs of the Projects, through the issuance of 2016/2017 New Money Bonds in one or more series or subseries, upon the terms and conditions set forth for the 2016/2017 New Money Bonds in this resolution.

(b) It is in the best interests of the University to consider the redemption or defeasance of one or more of the Refunding Candidates, or any portion thereof, to achieve debt service savings upon the terms and conditions set forth in this resolution.

(c) It is necessary and in the best interest of the University to issue the 2016/2017 Bonds payable from General Revenues.


(a) 2016/2017 New Money Bonds. The 2016/2017 New Money Bonds shall be in an aggregate principal amount not to exceed $210,000,000, and shall be issued in one or more series or subseries to pay (or pay commercial paper notes issued to finance or refinance) costs of the Projects and to pay Issuance Costs for the 2016/2017 New Money Bonds. The 2016/2017 New Money Bonds shall be issued under terms determined pursuant to Section 23, as further set forth in the Bond Purchase Contract, Remarketing Agreement and/or Trust Agreement for such 2016/2017 New Money Bonds; shall be numbered in the manner determined by the Registrar; and shall be issued in fully registered form in Authorized Denominations.

(b) 2016/2017 Refunding Bonds. The 2016/2017 Refunding Bonds, if any, shall be issued in one or more series or subseries to redeem and/or defease or otherwise implement the refinancing of one or more of the Refunding Candidates designated pursuant to Section 23 and to pay Issuance Costs for the 2016/2017 Refunding Bonds. The 2016/2017 Refunding Bonds shall be issued under terms determined pursuant to Section 23, as further set forth in the Bond Purchase Contract, Remarketing Agreement and/or Trust Agreement for such 2016/2017 Refunding Bonds; shall be numbered in the manner determined by the Registrar; and shall be issued in fully registered form in Authorized Denominations.
Section 4. Description of 2016/2017 Bonds.

(a) General Terms. The 2016/2017 Bonds shall be dated as of their date of original issuance and shall mature on the Maturity Dates, as determined pursuant to Section 23, as further set forth in the applicable Bond Purchase Contract, Remarketing Agreement or Trust Agreement for such series of 2016/2017 Bonds. The 2016/2017 Bonds shall bear interest determined within Modes selected by the Authorized Representative of the University from time to time. All 2016/2017 Bonds shall be issued in the form of fully registered 2016/2017 Bonds in Authorized Denominations and, unless the Registrar shall otherwise direct, shall be numbered R-1 and upwards.

The University may designate one or more series or subseries of the 2016/2017 Bonds from time to time. 2016/2017 New Money Bonds shall be named University of Washington General Revenue Bonds, Series [2016/2017], with an additional designation of “Taxable” for any series of 2016/2017 Taxable Bonds. 2016/2017 Refunding Bonds shall be named University of Washington General Revenue Refunding Bonds, Series [2016/2017], with an additional designation of “Taxable” for any series of 2016/2017 Taxable Bonds. 2016/2017 Bonds issued in one series composed of both New Money Bonds and Refunding Bonds shall be named University of Washington General Revenue and Refunding Bonds, Series [2016/2017], with an additional designation of “Taxable” for any series of 2016/2017 Taxable Bonds. At the written direction of the Authorized Representative of the University, the Registrar shall designate a particular principal amount of 2016/2017 Bonds (in Authorized Denominations) as a series or subseries. A series of 2016/2017 Bonds shall be identified by the year of issue (either 2016 or 2017) and sequential letters (e.g. Series 2016A, Series 2016B, Series 2017A, Series 2017B). A subseries of 2016/2017 Bonds shall be further identified by sequential numbers (e.g., Series 2016A-1, Series 2016-2, Series 2017B-1, Series 2017B-2). Upon such designation, such 2016/2017 Bonds shall be a series or subseries, as applicable, for this purposes of this resolution, unless and until consolidated or changed to another series or subseries designation by written direction of the Authorized Representative of the University. All 2016/2017 Bonds of a series shall be in the same Mode, but any two series need not be in the same Mode.

(b) Terms. Principal of and interest and any premium on the 2016/2017 Bonds shall be payable in lawful money of the United States of America.

(c) Modes. The terms applicable to 2016/2017 Bonds in the Daily Mode, the Weekly Mode, the Term Mode, the Commercial Paper Mode, the Index Floating Mode or the Fixed Mode, and provisions for conversions between and within such Modes, shall be as provided in the applicable Bond Purchase Contract, Remarketing Agreement or Trust Agreement, as applicable.

(d) Determinations Conclusive. If the 2016/2017 Bonds of a series or subseries are in the Daily Mode, the Weekly Mode, the Term Mode, the Commercial Paper Mode, the Index Floating Mode or the Fixed Mode, the Interest Rates determined as provided in the Remarketing Agreement, Trust Agreement or Bond Purchase Contract, as applicable, shall be conclusive.
(e) **Maximum Rate.** No 2016/2017 Bond, other than a Bank Bond, shall bear interest at an Interest Rate higher than the Maximum Rate.

Section 5. **Execution.**

The 2016/2017 Bonds shall be executed on behalf of the University by the manual or facsimile signatures of the President and the Secretary or Treasurer of the Board, and the official seal of the University shall be reproduced thereon. The validity of any 2016/2017 Bond so executed shall not be affected by the fact that one or more of the officers whose signatures appear on such 2016/2017 Bond have ceased to hold office at the time of issuance or authentication or at any time thereafter.

Section 6. **Authentication.**

No 2016/2017 Bonds shall be valid for any purpose hereunder until the certificate of authentication printed thereon is duly executed by the manual signature of an authorized signatory of the Registrar. Such authentication shall be proof that the Registered Owner is entitled to the benefit of the trusts hereby created.

Section 7. **Registration, Transfer and Exchange.**

(a) **Registrar.** The 2016/2017 Bonds shall be issued only in registered form as to both principal and interest. The University hereby appoints the fiscal agent of the State as the Registrar for the 2016/2017 Bonds. So long as any 2016/2017 Bonds remain Outstanding, the Registrar shall make all necessary provisions to permit the exchange or registration of transfer of 2016/2017 Bonds at its principal corporate trust office. The Registrar may be removed at any time at the option of the Authorized Representative of the University and a successor Registrar appointed by the Authorized Representative of the University. Any successor Registrar must be a commercial bank with trust powers or a trust company. No resignation or removal of the Registrar shall be effective until a successor shall have been appointed and until the successor Registrar shall have accepted the duties of the Registrar hereunder. The Registrar is authorized, on behalf of the University, to authenticate and deliver 2016/2017 Bonds transferred or exchanged in accordance with the provisions of such 2016/2017 Bonds and this resolution and to carry out all of the Registrar’s powers and duties under this resolution. The Registrar shall be responsible for its representations contained in the Certificate of Authentication on the 2016/2017 Bonds.

The Registrar shall keep, or cause to be kept, at its principal corporate trust office, sufficient books for the registration and transfer of the 2016/2017 Bonds which shall at all times be open to inspection by the University (the “Bond Register”).

(b) **Letter of Representations/Book-Entry System.** To induce DTC to accept the 2016/2017 Bonds as eligible for deposit at DTC, the University has executed and delivered the Letter of Representations. The 2016/2017 Bonds initially issued shall be held in fully immobilized form by DTC acting as depository pursuant to the terms and conditions set forth in the Letter of Representations.
(c) University and Registrar Not Responsible for DTC. Neither the University nor the Registrar will have any responsibility or obligation to DTC Participants or the persons for whom they act as nominees with respect to the 2016/2017 Bonds in respect of the accuracy of any records maintained by DTC or any DTC Participant, the payment by DTC or any DTC Participant of any amount in respect of the principal or redemption price of or interest on the 2016/2017 Bonds, any notice which is permitted or required to be given to Registered Owners under this resolution (except such notices as shall be required to be given by the University to the Registrar or to DTC), the selection by DTC or any DTC Participant of any person to receive payment in the event of a partial redemption of the 2016/2017 Bonds or any consent given or other action taken by DTC as the Registered Owner.

(d) DTC as Registered Owner. Payment of any such 2016/2017 Bond shall be made only as described in this section, but the transfer of such ownership may be registered as herein provided. All such payments made as described in this section shall be valid and shall satisfy and discharge the liability of the University upon such 2016/2017 Bond to the extent of the amount or amounts so paid. Except as provided in Section 27, the University and the Registrar shall be entitled to treat the Securities Depository (as Registered Owner) as the absolute owner of all 2016/2017 Bonds for all purposes of this resolution and any applicable laws, notwithstanding any notice to the contrary received by the Registrar or the University. Neither the University nor the Registrar will have any responsibility or obligation under this resolution or the 2016/2017 Bonds, legal or otherwise, to any other party including DTC or its successor (or substitute Securities Depository or its successor), except to the Registered Owners.

(e) Use of DTC/Book-Entry System.

(1) 2016/2017 Bonds Registered in the Name Designated by DTC. The 2016/2017 Bonds shall be registered initially in the name of “CEDE & Co.,” as nominee of DTC, (or such other name as may be requested by an authorized representative of DTC) with one 2016/2017 Bond maturing on each maturity date of a series or subseries bearing interest at a particular rate in a denomination corresponding to the total principal therein designated to mature on such date and bearing interest as such rate. Registered ownership of such immobilized 2016/2017 Bonds, or any portions thereof, may not thereafter be transferred except (A) to any successor of DTC or its nominee, provided that any such successor shall be qualified under any applicable laws to provide the service proposed to be provided by it; (B) to any substitute Securities Depository appointed by the Authorized Representative of the University pursuant to subsection (2) below or such substitute Securities Depository’s successor; or (C) to any person as provided in paragraph (4) below.

(2) Substitute Depository. Upon the resignation of DTC or its successor (or any substitute Securities Depository or its successor) from its functions as Securities Depository or a determination by the Authorized Representative of the University that it is no longer in the best interest of Beneficial Owners to continue the system of book entry transfers through DTC or its successor (or any substitute Securities Depository or its successor), the Authorized Representative of the University may hereafter appoint a substitute Securities Depository. Any
such substitute Securities Depository shall be qualified under any applicable laws to provide the services proposed to be provided by it.

(3) **Issuance of New 2016/2017 Bonds to Successor/Substitute Depository.** In the case of any transfer pursuant to clause (A) or (B) of paragraph (e)(1) above, the Registrar shall, upon receipt of all outstanding 2016/2017 Bonds of a series or subseries, together with a written request on behalf of the Authorized Representative of the University, issue a single new 2016/2017 Bond for each maturity of such series or subseries of 2016/2017 Bonds then Outstanding and bearing interest at a particular rate, registered in the name of such successor or such substitute Securities Depository, or their nominees, as the case may be, all as specified in such written request of the Authorized Representative of the University.

(4) **Termination of Book-Entry System.** In the event that (A) DTC or its successor (or substitute Securities Depository or its successor) resigns from its functions as Securities Depository, and no substitute Securities Depository can be obtained, or (B) the Authorized Representative of the University determines that it is in the best interest of the Beneficial Owners of the 2016/2017 Bonds that they be able to obtain 2016/2017 Bond certificates, the ownership of 2016/2017 Bonds may then be transferred to any person or entity as herein provided, and the 2016/2017 Bonds shall no longer be held in fully immobilized form. The Authorized Representative of the University shall deliver a written request to the Registrar, together with a supply of definitive 2016/2017 Bonds, to issue 2016/2017 Bonds as herein provided in any Authorized Denomination. Upon receipt of all then Outstanding 2016/2017 Bonds by the Registrar together with a written request on behalf of the Authorized Representative of the University to the Registrar, new 2016/2017 Bonds shall be issued in such Authorized Denominations and registered in the names of such persons as are requested in such written request.

(f) **Transfer or Exchange of Registered Ownership; Change in Denominations.** If the 2016/2017 Bonds are no longer held in immobilized, book-entry form, the transfer of ownership of any 2016/2017 Bond may be registered and such 2016/2017 Bonds may be exchanged, but no transfer of any 2016/2017 Bond shall be valid unless it is surrendered to the Registrar with the assignment form appearing on such 2016/2017 Bond duly executed by the Registered Owner or such Registered Owner’s duly authorized agent in a manner satisfactory to the Registrar. Upon such surrender, the Registrar shall cancel the surrendered 2016/2017 Bond and shall authenticate and deliver, without charge to the Registered Owner or transferee therefor, a new 2016/2017 Bond (or 2016/2017 Bonds at the option of the new Registered Owner) of the same series, date, designation, if any, maturity date and interest rate and for the same aggregate principal amount in any Authorized Denomination, naming as Registered Owner the person or persons listed as the assignee on the assignment form appearing on the surrendered 2016/2017 Bond, in exchange for such surrendered and canceled 2016/2017 Bond. Any 2016/2017 Bond may be surrendered to the Registrar and exchanged, without charge, for an equal aggregate principal amount of 2016/2017 Bonds of the same series or subseries, date, maturity date and interest rate, in any Authorized Denomination. The Registrar shall not be obligated to transfer or exchange any 2016/2017 Bond during the five-day period prior to the selection of 2016/2017 Bonds for redemption or the maturity date or following any mailing of notice of redemption. No charge
shall be imposed upon Registered Owners in connection with any transfer or exchange, except for taxes or governmental charges related thereto.

Section 8. Mutilated, Destroyed, Lost or Stolen 2016/2017 Bonds.

If any 2016/2017 Bond is lost, stolen or destroyed, the University may execute and the Registrar may authenticate and deliver a new 2016/2017 Bond or 2016/2017 Bonds of like series or subseries, date and tenor to the Registered Owner thereof, all in accordance with law. However, no substitution or payment shall be made unless and until the applicant shall furnish (a) evidence satisfactory to said Registrar and Authorized Representative of the University of the destruction or loss of the original 2016/2017 Bond and of the ownership thereof, and (b) such additional security, indemnity or evidence as may be required by the Authorized Representative of the University. No substitute 2016/2017 Bond shall be furnished unless the applicant shall reimburse the University and the Registrar for their respective expenses in the furnishing thereof. Any such substitute 2016/2017 Bond so furnished shall be equally and proportionately entitled to the security of this resolution with all other 2016/2017 Bonds issued hereunder.

Section 9. Payments of Principal, Redemption Price and Interest; Persons Entitled Thereto.

(a) Payments of Principal, Interest, Purchase and Redemption Prices. The principal or Redemption Price of each 2016/2017 Bond shall be payable upon surrender or delivery of such 2016/2017 Bond to the Registrar. For so long as DTC is the Registered Owner, interest and principal shall be paid and delivery shall be made as described in the operational arrangements referred to in the Letter of Representations and pursuant to DTC’s standard procedures.

(b) Accrual of Interest. Subject to the further provisions of this section, each 2016/2017 Bond shall accrue interest and be payable as to interest as follows:

(1) On each Interest Payment Date, the Registered Owner of each 2016/2017 Bond as of the Record Date shall be paid the amount of unpaid interest that accrues to the Interest Payment Date.

(2) The interest due on any 2016/2017 Bond on any Interest Payment Date shall be paid to the Registered Owner of such 2016/2017 Bond as shown on the Bond Register as of the Record Date. Except as otherwise provided in the applicable Bond Purchase Contract, Trust Agreement or Remarketing Agreement, the amount of interest so payable on any Interest Payment Date shall be computed (A) on the basis of a 365- or 366-day year for the number of days actually elapsed based on the calendar year for 2016/2017 Bonds in the Daily Mode, Commercial Paper Mode, Index Floating Mode or Weekly Mode, and (B) on the basis of a 360-day year of twelve 30-day months during a Term Mode or a Fixed Mode.

(3) If 2016/2017 Bonds of a series or subseries are no longer held by a Securities Depository, during the Term Mode or Fixed Mode, the interest, principal or Redemption Price of the 2016/2017 Bonds shall be payable by check, provided that any Registered Owner of $1,000,000 or more in aggregate principal amount of the 2016/2017 Bonds,
upon written request given to the Registrar at least five Business Days prior to the Interest Payment Date, Maturity Date or Redemption Date designating an account in a domestic bank, may be paid by wire transfer of immediately available funds. If the 2016/2017 Bonds of a series or subseries are no longer held by a Securities Depository, all payments of interest, principal or the Redemption Price on the 2016/2017 Bonds during the Commercial Paper Mode, Daily Mode, Index Floating Mode or Weekly Mode shall be paid to the Registered Owners entitled thereto on the Interest Payment Date in immediately available funds by wire transfer to a bank within the United States or deposited to a designated account if such account is maintained with the Registrar as directed by the Registered Owner in writing or as otherwise directed in writing by the Registered Owner on or prior to the applicable Record Date.

Any account specified pursuant to paragraph (3) hereof shall remain in effect until revoked or revised by the Registered Owner, the Credit Facility Issuer or Liquidity Facility Issuer by an instrument in writing delivered to the Registrar.

Section 10. Acts of Registered Owners; Evidence of Ownership.

Any action to be taken by Registered Owners may be evidenced by one or more concurrent written instruments of similar tenor signed or executed by such Registered Owners in person or by an agent appointed in writing. Any action by the Registered Owner of any 2016/2017 Bond shall bind all future Registered Owners of the same 2016/2017 Bond or of any 2016/2017 Bond issued upon the exchange or registration of transfer thereof in respect of anything done or suffered by the University or the Registrar in pursuance thereof.

Except as provided in any Reimbursement Agreement or Credit Facility, the Registrar and the University may treat the Registered Owner of a 2016/2017 Bond as the absolute owner thereof for all purposes, whether or not such 2016/2017 Bond shall be overdue, and the Registrar and the University shall not be affected by any knowledge or notice to the contrary; and payment of the principal of and premium, if any, and interest on such 2016/2017 Bond shall be made only to such Registered Owner, which payments shall satisfy and discharge the liability of the University with respect to such 2016/2017 Bond to the extent of the sum or sums so paid.

Section 11. Form of 2016/2017 Bonds.

The 2016/2017 Bonds shall each be in substantially the following form, with appropriate or necessary insertions, depending upon the omissions and variations as permitted or required hereby. If the 2016/2017 Bonds are no longer held in fully-immobilized form, the form of 2016/2017 Bonds will be changed to reflect the changes required in connection with the preparation of certificated 2016/2017 Bonds. The form of the 2016/2017 Bonds shall further be changed as necessary to reflect whether the 2016/2017 Bonds are 2016/2017 New Money Bonds or 2016/2017 Refunding Bonds, whether the 2016/2017 Bonds are 2016/2017 Tax-Exempt Bonds or 2016/2017 Taxable Bonds, any series or subseries designation for the 2016/2017 Bonds and the Current Mode of the 2016/2017 Bonds.
The University of Washington (the “University”) hereby acknowledges itself to owe and for value received promises to pay to the Registered Owner identified above, or registered assigns, on the Maturity Date identified above, the Principal Amount indicated above and to pay interest thereon from __________, ____, or the most recent date to which interest has been paid or duly provided for until payment of this bond at the Interest Rate [set forth above][described below], payable on the first days of each ______ and ______, commencing on _______ 1, 20__. Both principal of and interest on this bond are payable in lawful money of the United States of America. For so long as the bonds of this issue are held in fully immobilized form, payments of principal and interest thereon shall be made as provided in accordance with the operational arrangements of The Depository Trust Company (“DTC”) referred to in the Blanket Issuer Letter of Representations (the “Letter of Representations”) from the University to DTC. The fiscal agent of the state of Washington is acting as the registrar, authenticating agent and paying agent for the bonds of this issue (the “Bond Registrar”).

This bond is issued pursuant to a resolution of the Board of Regents of the University (the “Bond Resolution”) to [finance or refinance costs of the Projects][refund certain outstanding bonds], and to pay costs of issuance.

This bond is payable solely from General Revenues of the University, and the University does hereby pledge and bind itself to set aside from such General Revenues, and to pay into the General Revenue Bond Redemption Fund, 2016/2017 (the “Bond Fund”) the various amounts required by the Bond Resolution to be paid into and maintained in such Fund, all within the times provided by the Bond Resolution. Interest on this bond shall accrue at [the Fixed Rate set forth above] [Daily Rates, Weekly Rates, Commercial Paper Rates, Index Floating Rates, Term Rates or Fixed Rates], payable on Interest Payment Dates, all as provided in the Bond Resolution.
The bonds of this issue are subject to redemption prior to their scheduled maturity under the terms of the bond purchase contract for such bonds.

[The bonds of this issue are not private activity bonds and are not “qualified tax exempt obligations” eligible for investment by financial institutions within the meaning of Section 265(b) of the Internal Revenue Code of 1986, as amended.]

Except as otherwise provided in the Bond Resolution, this bond shall not be entitled to any right or benefit under the Bond Resolution, or be valid or become obligatory for any purpose, until this bond shall have been authenticated by execution by the Registrar of the certificate of authentication inscribed hereon.

It is hereby certified, recited and represented that the issuance of this bond and the 2016/2017 Bonds of this issue is duly authorized by law; that all acts, conditions and things required to exist and necessary to be done or performed precedent to and in the issuance of this bond and the 2016/2017 Bonds of this issue to render the same lawful, valid and binding have been properly done and performed and have happened in regular and due time, form and manner as required by law; that all acts, conditions and things necessary to be done or performed by the University or to have happened precedent to and in the execution and delivery of the Bond Resolution have been done and performed and have happened in regular and due form as required by law; that due provision has been made for the payment of the principal of and premium, if any, and interest on this bond and the 2016/2017 Bonds of this issue and that the issuance of this bond and the 2016/2017 Bonds of this issue does not contravene or violate any constitutional or statutory limitation.

IN WITNESS WHEREOF, the University of Washington has caused this bond to be executed with the manual or facsimile signatures of the President and [Secretary of the Board of Regents][Treasurer of the University] and caused a facsimile of the official seal of the University to be reproduced hereon.

UNIVERSITY OF WASHINGTON

(SEAL) By ______________________________

President, Board of Regents

By ______________________________

[Secretary, Board of Regents]

[Treasurer of the University]

The Certificate of Authentication for the 2016/2017 Bonds shall be in substantially the following form and shall appear on each 2016/2017 Bond:
AUTHENTICATION CERTIFICATE

This bond is one of the University of Washington General Revenue [Refunding] [and Refunding] Bonds, Series [2016/2017][__] described in the within-mentioned Bond Resolution.

WASHINGTON STATE FISCAL AGENT,
as Registrar

By ______________________________
Authorized Signatory

Date of Authentication: ______________________

Section 12. Redemption.

(a) Optional Redemption. 2016/2017 Bonds in a Term Mode, Index Floating Mode or Fixed Mode shall be subject to redemption at the option of the University, in whole or in part, in Authorized Denominations on such dates and at such prices as determined by the University for such 2016/2017 Bonds as set forth in the respective Bond Purchase Contract, Trust Agreement and/or Remarketing Agreement, as applicable. 2016/2017 Bonds in the Commercial Paper Mode are not subject to optional redemption prior to their respective Purchase Dates. Commercial Paper Bonds shall be subject to redemption at the option of the University, in whole or in part in principal amounts that permit all remaining Outstanding Bonds of the same series or subseries to continue in Authorized Denominations, on their respective Purchase Dates at a redemption price equal to the principal amount thereof. 2016/2017 Bonds in the Daily Mode or the Weekly Mode shall be subject to redemption at the option of the University, in whole or in part, in principal amounts which permit all remaining Outstanding Bonds of the same series or subseries to continue in Authorized Denominations, on any date at a redemption price equal to the principal amount thereof. Bank Bonds shall be subject to redemption as set forth in the applicable Reimbursement Agreement.

(b) Mandatory Redemption. If the 2016/2017 Bonds of a series or subseries are issued in the Fixed Mode, any Term Bonds of such series or subseries shall be subject to mandatory redemption prior to their maturity by the Registrar in part, in the years and in the amounts set forth in the applicable Bond Purchase Contract (subject to reductions arising from the University’s acquisition and surrender or the optional redemption of 2016/2017 Bonds, all as described in the next paragraph) at a redemption price equal to 100% of the principal amount thereof, plus accrued interest to the Redemption Date. If the 2016/2017 Bonds of a series or subseries are issued in a Daily Mode, Weekly Mode, Index Floating Mode or Commercial Paper Mode and converted to the Fixed Mode or Term Mode, the 2016/2017 Bonds of that series or subseries (other than Bank Bonds) may be converted in whole or in part to Serial Bonds and/or Term Bonds upon delivery of a Favorable Opinion of Bond Counsel prior to the commencement of the Term Mode or Fixed Mode for such 2016/2017 Bonds and if so converted to Term Bonds shall be subject to mandatory sinking fund redemption as determined by the University pursuant to the Remarketing Agreement or Trust Agreement, as applicable.
Selection of 2016/2017 Bonds for Redemption. Whenever the University elects to redeem fewer than all of the 2016/2017 Bonds of a series or subseries, the University shall select the maturity or maturities within such series or subseries to be redeemed. Whenever fewer than all the Outstanding 2016/2017 Bonds of a series or subseries and maturity are to be redeemed, the 2016/2017 Bonds to be redeemed shall be selected in accordance with the operational arrangements of DTC referred to in the Letter of Representations (or, in the event the 2016/2017 Bonds of a series or subseries are no longer in book-entry only form, randomly by the Registrar). In no event shall any Bond be Outstanding in a principal amount that is not an Authorized Denomination.

Notice of Redemption. For so long as the book entry-system is in effect with respect to a series or subseries of 2016/2017 Bonds, notice of redemption shall be provided in accordance with the operational arrangements of DTC referred to in the Letter of Representations, and no additional published or other notice shall be provided by the University; provided, however, that the Credit Facility Issuer, if any, or Liquidity Facility Issuer, if any, shall be given prior written notice of any proposed redemption of 2016/2017 Bonds. In any event, notice of redemption shall be given by the University to the Registrar who shall give notice to DTC at least 20 days prior to the proposed date of redemption during the Term Mode or Fixed Mode and at least 15 days prior to the proposed date of redemption during any other Mode. If the book-entry system is no longer in effect with respect to a series or subseries of 2016/2017 Bonds, notice of redemption shall be given in the manner hereinafter provided. Unless waived by any owner of 2016/2017 Bonds to be redeemed, official notice of any such redemption shall be given by the Registrar on behalf of the University by mailing a copy of an official redemption notice by first class mail at least 20 days and not more than 60 days prior to the date fixed for redemption during the Term Mode or Fixed Mode, and at least 15 days and not more than 60 days prior to the date fixed for redemption during any other Mode, to the Registered Owner of the 2016/2017 Bond or Bonds to be redeemed at the address shown on the Bond Register or at such other address as is furnished in writing by such Registered Owner to the Registrar.

Effect of Redemption. Any notice for redemption may be conditional, in which case the conditions shall be set forth therein. If an unconditional notice of redemption has been given or if a conditional notice of redemption has been given and the conditions set forth in a conditional notice of redemption have been satisfied, then on the Redemption Date the 2016/2017 Bonds or portions thereof so called for redemption shall become payable at the Redemption Price specified in such notice; and from and after the Redemption Date, interest thereon or on portions thereof so called for redemption shall cease to accrue, such 2016/2017 Bonds or portions thereof shall cease to be Outstanding and to be entitled to any benefit, protection or security hereunder or under an applicable Trust Agreement, and the Owners of such 2016/2017 Bonds or portions thereof shall have no rights in respect thereof except to receive payment of the Redemption Price upon delivery of such 2016/2017 Bonds to the Registrar. Notwithstanding the foregoing, any Bank Bonds shall remain Outstanding until the Credit Facility Issuer or Liquidity Facility Issuer, as the case may be, is paid all amounts due in connection with such 2016/2017 Bonds or portions thereof to be redeemed on the Redemption Date. After payment to the Credit Facility Issuer or Liquidity Facility Issuer, as the case may be, of all amounts due on Bank Bonds such Credit Facility Issuer or Liquidity Facility Issuer shall surrender such 2016/2017 Bonds to the Registrar for cancellation.
Section 13.   Bond Fund.

The Controller of the University is hereby authorized and directed to establish the Bond Fund as a special fund of the University to be designated as the General Revenue Bond Redemption Fund, 2016/2017 (the “Bond Fund”). The University covenants to deposit into the Bond Fund from General Revenues on or prior to each interest payment date, redemption date and maturity date an amount sufficient to pay the interest on the 2016/2017 Bonds then coming due and the principal of the 2016/2017 Bonds maturing or subject to redemption and redemption premium, if any. Such payments shall be made in sufficient time to enable the Registrar to pay interest on and/or principal of and redemption price of the 2016/2017 Bonds to the Registered Owners, when due. Net income earned on investments in the Bond Fund, if any, shall be deposited in the Bond Fund.


(a) 2016/2017 New Money Bonds. The Authorized Representative of the University is hereby authorized and directed to create a special fund or account of the University (the “Capital Fund”). The proceeds of the 2016/2017 New Money Bonds shall be paid into the Capital Fund. The money on deposit in the Capital Fund shall be utilized to pay or reimburse the University for costs of the Projects and costs incidental thereto, and Issuance Costs, to the extent designated by the Authorized Representative of the University.

All or part of the proceeds of the 2016/2017 New Money Bonds may be temporarily invested in Permitted Investments that will mature prior to the date on which such money shall be needed. Except as otherwise provided in the Federal Tax Certificate, the University covenants that all investments of amounts deposited in the Capital Fund, or otherwise containing gross proceeds of the 2016/2017 Tax-Exempt Bonds (within the meaning of Section 148 of the Code) will be acquired, disposed of, and valued (as of the date that valuation is required by the Code) at Fair Market Value.

In the event that it shall not be possible or practicable to accomplish all of the Projects, the University may apply the proceeds of the 2016/2017 New Money Bonds to pay the costs of such portion thereof or such other projects as the Authorized Representative of the University shall determine to be in the best interests of the University.

Any part of the proceeds of the 2016/2017 New Money Bonds remaining in the Capital Fund after all costs referred to in this section have been paid may be used to acquire, construct, equip and make other improvements to the facilities of the University subject to the limitations of this resolution or may be transferred to the Bond Fund for the uses and purposes therein provided, and any applicable limitations set forth in the Federal Tax Certificate.

(b) 2016/2017 Refunding Bonds. The proceeds of each series of 2016/2017 Refunding Bonds shall be disbursed as provided in the related Escrow Agreement and/or Trust Agreement to redeem the Refunded Bonds on their Call Dates and/or defease the Refunded Bonds to their Call Dates through the application of proceeds of the 2016/2017 Refunding Bonds
to acquire Acquired Obligations for deposit, together with cash, as provided in such Escrow Agreement and/or Trust Agreement.


(a) Special Fund Obligations. The 2016/2017 Bonds shall be special fund obligations of the University, payable solely from General Revenues and the money and investments deposited into the Bond Fund. In addition, any Building Fee Revenue Bonds are payable first from money and investments in the University of Washington bond retirement account. The 2016/2017 Bonds shall not constitute an obligation, either general, special or moral, of the State, nor a general or moral obligation of the University. The Registered Owners of the 2016/2017 Bonds shall have no right to require the State, nor has the State any obligation or legal authorization, to levy any taxes or appropriate or expend any of its funds for the payment of the principal thereof or the interest or any premium thereon. The University has no taxing power.

(b) All Bonds Have Equal Claim on General Revenues. The Bonds shall be equally and ratably payable, without preference, priority or distinction because of date of issue or otherwise from General Revenues.

(c) Additions to General Revenues. (1) The University reserves the right to include in General Revenues, at its sole option, in the future, other sources of revenue or income, specifically including, but not limited to, all or any portion of the items or any auxiliary systems added pursuant to subsection (2) of this Section 15(e), then excluded as part of General Revenues. (2) Such additions shall occur on the date and as provided in a certificate executed by the Controller of the University (or the successor to the functions of the Controller). The Controller shall, in the case of additions of items or auxiliaries to General Revenues, certify that for the preceding two Fiscal Years for which audited financial statements are available, the item or auxiliary maintained a “coverage ratio” of at least 125%, where the “coverage ratio” equals: (A) Net Revenue (for those items or auxiliaries whose debt has a lien on Net Revenues) or gross revenues (for those items or auxiliaries whose debt has a lien on gross revenues), divided by (B) debt service with respect to the then-outstanding revenue debt of the auxiliary or item and state-reimbursed bonds allocable to such auxiliary or item. In the event an auxiliary or item is added to General Revenues, the obligations of that auxiliary or item may remain outstanding and have a prior claim on auxiliary Net Revenue.

(d) Deletions from General Revenues. The University reserves the right to remove, at its sole option, in the future, any revenues from General Revenues. The removal of General Revenues shall be evidenced by a certificate executed by the Controller of the University (or the successor to the functions of the Controller) identifying the items to be deleted.

(e) Building Fee Revenue Bonds. If any of the 2016/2017 Bonds are designated as Building Fee Revenue Bonds pursuant to Section 18, such Building Fee Revenue Bonds shall be payable from and secured by a pledge of any or all of the revenues and receipts of the University of Washington bond retirement fund. In addition, Building Fee Revenue Bonds shall be payable from General Revenue and money and investments in the Bond Fund.
The Board hereby covenants to establish, maintain and collect Building Fees in such amounts that will provide money sufficient to pay the principal of and interest on all bonds, including any Building Fee Revenue Bonds, payable out of the University of Washington bond retirement fund, to set aside and maintain reserves, if any, required to secure the payment of such principal and interest, and to maintain coverage, if any, which may be required over such principal and interest. Notwithstanding the foregoing, the Board hereby orders that in the event there is ever an insufficient amount of money in the University of Washington bond retirement fund to pay principal of or interest on any Building Fee Revenue Bond when due, moneys shall be transferred from the University of Washington building account to the University of Washington bond retirement fund.

Amounts on deposit in the University of Washington bond retirement fund shall be invested in Permitted Investments. Any money on deposit in the University of Washington bond retirement fund may be transferred to the University of Washington building account to the extent and as permitted by the Building Fee Revenue Bond Act.

Building Fee Revenue Bonds shall not be general or special obligations of the state of Washington, but shall be limited obligation bonds of the University payable only from Building Fees, money and investments in the University of Washington bond retirement fund, General Revenues and money and investments in the Bond Fund.

Section 16. Investment of Funds.

The University covenants to invest and reinvest money deposited in Bond Fund only in Permitted Investments. Except as otherwise provided in the Federal Tax Certificate, the University covenants that all investments of amounts deposited in the Bond Fund, or otherwise containing gross proceeds of the 2016/2017 Tax-Exempt Bonds (within the meaning of Section 148 of the Code) will be acquired, disposed of, and valued (as of the date that valuation is required by the Code) at Fair Market Value.

Section 17. Establishment of Additional Accounts and Subaccounts.

The University reserves the right, to be exercised in its sole discretion, to establish such additional accounts within the funds established pursuant to this resolution, and subaccounts within such accounts, as it deems necessary or useful for the purpose of identifying more precisely the sources of payments herein and disbursements therefrom; provided that the establishment of any such account or subaccount does not alter or modify any of the requirements of this resolution with respect to a deposit or use of money or result in commingling of funds not permitted hereunder.

Section 18. Additional Bonds.

The University shall have the right to issue one or more series of Additional Bonds for University purposes as permitted under the Bond Act, the Building Fee Revenue Bond Act or otherwise under State law, and the costs of issuing Additional Bonds, or to refund or advance refund any Bonds or other obligations. The University shall have the right to designate one or
more series of Additional Bonds as Building Fee Revenue Bonds payable from and secured by the Building Fee and money and investments in the University of Washington bond retirement fund on a parity with the lien thereon of outstanding Building Fee Revenue Bonds to the extent permitted by the Building Fee Revenue Bond Act. The University shall have the further right to pledge Building Fees and moneys and investments in the University of Washington bond retirement fund to pay additional bonds payable from and secured solely by such Building Fees and moneys and investments on a parity with the lien thereon of outstanding Building Fee Revenue Bonds.

Section 19. Covenants Regarding Tax Exemption. The University will take all actions necessary to assure the exclusion of interest on the 2016/2017 Tax-Exempt Bonds from the gross income of the owners of the 2016/2017 Tax-Exempt Bonds to the same extent as such interest is permitted to be excluded from gross income under the Code as in effect on the date of issuance of the 2016/2017 Tax-Exempt Bonds, including but not limited to the following:

(a) The University will assure that the proceeds of the 2016/2017 Tax-Exempt Bonds are not used so as to cause the 2016/2017 Tax-Exempt Bonds to satisfy the private business tests or the private loan financing test as set forth in the Federal Tax Certificate.

(b) The University will not sell or otherwise transfer or dispose of (i) any personal property components of the Projects financed with the 2016/2017 Tax-Exempt Bonds other than in the ordinary course of an established government program or (ii) any real property components of the Projects financed with the 2016/2017 Tax-Exempt Bonds, unless it has received an opinion of nationally recognized bond counsel to the effect that such disposition will not adversely affect the treatment of interest on the 2016/2017 Tax-Exempt Bonds as excludable from gross income for federal income tax purposes as set forth in the Federal Tax Certificate.

(c) The University will not take any action or permit or suffer any action to be taken if the result of such action would be to cause any of the 2016/2017 Tax-Exempt Bonds to be "federally guaranteed" as set forth in the Federal Tax Certificate.

(d) The University will take any and all actions necessary to assure compliance with the rebate of excess investment earnings, if any, to the federal government, to the extent that such section is applicable to the 2016/2017 Tax-Exempt Bonds as set forth in the Federal Tax Certificate.

(e) The University will not take, or permit or suffer to be taken, any action with respect to the proceeds of the 2016/2017 Tax-Exempt Bonds which, if such action had been reasonably expected to have been taken, or had been deliberately and intentionally taken, on the date of issuance of the 2016/2017 Tax-Exempt Bonds would have caused the 2016/2017 Tax-Exempt Bonds to be “arbitrage bonds” as set forth in the Federal Tax Certificate.

(f) The University will maintain a system for recording the ownership of each 2016/2017 Tax-Exempt Bond that complies with the Code until all 2016/2017 Tax-Exempt Bonds have been surrendered and canceled.
(g) The University will retain its records of all accounting and monitoring it carries out with respect to the 2016/2017 Tax-Exempt Bonds for at least three years after the 2016/2017 Tax-Exempt Bonds mature or are redeemed (whichever is earlier); however, if the 2016/2017 Tax-Exempt Bonds are redeemed and refunded, the University will retain its records of accounting and monitoring at least three years after the earlier of the maturity or redemption of the obligations that refunded the 2016/2017 Tax-Exempt Bonds.

(h) The University will comply with the provisions of the Federal Tax Certificate with respect to the 2016/2017 Tax-Exempt Bonds, which are incorporated herein as if fully set forth herein. In the event of any conflict between this Section and the Federal Tax Certificate, the provisions of the Federal Tax Certificate will prevail.

The covenants of this Section will survive payment in full or defeasance of the 2016/2017 Tax-Exempt Bonds.

Section 20. No Recourse Against Individuals.

No owner of a 2016/2017 Bond (registered or beneficial) shall have any recourse for the payment of any part of the principal or redemption price, if any, of or interest on the 2016/2017 Bonds, or for the satisfaction of any liability arising from, founded upon, or existing by reason of, the issuance or ownership of such 2016/2017 Bonds against the officers of the University or officers or members of the Board in their individual capacities.

Section 21. Defeasance.

Any 2016/2017 Bonds shall be deemed to have been paid and not Outstanding under this resolution and shall cease to be entitled to any lien, benefit or security of this resolution and any money and investments held hereunder, except the right to receive the money and the proceeds and income from Government Obligations set aside and pledged in the manner hereafter described, if:

(a) in the event that any or all of 2016/2017 Bonds are to be optionally redeemed, the University shall have given to the Registrar irrevocable instructions to give such notice of redemption of such 2016/2017 Bonds as may be required by the provisions of this resolution; and

(b) there shall have been made an Irrevocable Deposit, in trust, with the Registrar or another corporate fiduciary of money in an amount which shall be sufficient and/or noncallable Government Obligations maturing at such time or times and bearing such interest to be earned thereon, without considering any earnings on the reinvestment thereof, as will provide a series of payments which shall be sufficient, together with any money initially deposited, to provide for the payment of the principal of and the interest on the defeased 2016/2017 Bonds, when due in accordance with their terms, or upon the earlier prepayment thereof in accordance with a refunding plan; and such money and the principal of and interest on such Government Obligations are set aside irrevocably and pledged in trust for the purpose of effecting such payment, redemption or prepayment.
Nothing contained in this Section 21 shall be construed to prohibit the partial defeasance of the lien of this resolution providing for the payment of one or more, but not all of the Outstanding 2016/2017 Bonds. In the event of such partial defeasance, this resolution shall be discharged only as to the 2016/2017 Bonds so defeased.

Section 22. Approval of Official Statement.

The University hereby authorizes and directs the Authorized Representative of the University to approve the information contained in each Preliminary Official Statement, if any, pertaining to 2016/2017 Bonds or 2016/2017 bonds issued on behalf of the University, to “deem final” each Preliminary Official Statement, if any, as of its date, except for the omission of information on offering prices, interest rates, selling compensation, delivery dates and any other terms or provisions of the 2016/2017 Bonds dependent on such matters, for the sole purpose of the applicable underwriter’s compliance with the Rule and to authorize the distribution thereof to prospective purchasers of the series of 2016/2017 Bonds and others. The University further authorizes and directs any of such officers to approve the preparation, distribution and use of a final Official Statement and to approve the information contained therein, in connection with the public offering and sale of the applicable 2016/2017 Bonds or 2016/2017 bonds issued on behalf of the University, to the actual purchasers of the 2016/2017 Bonds and others. The University hereby authorizes any of such officers to execute each final Official Statement described above to indicate such approval.


The Authorized Representative of the University is hereby authorized and directed to make the following determinations and/or take the following actions, prior to the sale of 2016/2017 Bonds or the refunding of Refunding Candidates, subject to the limitations described below:

(a) determine whether the 2016/2017 Bonds shall be issued and sold in one or more series or subseries;

(b) determine the Mode in which 2016/2017 Bonds of a series or subseries shall be issued initially;

(c) determine the times and manner of conversion, if any, between and within Modes, and negotiate and execute documents to effect the conversion, including without limitation any Bond Purchase Contract, Reimbursement Agreement, Remarketing Agreement or Trust Agreement, or amendments thereto;

(d) negotiate and execute one or more contracts with Northwest Hospital & Medical Center to provide for the refinancing of obligations issued by or on behalf of Northwest Hospital & Medical Center;
(e) negotiate and execute at his or her discretion, one or more Escrow Agreements, Bond Purchase Contracts, Remarketing Agreements, Reimbursement Agreements, or Trust Agreements, amendments to leases with respect to Refunding Candidates, options to extend such leases, and other documents in connection with the refunding of a Refunding Candidate, and amendments thereto from time to time;

(f) negotiate and execute a Payment Agreement, if any, in connection with the issuance of any series or subseries of 2016/2017 Bonds;

(g) select one or more Escrow Agents, underwriters and/or Remarketing Agents;

(h) select some or all of the Refunding Candidates and designate those Refunding Candidates as the “Refunded Bonds” in the applicable Bond Purchase Contract or closing certificate;

(i) determine if it is in the best interest of the University for any or all of the 2016/2017 Bonds to be secured by a Liquidity Facility or Credit Facility and, if so, select the Liquidity Facility Issuer or Credit Facility Issuer, as applicable, pay the premium or fees therefor, issue one or more reimbursement bonds, and enter into Reimbursement Agreements, each as applicable;

(j) subject to the limitations set forth herein, approve the Interest Rates if the 2016/2017 Bonds bear interest in Fixed Mode or Term Mode, Maturity Dates, aggregate principal amounts, principal amounts of each maturity, redemption rights, tender option rights, and other terms and conditions of the 2016/2017 Bonds;

(k) select a Trustee for the owners of any or all of the 2016/2017 Bonds and fix its or their rights, duties, powers, and obligations under the applicable Trust Agreement;

(l) determine whether any or all of the 2016/2017 Bonds shall be issued as 2016/2017 Tax-Exempt Bonds or as 2016/2017 Taxable Bonds;

(m) allocate 2016/2017 Bond proceeds to Projects and determine whether all or a portion of the Projects shall be financed with CAP.

The Authorized Representative of the University is hereby authorized to approve the foregoing subject to following conditions:

(a) the aggregate principal amount of the 2016/2017 New Money Bonds shall not exceed $210,000,000.

(b) the aggregate debt service to be paid on any 2016/2017 Refunding Bonds shall be less than the aggregate debt service (or aggregate rent reflecting debt service in the case of a lease with respect to a Refunding Candidate) on the Refunding Candidate to be refunded;
(c) the final maturity date of any 2016/2017 Refunding Bonds shall not be later than the end of the fiscal year that includes the final maturity date of the Refunding Candidate to be refunded with the proceeds of such bonds, unless the Authorized Representative of the University determines, in the case of the refunding of obligations issued by or on behalf of Northwest Hospital & Medical Center, that a later maturity date is in the best interests of the University;

(d) the true interest cost to the University, taking into account any interest subsidy, for the 2016/2017 Bonds issued initially in the Fixed Mode does not exceed 7.0%;

(e) the aggregate principal amount of 2016/2017 Bonds issued in the Daily Mode, Weekly Mode, Index Floating Mode and Commercial Paper Mode does not exceed 20% of the aggregate principal amount of all then Outstanding Bonds (determined on the initial date of issuance of such 2016/2017 Bonds in the Daily Mode, Weekly Mode, Index Floating Mode or Commercial Paper Mode); and

(f) the date and time for any Closing Date is not later than July 31, 2017.

In determining the items described in this section, the Authorized Representative of the University may take into account those factors that, in his or her judgment, will result in the lowest true interest cost on the 2016/2017 Bonds to their maturity, including, but not limited to current financial market conditions and current interest rates for obligations comparable in tenor and quality to the 2016/2017 Bonds.

Upon determination by the Authorized Representative of the University that all conditions to Closing set forth in a Bond Purchase Contract have been satisfied, or upon waiver of such conditions by the appropriate parties, the Authorized Representative of the University is hereby authorized and directed (a) to cause such 2016/2017 Bonds, executed as provided in this resolution, to be authenticated and delivered to the underwriters; and (b) to execute, for and on behalf of the University, and to deliver to the persons entitled to executed copies of the same, the Official Statement and all other documents required to be delivered, at or before the Closing Date pursuant to the Bond Purchase Contract. The proper University officials are hereby authorized and directed to do everything necessary and proper for the prompt printing, execution, authentication, issuance and delivery of the 2016/2017 Bonds in exchange for the purchase price thereof.

This authorization is in addition to any previously delegated authority under the Debt Policy.

Section 24. Undertaking to Provide Continuing Disclosure.

An Authorized Representative of the University is authorized to, in his or her discretion, execute and deliver a certificate regarding continuing disclosure in order to assist the underwriters for 2016/2017 Bonds in complying with Section (b)(5) of the Rule.
Section 25. Payment Agreements.

The University may enter into a Payment Agreement providing for an exchange of Reciprocal Payments for University Payments in connection with one or more series or subseries of 2016/2017 Bonds. The following shall be conditions precedent to the use of any Payment Agreement.

(a) Opinion of Bond Counsel. The University shall obtain an opinion of its Bond Counsel on the due authorization and execution of such Payment Agreement opining that the action proposed to be taken by the University is authorized or permitted by this resolution and by Washington law and will not adversely affect the exclusion from gross income for federal income tax purposes of the interest on the applicable series or subseries of 2016/2017 Tax-Exempt Bonds.

(b) Certification of Financial Advisor. The University shall obtain, on or prior to the date of execution of the Payment Agreement, a written certification from a financial advisor satisfying the requirements under RCW 39.96.030.

(c) Approval of the State Finance Committee. The Payment Agreement shall have been approved by the State Finance Committee under terms set forth in a resolution thereof, subject to final approval and authorization of the Payment Agreement by the Chair of the State Finance Committee pursuant to such terms. The approval of the State Finance Committee shall not constitute the pledge of the full faith and credit of the State. The University shall have the option to terminate the Payment Agreement in whole or in part, in the discretion of the Authorized Representative of the University.

(d) Selection of Reciprocal Payor. Prior to selecting the Reciprocal Payor, the University shall solicit and give due consideration to proposals from at least two entities that meet the criteria set forth in RCW 39.96.040(2). Such solicitation and consideration shall be conducted in such manner as the University (or the State Treasurer if so directed by resolution of the State Finance Committee) shall determine is reasonable.

(e) Payments. The Payment Agreement shall set forth the manner in which the University Payments and Reciprocal Payments are to be calculated and a schedule of Derivative Payment Dates. The University shall provide an annual report or certificate to the State Treasurer setting forth the information regarding the Payment Agreement, in form satisfactory to the State Treasurer.

(f) Findings.

(1) The obligations of the University under the Payment Agreement shall be paid solely from General Revenues.

(2) If the University enters into a Payment Agreement, University Payments shall be made from the Bond Fund. Reciprocal Payments shall be paid directly into the Bond Fund or a separate account therein.
(3) If the foregoing conditions are complied with, the Payment Agreement will lower the net cost of borrowing for the related 2016/2017 Bonds or reduce the University’s exposure to fluctuations in interest rates on the related 2016/2017 Bonds. This finding shall be confirmed in a report of the Authorized Representative of the University.

Section 26. Supplemental Resolutions.

(a) *Without Consent of Owners.* The Board, from time to time and at any time, may adopt a resolution or resolutions supplemental to this resolution which supplemental resolution or resolutions thereafter shall become a part of this resolution, for any one or more or all of the following purposes:

1. to add to the covenants and agreements of the University in this resolution other covenants and agreements thereafter to be observed, which shall not materially adversely affect the interests of the Registered Owners of any Outstanding 2016/2017 Bonds affected by the supplemental resolution, or to surrender any right or power herein reserved to or conferred upon the University;

2. to make such provisions for the purpose of curing any ambiguities or of curing, correcting or supplementing any defective provision contained in this resolution or any resolution authorizing Additional Bonds in regard to matters or questions arising under such resolutions as the Board may deem necessary or desirable and not inconsistent with such resolution and which shall not materially adversely affect the interest of the Registered Owners of Outstanding 2016/2017 Bonds.

Any such supplemental resolution of the Board may be adopted without the consent of the owners of any 2016/2017 Bonds at any time outstanding, notwithstanding any of the provisions of subsection (b) of this section.

(b) *With Consent of Owners.* With the consent of the Registered Owners of not less than 51% in aggregate principal amount of all Outstanding 2016/2017 Bonds of a series affected by a supplemental resolution, the Board may adopt a resolution or resolutions supplemental hereto for the purpose of adding any provisions to or changing in any manner or eliminating any of the provisions of this resolution or of any supplemental resolution provided, however, that no such supplemental resolution shall:

1. extend the fixed maturity of any Outstanding 2016/2017 Bonds, or reduce the rate of interest thereon, or extend the time of payment of interest from their due date, or reduce the amount of the principal thereof, or reduce any premium payable on the redemption thereof, without the consent of the owner of each 2016/2017 Bond so affected; or

2. reduce the aforesaid percentage of Registered Owners required to approve any such supplemental resolution, without the consent of the Registered Owners of all of the Outstanding 2016/2017 Bonds affected by the reduction.
It shall not be necessary for the consent of Registered Owners under this subsection (b) to approve the particular form of any proposed supplemental resolution, but it shall be sufficient if such consent shall approve the substance thereof. The Reimbursement Agreement may provide rights to the Credit Facility Issuer or Liquidity Facility Issuer to consent to supplemental resolutions on behalf of Registered Owners of Bonds for which it provides credit and liquidity support or in addition to such Registered Owners.

Section 27. Concerning the Registered Owners.

(a) Form of Consent of Registered Owners. Any request, direction, consent or other written instrument required by this resolution to be signed or executed by the Registered Owners may be in any number of concurrent written instruments of similar tenor and may be signed or executed by such Registered Owners in person or by an agent or agents duly appointed by a written instrument. Proof of the execution of any such written instrument and of the ownership of the 2016/2017 Bonds shall be sufficient for any purpose of this resolution and shall be conclusive in favor of the University, and/or the Registered Owners with regard to any action taken under such instrument, if made in the following manner:

(1) the fact and date of the execution by any Registered Owner of any such instrument may be proved by the certificate of any officer in any jurisdiction who, by the laws thereof, has power to take acknowledgments of deeds to be recorded within such jurisdiction, to the effect that the Registered Owner signing such instrument acknowledged to him or her the execution thereof, or by an affidavit of a witness to such execution; and

(2) the ownership of 2016/2017 Bonds shall be proved by the Bond Register maintained by the Registrar.

Nothing contained in this Section 27(a) shall be construed as limiting the University to the proof above specified, it being intended that the University may accept any other evidence of the matters herein stated to which it may seem sufficient.

(b) Waiver of Form. Except as otherwise provided herein, any notice or other communication required by this resolution to be given by delivery, publication or otherwise to the Registered Owners or any one or more thereof may be waived, at any time before such notice or communication is so required to be given, by written waivers mailed or delivered to the University by the Registered Owners of all 2016/2017 Bonds of a series or subseries entitled to such notice or communication.

(c) Revocation; Conclusive Action. At any time prior to (but not after) the evidencing to the University of the taking of any action by the Registered Owners of the percentage in aggregate principal amount of Outstanding 2016/2017 Bonds of a series or subseries specified in this resolution in connection with such action, any Registered Owner may, by filing written notice with the University, revoke any consent given by such Registered Owner or the predecessor Registered Owner of such 2016/2017 Bond. Except as aforesaid, any such consent given by the Registered Owner of any 2016/2017 Bond shall be conclusive and binding upon such Registered Owner and upon all future Registered Owners of such 2016/2017 Bond and of
any 2016/2017 Bond issued in exchange therefor or in lieu thereof, irrespective of whether or not
any notation in regard thereto is made upon such 2016/2017 Bond. Any action taken by the
Registered Owners of the percentage in aggregate principal amount of a series or subseries of
Outstanding 2016/2017 Bonds specified in this resolution in connection with such action shall be
conclusively binding upon the University and the Registered Owners of all Outstanding
2016/2017 Bonds.

Section 28. Determination of Registered Owners’ Concurrence.

In determining whether the Registered Owners of the requisite aggregate principal
amount of a series or subseries of Outstanding 2016/2017 Bonds have concurred in any demand,
request, direction, consent or waiver under this resolution, 2016/2017 Bonds which are owned by
or held in the name of the University shall be disregarded and deemed not to be Outstanding for
the purpose of any such determination. 2016/2017 Bonds so owned which have been pledged in
good faith may be regarded as Outstanding for the purposes of this Section 28 if the pledgee
shall establish to the satisfaction of the University the pledgee’s right to vote such 2016/2017
Bonds and that the pledgee is not the University.

Section 29. University Acquisition of 2016/2017 Bonds.

The University may acquire 2016/2017 Bonds by (a) purchase of 2016/2017 Bonds
offered to the University at any time and from time to time at such purchase price as the
University deems appropriate; or (b) gift at any time and from time to time on terms as the
University deems appropriate.

Section 30. Contract-Savings Clause.

The covenants contained in this resolution, the 2016/2017 Bonds and the provisions of
the Bond Act shall constitute a contract between the University and the Registered Owners of the
2016/2017 Bonds and shall be construed in accordance with and controlled by the laws of the
State. If any one or more of the covenants or agreements provided in this resolution to be
performed on the part of the University shall be declared by any court of competent jurisdiction
and final appeal, if any appeal be taken, to be contrary to law, then such covenant or covenants,
agreement or agreements shall be null and void and shall be deemed separable from the
remaining covenants and agreements in this resolution and shall in no way affect the validity of
the other provisions of this resolution or of the 2016/2017 Bonds.

Section 31. No Benefits to Outside Parties.

Nothing in this resolution, express or implied, is intended or shall be construed to confer
upon or to give to any person, other than the University, the Registrar, any Credit Facility Issuer,
any Liquidity Facility Issuer, or the Registered Owners of Bonds, any right, remedy or claim
under or by reason of this resolution; and the covenants, stipulations and agreements in this
resolution are and shall be for sole and exclusive benefit of the University, the Registrar, any
Credit Facility Issuer, the Liquidity Facility Issuer, and the Registered Owners of Bonds, their
successors and assigns.
Section 32. **Immediate Effect.**

This resolution shall take effect immediately upon its adoption.

ADOPTED at an open public meeting of the Board of Regents of the University, after notice thereof was duly and regularly given as required by law, this 14th day of July, 2016.

BOARD OF REGENTS, UNIVERSITY OF WASHINGTON

By ________________________________

Attest:

By ________________________________

Approved as to form:

______________________________
Stacey Crawshaw-Lewis
Special Assistant
Attorney General
State of Washington
### Exhibit A

#### Description of Refunding Candidates

<table>
<thead>
<tr>
<th>Issuer</th>
<th>Bond Name</th>
<th>Original Principal Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>State of WA</td>
<td>1992B General Obligation HE-UW</td>
<td>11,275,000</td>
</tr>
<tr>
<td>State of WA</td>
<td>1992B General Obligation UW</td>
<td>16,105,000</td>
</tr>
<tr>
<td>State of WA</td>
<td>1993B General Obligation HE-UW</td>
<td>7,965,000</td>
</tr>
<tr>
<td>State of WA</td>
<td>1998C General Obligation HE-UW (Harborview R&amp;T)</td>
<td>9,420,000</td>
</tr>
<tr>
<td>State of WA</td>
<td>1998C General Obligation HE-UW (Ocean Science Building)</td>
<td>8,935,000</td>
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<tr>
<td>State of WA</td>
<td>R-2007 General Obligation HE-UW (R-1997E)</td>
<td>710,000</td>
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<tr>
<td>State of WA</td>
<td>2010 Certificates of Participation 77 (R-1999 COP 24)</td>
<td>3,415,000</td>
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<tr>
<td>State of WA</td>
<td>2010 Certificates of Participation 78 (R-2001A COP 24b)</td>
<td>1,070,000</td>
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<tr>
<td>State of WA</td>
<td>R-2010A General Obligation HE-UW (R-1999A (R-1992A))</td>
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<tr>
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<td>R-2010A General Obligation HE-UW (R-1999B)</td>
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<tr>
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<td>R-2010A General Obligation UW (R-1999A (R-1992A))</td>
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<tr>
<td>State of WA</td>
<td>R-2010B General Obligation UW (R-2001C)</td>
<td>3,610,000</td>
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<tr>
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<td>2011 Certificates of Participation 89 (R-2002A COP 36)</td>
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<td>2011 Certificates of Participation 90 (R-2002E COP 40)</td>
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<tr>
<td>State of WA</td>
<td>2013 Certificates of Participation 93 (R-2003 COP 41)</td>
<td>1,990,000</td>
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<tr>
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<td>2013 Certificates of Participation 94 (R-2003 COP 42)</td>
<td>420,000</td>
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<tr>
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<td>R-2011A General Obligation UW (R-2002A)</td>
<td>25,925,000</td>
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<tr>
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<td>R-2011A General Obligation UW (R-2002B)</td>
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<tr>
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<td>R-2011B General Obligation UW (R-2002A)</td>
<td>6,010,000</td>
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<tr>
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<td>R-2012C General Obligation UW (R-2003D)</td>
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<td>R-2012C General Obligation UW (2004A)</td>
<td>4,400,000</td>
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<tr>
<td>State of WA</td>
<td>R-2012C General Obligation UW (2004D)</td>
<td>2,475,000</td>
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<tr>
<td>State of WA</td>
<td>R-2013C General Obligation HE-UW (R-2006A (R-1994A))</td>
<td>5,380,000</td>
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<tr>
<td>State of WA</td>
<td>R-2013C General Obligation UW (R-2006A (R-1994A-UW))</td>
<td>6,055,000</td>
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<tr>
<td>State of WA</td>
<td>R-2015E General Obligation HE-UW (R-2007 GO HE-UW (R-1997E))</td>
<td>260,000</td>
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<tr>
<td>State of WA</td>
<td>R-2016A General Obligation UW (R-2006A)</td>
<td>30,145,000</td>
</tr>
<tr>
<td>University</td>
<td>2006 UWT Bank of America Term Loan</td>
<td>3,100,000</td>
</tr>
<tr>
<td>University</td>
<td>2008 General Revenue Bonds</td>
<td>90,975,000</td>
</tr>
<tr>
<td>University</td>
<td>2009 General Revenue Bonds (Taxable Build America Bonds)</td>
<td>75,835,000</td>
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<tr>
<td>University</td>
<td>2009B General Revenue Bonds (Taxable Build America Bonds)</td>
<td>77,710,000</td>
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<tr>
<td>University</td>
<td>2010A General Revenue Bonds (Tax-Exempt)</td>
<td>20,265,000</td>
</tr>
<tr>
<td>University</td>
<td>2010B General Revenue Bonds (Taxable Build America Bonds)</td>
<td>144,740,000</td>
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<tr>
<td>University</td>
<td>2011A General Revenue Bonds</td>
<td>211,370,000</td>
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<td>2012A General Revenue Bonds (Tax-Exempt)</td>
<td>233,390,000</td>
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<td>University</td>
<td>2012B General Revenue Bonds (Taxable)</td>
<td>34,185,000</td>
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<td>University</td>
<td>2012C General Revenue Bonds</td>
<td>299,425,000</td>
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<td>University</td>
<td>2013 General Revenue Bonds</td>
<td>146,410,000</td>
</tr>
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<td>University</td>
<td>2015A General Revenue and Refunding Bonds (Taxable)</td>
<td>47,715,000</td>
</tr>
<tr>
<td></td>
<td>Description</td>
<td>Amount</td>
</tr>
<tr>
<td>----------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>--------------</td>
</tr>
<tr>
<td>University</td>
<td>2015B General Revenue Refunding Bonds</td>
<td>170,555,000</td>
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<tr>
<td>University</td>
<td>2015C General Revenue Bonds (Tax-Exempt)</td>
<td>159,160,000</td>
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<td>University</td>
<td>2015D General Revenue Bonds (Taxable)</td>
<td>36,350,000</td>
</tr>
<tr>
<td>University</td>
<td>FAST Loan - Genome Sciences Mass Spectrometer</td>
<td>500,000</td>
</tr>
<tr>
<td>University</td>
<td>FAST Loan - Suzzallo Library Renovation</td>
<td>1,000,000</td>
</tr>
<tr>
<td>University</td>
<td>FAST Loan - UW IT Server Replacement</td>
<td>5,197,324</td>
</tr>
<tr>
<td>University</td>
<td>FAST Loan - UWT- Pagni &amp; Lenti Building</td>
<td>500,000</td>
</tr>
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<td>University</td>
<td>FAST Loan – Pediatric Dentistry</td>
<td>1,362,960</td>
</tr>
<tr>
<td>WBRF 3</td>
<td>2010B Lease Revenue Bonds WBRF 3 – Build America Bonds</td>
<td>151,745,000</td>
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<tr>
<td>WEDFA</td>
<td>2013 Lease Revenue Refunding Bonds WBRP I</td>
<td>28,995,000</td>
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<td>WEDFA</td>
<td>2014A Lease Revenue Refunding Bonds WBRP II (R-2005E &amp; 2006J) (Tax-Exempt)</td>
<td>109,205,000</td>
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<tr>
<td>WEDFA</td>
<td>2015A Lease Revenue Bonds WBRP III (Tax-Exempt)</td>
<td>107,615,000</td>
</tr>
<tr>
<td>WEDFA</td>
<td>2015B Lease Revenue Bonds WBRP III (Taxable)</td>
<td>24,455,000</td>
</tr>
<tr>
<td>NW Hospital</td>
<td>4.60% Mortgage Note Payable (MAB Refunding)</td>
<td>4,700,000</td>
</tr>
<tr>
<td>NW Hospital</td>
<td>4.65% Mortgage Note Payable (OMC Refunding)</td>
<td>9,217,542</td>
</tr>
</tbody>
</table>
STANDING COMMITTEES

Finance and Asset Management Committee


For information only.

Attachment
UW Quarterly Investment Performance Report as of March 31, 2016
University of Washington
Quarterly Investment Performance Report
As of March 31, 2016

University of Washington Investment Management Company
Published June 2016
University of Washington
Quarterly Investment Performance Report
As of March 31, 2016

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UW Financial Assets Overview$\textsuperscript{1}$

As of March 31, 2016

($ in Millions)

Total Assets $4,882

---

$\textsuperscript{1}$ Assets whose management falls under the auspices of the Finance & Asset Management Committee of the Board of Regents, excluding Metro Tract and Forest Trust Lands.

$\textsuperscript{2}$ The Invested Funds Diversified Investment Pool holds units of the Consolidated Endowment Fund (CEF) valued at $732 million. To avoid double counting, the dollars are included only in the CEF total.

$\textsuperscript{3}$ Proceeds from sale of land grants and subsequent investment returns on deposit with the state of Washington.

$\textsuperscript{4}$ Capital Assets Pool (CAP) consists of UW internally financed projects.

$\textsuperscript{5}$ Bond Retirement Fund and Building Fund on deposit with the state of Washington.

$\textsuperscript{6}$ Debt service reserve funds and construction project funds which have not yet been disbursed.
### CEF Asset Allocation

**As of March 31, 2016**

*(\$ in Millions)*

**Total CEF $2,920**

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Current Allocation</th>
<th>Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Target</td>
</tr>
<tr>
<td>Emerging Markets Equity</td>
<td>$565</td>
<td>19%</td>
</tr>
<tr>
<td>Developed Markets Equity</td>
<td>1,068</td>
<td>37%</td>
</tr>
<tr>
<td>Private Equity</td>
<td>340</td>
<td>12%</td>
</tr>
<tr>
<td>Real Assets</td>
<td>172</td>
<td>6%</td>
</tr>
<tr>
<td>Opportunistic</td>
<td>59</td>
<td>2%</td>
</tr>
<tr>
<td><strong>Capital Appreciation</strong></td>
<td><strong>$2,204</strong></td>
<td><strong>75%</strong></td>
</tr>
<tr>
<td>Absolute Return</td>
<td>503</td>
<td>17%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td>214</td>
<td>7%</td>
</tr>
<tr>
<td><strong>Capital Preservation</strong></td>
<td><strong>$716</strong></td>
<td><strong>25%</strong></td>
</tr>
<tr>
<td>Consolidated Endowment Fund*</td>
<td><strong>$2,920</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

*Uncalled capital commitments: 13%

**Note:** Percentages may not sum due to rounding.
# CEF Performance Summary

## As of March 31, 2016

### Rolling Year Returns (%)

<table>
<thead>
<tr>
<th></th>
<th>1-Year</th>
<th>3-Year</th>
<th>5-Year</th>
<th>10-Year</th>
<th>20-Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEF Return</td>
<td>-2.4</td>
<td>6.2</td>
<td>6.2</td>
<td>5.3</td>
<td>8.4</td>
</tr>
<tr>
<td>Weighted Benchmark</td>
<td>-1.7</td>
<td>5.1</td>
<td>5.3</td>
<td>5.0</td>
<td>6.3</td>
</tr>
<tr>
<td>Capital Appreciation</td>
<td>-3.2</td>
<td>7.1</td>
<td>7.2</td>
<td>5.7</td>
<td>8.9</td>
</tr>
<tr>
<td>MSCI ACWI</td>
<td>-3.8</td>
<td>6.1</td>
<td>5.8</td>
<td>4.6</td>
<td>6.2</td>
</tr>
<tr>
<td>Capital Preservation</td>
<td>-0.5</td>
<td>3.7</td>
<td>3.5</td>
<td>3.4</td>
<td>6.3</td>
</tr>
<tr>
<td>BC Government Bond</td>
<td>2.4</td>
<td>2.1</td>
<td>3.4</td>
<td>4.5</td>
<td>5.3</td>
</tr>
</tbody>
</table>

### Fiscal Year\(^1\) Returns (%)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>CEF Return</td>
<td>6.8</td>
<td>15.8</td>
<td>13.5</td>
<td>-0.9</td>
<td>16.0</td>
</tr>
<tr>
<td>Weighted Benchmark</td>
<td>1.6</td>
<td>16.8</td>
<td>11.3</td>
<td>-1.3</td>
<td>21.8</td>
</tr>
<tr>
<td>Capital Appreciation</td>
<td>8.1</td>
<td>18.8</td>
<td>17.0</td>
<td>-1.9</td>
<td>21.5</td>
</tr>
<tr>
<td>MSCI ACWI</td>
<td>1.2</td>
<td>23.6</td>
<td>17.2</td>
<td>-6.0</td>
<td>30.8</td>
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<tr>
<td>Capital Preservation</td>
<td>2.7</td>
<td>8.0</td>
<td>5.9</td>
<td>1.2</td>
<td>3.6</td>
</tr>
<tr>
<td>BC Government Bond</td>
<td>2.3</td>
<td>2.1</td>
<td>-1.5</td>
<td>8.3</td>
<td>2.3</td>
</tr>
</tbody>
</table>

\(^1\) The University of Washington fiscal year runs from July 1st to June 30th

### Market Value and Distributions Over 20 Years ($ = Millions)

- University of Washington
- Cambridge Median

- 1 Year 1st Quartile
- 3 Year 1st Quartile
- 5 Year 2nd Quartile
- 10 Year 1st Quartile

- CEF Campus Distributions
- CEF Market Value

- $2.9B
- $4.4B

---

F-6.1/207-16
7/14/16
## CEF Performance Update

**As of March 31, 2016**

<table>
<thead>
<tr>
<th>CONSOLIDATED ENDOWMENT FUND</th>
<th>Quarter</th>
<th>FYTD</th>
<th>1-Year</th>
<th>3-Year</th>
<th>5-Year</th>
<th>10-Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>70% MSCI ACWI &amp; 30% BC Gov't Bond</td>
<td>-0.1</td>
<td>-3.9</td>
<td>-2.4</td>
<td>6.2</td>
<td>6.2</td>
<td>5.3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CAPITAL APPRECIATION</th>
<th>Quarter</th>
<th>FYTD</th>
<th>1-Year</th>
<th>3-Year</th>
<th>5-Year</th>
<th>10-Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>MSCI ACWI</td>
<td>0.4</td>
<td>-4.3</td>
<td>-3.8</td>
<td>6.1</td>
<td>5.8</td>
<td>4.6</td>
</tr>
<tr>
<td>Emerging Markets Equity</td>
<td>1.9</td>
<td>-9.1</td>
<td>-5.0</td>
<td>2.8</td>
<td>3.0</td>
<td>8.6</td>
</tr>
<tr>
<td>Developed Markets Equity</td>
<td>-1.3</td>
<td>-6.8</td>
<td>-6.3</td>
<td>6.7</td>
<td>7.5</td>
<td>4.4</td>
</tr>
<tr>
<td>Opportunistic (started 7/1/2010)</td>
<td>5.2</td>
<td>3.4</td>
<td>7.9</td>
<td>12.9</td>
<td>11.6</td>
<td>--</td>
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<tr>
<td>Subtotal</td>
<td>-0.1</td>
<td>-7.2</td>
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<td>5.8</td>
<td>6.2</td>
<td>--</td>
</tr>
<tr>
<td>MSCI ACWI</td>
<td>0.4</td>
<td>-4.3</td>
<td>-3.8</td>
<td>6.1</td>
<td>5.8</td>
<td>4.6</td>
</tr>
<tr>
<td>Private Equity&lt;sup&gt;1&lt;/sup&gt;</td>
<td>2.0</td>
<td>4.9</td>
<td>8.4</td>
<td>14.2</td>
<td>12.4</td>
<td>10.4</td>
</tr>
<tr>
<td>PE Benchmark&lt;sup&gt;1,2&lt;/sup&gt;</td>
<td>0.2</td>
<td>3.7</td>
<td>6.8</td>
<td>14.2</td>
<td>13.1</td>
<td>10.5</td>
</tr>
<tr>
<td>Real Assets&lt;sup&gt;1&lt;/sup&gt;</td>
<td>-1.7</td>
<td>-2.4</td>
<td>-2.0</td>
<td>7.1</td>
<td>7.1</td>
<td>2.4</td>
</tr>
<tr>
<td>RA Benchmark&lt;sup&gt;1,2&lt;/sup&gt;</td>
<td>-2.6</td>
<td>-3.7</td>
<td>-3.3</td>
<td>3.5</td>
<td>6.6</td>
<td>6.1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CAPITAL PRESERVATION</th>
<th>Quarter</th>
<th>FYTD</th>
<th>1-Year</th>
<th>3-Year</th>
<th>5-Year</th>
<th>10-Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>BC Government Bond</td>
<td>-0.8</td>
<td>-0.5</td>
<td>-0.5</td>
<td>3.7</td>
<td>3.5</td>
<td>3.4</td>
</tr>
<tr>
<td>Absolute Return</td>
<td>-1.7</td>
<td>-1.5</td>
<td>-1.5</td>
<td>4.6</td>
<td>4.7</td>
<td>5.4</td>
</tr>
<tr>
<td>Policy Benchmark&lt;sup&gt;2&lt;/sup&gt;</td>
<td>-2.0</td>
<td>-3.8</td>
<td>-3.5</td>
<td>2.0</td>
<td>1.7</td>
<td>3.2</td>
</tr>
<tr>
<td>Fixed Income</td>
<td>0.9</td>
<td>1.1</td>
<td>1.2</td>
<td>1.6</td>
<td>1.7</td>
<td>2.4</td>
</tr>
<tr>
<td>BC Government Bond</td>
<td>3.1</td>
<td>3.9</td>
<td>2.4</td>
<td>2.1</td>
<td>3.4</td>
<td>4.5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>MARKET INDICES</th>
<th>Quarter</th>
<th>FYTD</th>
<th>1-Year</th>
<th>3-Year</th>
<th>5-Year</th>
<th>10-Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>S&amp;P</td>
<td>1.3</td>
<td>1.5</td>
<td>1.8</td>
<td>11.8</td>
<td>11.6</td>
<td>7.0</td>
</tr>
<tr>
<td>Russell 2000</td>
<td>-1.5</td>
<td>-10.1</td>
<td>-9.8</td>
<td>6.8</td>
<td>7.2</td>
<td>5.3</td>
</tr>
<tr>
<td>MSCI EAFE</td>
<td>-2.9</td>
<td>-8.5</td>
<td>-7.8</td>
<td>2.7</td>
<td>2.8</td>
<td>2.3</td>
</tr>
<tr>
<td>MSCI EMF</td>
<td>5.8</td>
<td>-12.4</td>
<td>-11.7</td>
<td>-4.2</td>
<td>-3.8</td>
<td>3.3</td>
</tr>
<tr>
<td>BC High Yield</td>
<td>3.4</td>
<td>-3.7</td>
<td>-3.7</td>
<td>1.8</td>
<td>4.9</td>
<td>7.0</td>
</tr>
</tbody>
</table>

<sup>1</sup> Reported on a quarter lag  
<sup>2</sup> Preliminary
## CEF Activity and Campus Support

**As of March 31, 2016**

($ = Millions)

### CEF Activity

<table>
<thead>
<tr>
<th></th>
<th>FYTD 2016</th>
<th>FY 2015</th>
<th>FY 2014</th>
<th>3 Year</th>
<th>5 Year</th>
<th>10 Year</th>
<th>20 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Beginning Balance</strong></td>
<td>$3,076</td>
<td>$2,833</td>
<td>$2,347</td>
<td>$2,348</td>
<td>$2,143</td>
<td>$1,707</td>
<td>$518</td>
</tr>
<tr>
<td><strong>Gifts</strong></td>
<td>67</td>
<td>52</td>
<td>71</td>
<td>198</td>
<td>326</td>
<td>679</td>
<td>1,134</td>
</tr>
<tr>
<td><strong>Transfers</strong></td>
<td>20</td>
<td>8</td>
<td>7</td>
<td>36</td>
<td>49</td>
<td>88</td>
<td>180</td>
</tr>
<tr>
<td><strong>Operating Funds</strong></td>
<td>(15)</td>
<td>121</td>
<td>146</td>
<td>253</td>
<td>265</td>
<td>386</td>
<td>472</td>
</tr>
<tr>
<td><strong>Total Additions</strong></td>
<td>$72</td>
<td>$181</td>
<td>$224</td>
<td>$487</td>
<td>$641</td>
<td>$1,153</td>
<td>$1,786</td>
</tr>
<tr>
<td><strong>Net Investment Return</strong></td>
<td>(123)</td>
<td>194</td>
<td>379</td>
<td>467</td>
<td>732</td>
<td>1,133</td>
<td>2,169</td>
</tr>
<tr>
<td><strong>Distributions</strong></td>
<td>(84)</td>
<td>(105)</td>
<td>(94)</td>
<td>(305)</td>
<td>(476)</td>
<td>(860)</td>
<td>(1,275)</td>
</tr>
<tr>
<td><strong>Advancement Support</strong></td>
<td>(17)</td>
<td>(21)</td>
<td>(19)</td>
<td>(61)</td>
<td>(95)</td>
<td>(170)</td>
<td>(217)</td>
</tr>
<tr>
<td><strong>Administrative Fees</strong></td>
<td>(4)</td>
<td>(5)</td>
<td>(5)</td>
<td>(15)</td>
<td>(24)</td>
<td>(43)</td>
<td>(61)</td>
</tr>
<tr>
<td><strong>Ending Balance</strong></td>
<td>$2,920</td>
<td>$3,076</td>
<td>$2,833</td>
<td>$2,920</td>
<td>$2,920</td>
<td>$2,920</td>
<td>$2,920</td>
</tr>
</tbody>
</table>

### Campus Support from Investments

<table>
<thead>
<tr>
<th></th>
<th>FYTD 2016</th>
<th>FY 2015</th>
<th>FY 2014</th>
<th>3 Year</th>
<th>5 Year</th>
<th>10 Year</th>
<th>20 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CEF Distributions to Unit Holders</strong></td>
<td>84</td>
<td>105</td>
<td>94</td>
<td>305</td>
<td>476</td>
<td>860</td>
<td>1,275</td>
</tr>
<tr>
<td><strong>Advancement Support from CEF</strong></td>
<td>17</td>
<td>21</td>
<td>19</td>
<td>61</td>
<td>95</td>
<td>170</td>
<td>217</td>
</tr>
<tr>
<td><strong>Invested Funds Distributions</strong></td>
<td>0</td>
<td>34</td>
<td>36</td>
<td>108</td>
<td>194</td>
<td>419</td>
<td>891</td>
</tr>
<tr>
<td><strong>Total Campus Support</strong></td>
<td>$101</td>
<td>$160</td>
<td>$148</td>
<td>$474</td>
<td>$765</td>
<td>$1,449</td>
<td>$2,383</td>
</tr>
</tbody>
</table>

*Invested Funds Distributions are made annually in June.*
CEF Exposures
As of March 31, 2016

**Geographic Exposure**

- **North America**: 62%
- **EM Asia**: 13%
- **EM EMEA**: 4%
- **EM LatAm**: 4%
- **Japan**: 3%
- **Dev Europe & Middle East**: 11%
- **Dev Asia ex Japan**: 3%

*Foreign currency exposure: 34%.

**Exposure by Strategy**

- **2015**
  - Emerging Markets: PE, RA, Absolute Return, FI
  - Developed Markets: PE, RA, Absolute Return, FI

- **2014**
  - Emerging Markets: PE, RA, Absolute Return, FI
  - Developed Markets: PE, RA, Absolute Return, FI

- **2013**
  - Emerging Markets: PE, RA, Absolute Return, FI
  - Developed Markets: PE, RA, Absolute Return, FI

**Short-Term Liquidity as a % of CEF**

- **Weekly**: 20%
- **Monthly**: 39%
- **Quarterly**: 59%
- **1-Year**: 78%

**Equity Sector Exposure**

- **Healthcare**: 12%
- **Financials**: 16%
- **Information Technology**: 15%
- **Consumer Discretion**: 13%
- **Consumer Staples**: 11%
- **Utilities**: 2%
- **Energy**: 10%
- **Telecom**: 3%
- **Dev Asia ex Japan**: 3%
- **EM Asia**: 13%
- **EM EMEA**: 4%
- **EM LatAm**: 4%
- **Japan**: 3%
- **Dev Europe & Middle East**: 11%
- **Cash**: 3%

PE = Private Equity; RA = Real Assets; * = Opportunistic; FI = Fixed Income
### Invested Funds (IF) Portfolio Summary

**As of March 31, 2016**

#### Mix of Investments: IF Including CAP

<table>
<thead>
<tr>
<th>Mix of Investments</th>
<th>CEF Units</th>
<th>Mortgage Related</th>
<th>Cash</th>
<th>Asset Backed</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>IF Including CAP</td>
<td>31%</td>
<td>19%</td>
<td>7%</td>
<td>4%</td>
<td>3%</td>
</tr>
</tbody>
</table>

#### Returns (%)

<table>
<thead>
<tr>
<th>Fund Allocation By Pool</th>
<th>Fund Allocation MV (in millions)</th>
<th>Range</th>
<th>Duration (Years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash Pool</td>
<td>587</td>
<td>25%</td>
<td>0.6</td>
</tr>
<tr>
<td>Liquidity Pool</td>
<td>910</td>
<td>25%-60%</td>
<td>3.0</td>
</tr>
<tr>
<td>DIP</td>
<td>732</td>
<td>15%-45%</td>
<td>5.0</td>
</tr>
<tr>
<td>IF excluding CAP</td>
<td>2,230</td>
<td>95%</td>
<td></td>
</tr>
<tr>
<td>Capital Assets Pool</td>
<td>123</td>
<td>5%</td>
<td>0%-15%</td>
</tr>
<tr>
<td>Total Invested Funds</td>
<td>2,352</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

**Information Purposes Only**

1. Diversified Investment Pool (DIP) is designed to improve the risk profile and/or enhance the IF performance through investment in CEF units or other investment vehicles.

2. Capital Assets Pool consists of UW internally financed projects.

#### Growth of $10,000: Impact of Diversified Investment Pool (DIP)

<table>
<thead>
<tr>
<th>Growth of $10,000: Impact of Diversified Investment Pool (DIP)</th>
</tr>
</thead>
<tbody>
<tr>
<td>$10,000</td>
</tr>
<tr>
<td>March 06</td>
</tr>
</tbody>
</table>

1. DIP currently consists of CEF units and are included in the CEF market value.
2. Capital Assets Pool consists of UW internally financed projects.
CSE 2 Building Status

Hank Levy
Chair, Computer Science & Engineering
CSE is now the highest demand choice for incoming UW Students
Yearly workforce gap for jobs in computing is the highest in the state.
CSE2 High-Level Design is Complete
CSE2 High-Level Design is Complete
Fundraising is underway

• Microsoft President Brad Smith chairs our outstanding fundraising committee
• Project budget is $105M
• Right now we have ~$64M committed (~$45M in-hand)
  – $32.5M from State
  – $9M from UW
  – $10M from Microsoft
  – $10M from Amazon
  – $2.5M from other sources
• Now that site availability is assured, we are confident of our ability to secure the necessary additional commitments
  – We will undoubtedly need help with timing
• Target project schedule
  – Project approval: late this year or early next year
  – Construction start: start of 2017
  – Building occupancy: end of 2018
Thank you for your support!
Safety Update

This report is 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 focuses on the areas of employee, student and patient safety.

Six safety statistic are now routinely reported to the Board, including:

- Reports of student behavior involving Harm or threat of harm to another
- Students seeking advocacy services for the first time
- Safe Campus Reports
- "On the Job" accidents reports received
- Workers' compensation time loss claims received
- Central line infections in patients

This month, staff in each of these areas will be available to orient the Regents to the six monthly statistics, including why they are relevant and important to the University. Due to the timing of when data is available, actual statistic will be included in the "day of" packet.

In addition, the Board will also hear a comprehensive safety update from UW Medicine in their annual UW Medicine Board Patient Safety and Quality Report.
## SAFETY STATISTICS
### July 2016

<table>
<thead>
<tr>
<th>Type</th>
<th>Prior Year Totals</th>
<th>Calendar YTD</th>
<th>3 Month Rolling Average</th>
<th>Prior Month</th>
<th>% Change compared to average Increase/(decrease)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Student Safety</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reports of student behavior involving sexual misconduct&lt;sup&gt;1&lt;/sup&gt;</td>
<td>36</td>
<td>20</td>
<td>5</td>
<td>3</td>
<td>(40%)</td>
</tr>
<tr>
<td>Other reports of student behavior involving harm or threat of harm to another&lt;sup&gt;2&lt;/sup&gt;</td>
<td>21</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Employee Safety</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SafeCampus Reports&lt;sup&gt;3&lt;/sup&gt;</td>
<td>427</td>
<td>283</td>
<td>50</td>
<td>46</td>
<td>(8%)</td>
</tr>
<tr>
<td>Accident reports received&lt;sup&gt;4&lt;/sup&gt;</td>
<td>3,507</td>
<td>1,814</td>
<td>310</td>
<td>286</td>
<td>(8%)</td>
</tr>
<tr>
<td>Workers' Compensation time loss claims received&lt;sup&gt;5&lt;/sup&gt;</td>
<td>227</td>
<td>121</td>
<td>21</td>
<td>24</td>
<td>14%</td>
</tr>
<tr>
<td><strong>Patient Safety</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central line infections in patients&lt;sup&gt;6&lt;/sup&gt;</td>
<td>61</td>
<td>19</td>
<td>3</td>
<td>6</td>
<td>100%</td>
</tr>
</tbody>
</table>

1. A report of sexual misconduct may include allegations of sexual assault, domestic violence, relationship violence, sexual harassment, sexual exploitation, indecent exposure, or stalking.
2. These reports include allegations of physical harm or abuse or threat of physical harm or abuse.
3. SafeCampus acts as the central point of communication and the coordinating unit for violence mitigation activities across the UW. Detailed information is included in the attached report.
4. An on-the-job accident is a reported event sent to Environmental Health and Safety through an online accident reporting system from all employees at all campuses and from the clinic-based systems at the medical centers.
5. Workers’ compensation claim in which benefits for time lost from work were first paid during the current month.
6. There has been a 25% reduction in central line infections in calendar year 2016 through May compared to calendar year 2015; we did have a slight increase in May.
Incidents: This count is new incidents that were reported during the month. This count does not include ongoing case management on reports that were received in previous months.

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.

Level 1 Immediate Notification: (1)
Pertinent campus partners and departments are alerted immediately, VPAT is immediately convened when appropriate, and an action plan is produced.

Level 2 Standard Notification: (3)
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: (41)
The level of concern is sufficiently low that a VPAT is not needed; situation is responded to by SafeCampus and/or partner departments.

Level 4 Information or Material Provided: (1)
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.

Behaviors of Concern Breakout
Total 30 Incidents

- **Workplace Conduct**: 3 incidents
- **Unwanted Contact (Non-Relationship)**: 2 incidents
- **Suspicious Activity**: 4 incidents
- **Stalking Behavior**: 5 incidents
- **Stress in Personal/Academic Life**: 4 incidents
- **Personal Relationship**: 1 incident
- **Percieving Disgrace or Loss of Options**: 0 incidents
- **Overreaction to Situations**: 1 incident
- **Decline in Performance/Attendance**: 1 incident
- **Interpersonal Conflict (Non-Relationship)**: 1 incident
- **Cognition or Reality Perception Concerns**: 0 incidents
- **Blaming Others**: 0 incidents
- **Belligerence, Intimidation, Conflicts**: 5 incidents
- **Academic Conduct**: 3 incidents

Incidents involving Violence-Actual:
- (2) Personal Relationship
- (1) Unwanted Contact (Non-Relationship)
- (1) Suspicious Activity – Roommate conflict, multiple targets, stalking behavior
In 2015 SafeCampus became the UW’s designated central reporting point for concerns about suicide related behavior.

**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>0</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>Public (patient)</td>
<td>0</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Public (Personal Relationship)</td>
<td>0</td>
<td>0</td>
<td>4</td>
</tr>
<tr>
<td>Public (Previous UW Affiliation)</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>UW Faculty - Non Supervisor</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>UW Faculty - Supervisor</td>
<td>3</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>UW Graduate Student</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>UW Graduate Student Employee</td>
<td>1</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>UW Staff - Non Supervisor</td>
<td>12</td>
<td>10</td>
<td>9</td>
</tr>
<tr>
<td>UW Staff - Supervisor</td>
<td>21</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>UW Undergraduate Student</td>
<td>5</td>
<td>4</td>
<td>9</td>
</tr>
<tr>
<td>UW Undergraduate Student Employee</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>VPRP Partner</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
Approve 6-Year Prioritized Capital Plan and State Capital Budget Request

RECOMMENDED ACTION

This item was presented for information and discussion in June, with a request for approval in July.

BACKGROUND

Capital budgets are presented annually to the UW Board of Regents.

Attachments
1. Prioritized 6-year Capital Plan (2017-2023)
2. 2017-2019 State Capital Budget Request & 10 Year Capital Plan
### Prioritized 6-Year Capital Plan (2017-2023)

<table>
<thead>
<tr>
<th>Funding in $ Millions</th>
<th>Project Information</th>
<th>Previous Cap Plan</th>
<th>Project Funding</th>
<th>Previous Fund Split</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(State</td>
</tr>
<tr>
<td><strong>STUDENT EXPERIENCE</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 Classroom Improvements (multi-year plan)</td>
<td>$30          -</td>
<td>60,000           -</td>
<td>30</td>
<td>-</td>
</tr>
<tr>
<td>2 Population Health Education (T-Wing addition/renovation)</td>
<td>$94          203</td>
<td>120,000          120,000</td>
<td>1.5</td>
<td>60</td>
</tr>
<tr>
<td>3 College of Engineering - Interdisciplinary Education and Research</td>
<td>$150         13</td>
<td>200,000          50,000</td>
<td>0.9</td>
<td>50</td>
</tr>
<tr>
<td>4 UW Library Storage / Repurpose on-campus space</td>
<td>$15          -</td>
<td>35,000           13,000</td>
<td>0.2</td>
<td>-</td>
</tr>
<tr>
<td>5 Evans School - Parrington Hall Remodel</td>
<td>$20          20</td>
<td>59,000           -</td>
<td>-</td>
<td>10</td>
</tr>
<tr>
<td>6 Foster School of Business - MacKenzie Hall Replacement</td>
<td>$65          65</td>
<td>90,000           25,000</td>
<td>0.3</td>
<td>-</td>
</tr>
<tr>
<td>7 Schmitz Improvements</td>
<td>$15          -</td>
<td>42,000           -</td>
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<td>8 Student Housing - North Campus - Phase 4b</td>
<td>$140         140</td>
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<td>15 UW Tacoma Housing - private development</td>
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<td>n/a              n/a</td>
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**Lewis Hall Renovation** | **15** |
**College of the Environment - Anderson Hall Renovation** | **23** |
**School of Dentistry Building** | **156** |

**subtotals:** $798 $766

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<td>20</td>
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<td>22 School of Medicine - Core Research Facilities</td>
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<td>-</td>
<td>-</td>
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<td>23 School of Medicine - South Lake Union Rosen Remodel</td>
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<td>24 School of Medicine - South Lake Union Phase 3.3</td>
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**subtotals:** $1,078 $434

7/14/16

ATTACHMENT 1
### Prioritized 6-Year Capital Plan (2017-2023)

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<tr>
<th>Project</th>
<th>Funding in $ Millions</th>
<th>Project Information</th>
<th>Project Funding</th>
<th>Previous Fund Split</th>
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<td>Total GSF</td>
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<td>New O&amp;M</td>
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<td><strong>PUBLIC AS A PHILOSOPHY</strong></td>
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<td>25 Burke Museum</td>
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<td>27 West Campus Park</td>
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<td>28 Waterfront Improvements in South Campus &amp; the Cut</td>
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<td>29 Burke Gilman Trail Improvements - Phase 3</td>
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<td>30 University District Development at Transit - non-core functions</td>
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<td><strong>Northwest Hospital Expansion</strong></td>
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<td>33 Enterprise Information Systems (Financial System)</td>
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<td>35 Minor Capital Repair</td>
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<td>36 UW Seattle - Parking garage(s) - add1. 500 spaces</td>
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<td>38 UW Bothell - Parking garage</td>
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<td>39 Fuel Switching / Power Plant Upgrade</td>
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<td>40 Strategic Opportunities / Matching Funds</td>
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<td><strong>subtotals</strong>:</td>
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## 2017-2019 State Capital Budget Request and 10 Year Capital Plan

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<tr>
<th>Proposed Projects</th>
<th>Type</th>
<th>Funding in $ Thousands</th>
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<th>2019-2021</th>
<th>2021-2023</th>
<th>2023-2025</th>
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<td></td>
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<td>2 Burke Museum (under construction)</td>
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<td>3 Seismic Improvements (6 year plan - collapse prevention)</td>
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<td>4 Population Health Sciences - Research Building</td>
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<tr>
<td>5 Population Health - Education Building (T-Wing addition/renovation)</td>
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<td>8 UW Tacoma - Academic Building</td>
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<tr>
<td>9 Center for Advanced Materials and Clean Energy Technologies</td>
<td>Research</td>
<td>D/C</td>
<td>10,000</td>
<td>-</td>
<td>10,000</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<tr>
<td>10 UW Tacoma - Soil Remediation</td>
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<td>11 Evans School - Parrington Hall Remodel</td>
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<td>-</td>
<td>-</td>
<td>-</td>
<td>400</td>
<td>-</td>
<td>2,000</td>
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</table>

Totals: 106,000 69,000 155,400 69,000 93,900 69,000 52,600 69,000 24,100 69,000 777,000

* Acq = Acquisition, PD = Pre-development, D = Development, C = Construction

6 year total: 350,000
Report from the Office of Federal Relations

For information only.

Christy Gullion, Director of Federal Relations, serves as the chief DC advocate for the University of Washington. She has nearly two decades of experience working for a variety of federal, state, and local agencies, and was appointed director of federal relations for the UW in February 2009. Most recently, Christy served as director of federal relations for Washington2Advocates, a government affairs consulting firm, where she was responsible for managing lobbying strategies for multiple and diverse clientele (including the University of Washington), as well as building and maintaining successful relationships with members of Congress and their staff.

Prior to her work in the private sector, Christy served as northwest Washington director for U.S. Sen. Patty Murray, chief of staff to King County Council member Bob Ferguson and as a legislative analyst for U.S. Rep. Brian Baird.

Christy holds a bachelor’s degree (Education) from Central Washington University and an M.P.A. from The Evergreen State College.

The UW Office of Federal Relations is located in Washington, D.C., where the staff represents the university to both legislative and executive branches of the federal government, participates in a variety of national forums and advocates for UW interests. The office also serves as a portal for the federal establishment to the UW and as an access point for UW leadership to the D.C. establishment.

Through regular reports and visits with campus personnel, the office provides information about national trends, opportunities and policy developments.

Located on D.C.’s Capitol Hill, the office is a Husky harbor in the nation’s capital.

The director of the office is the university’s chief representative in the nation’s capitol to both the executive and legislative branches. The director also is a key member of the administrative team, advising the university president on legislative strategy and communicating to the university community about higher education issues in Washington, D.C.
BOARD OF REGENTS MEETING

UW Medicine Board Annual Patient Safety and Quality Report

INFORMATION

This item is for information only.

Attachments

1. UW Medicine Board Annual Patient Safety and Quality Committee Report to the UW Board of Regents, July 14, 2016
2. UW Medicine’s Patient Safety & Quality Committee
UW Medicine Board

Annual Patient Safety and Quality Committee

Report to the UW Board of Regents

July 14, 2016
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A. UW Medicine Patients Are First Goals and Targets Summary for FY 17
B. UW Medicine summary of Funded Projects in the Patient Safety Innovations Program (PSIP)
C. UW Medicine summary of Patient Safety & Quality Awards by UW Medicine entity
1. **Introduction**

The UW Medicine Board Patient Safety and Quality Committee is providing the fifth annual report to the UW Board of Regents to inform the Regents on the patient safety and quality improvement activities at UW Medicine.

2. **Governing Documents and Committee Charters**

*UW Medicine Coordinated Quality Improvement Program (CQIP)*

Quality improvement programs for hospitals in Washington are required as a matter of facility licensure (RCW 70.41.200). UW Medicine, which consists of hospital and non-hospital components, chose to formalize its program by creating and submitting a Coordinated Quality Improvement Program (CQIP) plan (RCW 43.70.510) to the Washington Department of Health. The CQIP plan provides a framework for UW Medicine’s joint quality improvement efforts and allows its non-hospital components to receive the same confidentiality protections as the hospitals under state law. The initial CQIP plan was approved on January 30, 2008, by the Department of Health. In addition to the over-arching UW Medicine CQIP plan, each UW Medicine hospital component has an individual CQIP plan to ensure that the coordinated quality improvement and malpractice prevention programs, and the medical staff peer review processes, of each continue to be appropriately organized, and enjoy all applicable privileges, immunities, and protections for quality improvement, malpractice prevention and peer review to the extent allowed by law.

Under the CQIP, the delivery of healthcare services to patients in all components of UW Medicine, as well as services delivered by UW Medicine affiliated providers at other institutions or locations, are subject to retrospective and prospective review for the purposes of: (a) improving the quality of care of patients and preventing medical malpractice; (b) assessing the competence of, and maintenance of relevant information concerning, individual physicians affiliated with UW Medicine; (c) resolving patient grievances; (d) developing information concerning negative outcomes and incidents, liability claims, settlements and awards, costs of insurance, and patient injury prevention; (e) delivering educational programs concerning quality improvement and patient safety, etc.; and (f) maintaining and improving policies to ensure these purposes are served.

By delegation from the Board of Regents and the President of the University, the CEO, UW Medicine, Executive Vice President for Medical Affairs and Dean of the School of Medicine, University of
Washington (CEO/EVPMA/Dean) exercises responsibility for overseeing, planning and coordinating the resources of UW Medicine, including its QI activities.

The UW Medicine Board Patient Safety and Quality Committee serves in an advisory role to the CEO/EVPMA/Dean with respect to QI activities of UW Medicine. The CEO/EVPMA/Dean has assigned responsibility for operation of the CQIP to the UW Medicine Patient Safety & Quality Executive Committee (PSQEC). This committee is responsible to the CEO/EVPMA/Dean for the leadership and coordination of the CQIP’s operations and delegates to other UW Medicine quality improvement committees as necessary to accomplish its work.

The UW Medicine quality improvement committees serve as forums to share system-wide standards and best practices from each site. The executive, clinical, and quality improvement leaders from Harborview Medical Center (HMC), Northwest Hospital and Medical Center (NWH), Valley Medical Center (VMC), University of Washington Medical Center (UWMC) and Seattle Cancer Center Alliance (SCCA), each of which have quality improvement plans and activities under RCW 70.41.200, participate as members of the PSQEC. The PSQEC also includes School of Medicine representation as members, including the Vice Dean for Clinical Affairs, Vice Dean for Graduate Medical Education, the President of UW Physicians, and three representative Chairs from the UW School of Medicine clinical departments who are responsible for conducting ongoing evaluations of the qualifications and competency of health care professionals in collaboration with the medical staffs of the hospitals where the faculty practice. The executive and clinical leaders of Airlift Northwest (ALNW), UW Neighborhood Clinics, and University of Washington Physicians (UWP) also participate as PSQEC committee members. The Associate Vice Provost for Compliance and Risk Services, the Director for Health Sciences and UW Medicine Risk Management & Manager, UW Medicine CQIP, and the Associate Dean for Clinical Affairs represent the University’s medical malpractice prevention activities of the CQIP on the committee.

Support for these quality improvement functions is provided by the Chief Health System Officer, UW Medicine/Vice President for Medical Affairs, University of Washington (CHSO/VPMA) and the Vice Dean for Clinical Affairs, University of Washington School of Medicine.

**UW Medicine Board Patient Safety & Quality Committee Charter**

The UW Medicine Board, which is comprised of community leaders appointed by the Board of Regents, advises the CEO, UW Medicine and Dean of the School of Medicine in strategic planning and oversight
of programs across UW Medicine. Through its Patient Safety and Quality Committee, the UW Medicine Board provides guidance and advice regarding patient safety and quality, including: review and evaluation of the patient safety and quality programs of UW Medicine; strategic planning and program development; risk assessment; analysis of emergent and ongoing system-wide patient safety and quality issues; analysis and advice on proactive risk mitigation plans for any patient safety and quality items that could result in patient harm or potential loss of public trust in UW Medicine; and resource allocation associated with UW Medicine patient safety and quality. In addition, the committee also periodically reviews the CQIP. For these purposes, the UW Medicine Board may receive documents and information generated, collected and maintained as a part of UW Medicine’s CQIP and, to that extent, functions as a quality improvement committee under WAC 246-50-020(1)(b).

**UW Medicine Patient Safety & Quality Executive Committee (PSQEC)**

The CEO/EVPMA/Dean has delegated operational authority for the coordinated quality improvement program to the UW Medicine Patient Safety & Quality Executive Committee (“PSQEC”) and appoints its members. The PSQEC’s purpose is to provide action-oriented collaboration, involving expansion of transparency, in support of quality improvement and patient safety efforts of UW Medicine components. It selects and evaluates performance with respect to UW Medicine quality measures and provides oversight for the development and coordinated implementation of action plans designed to improve quality and patient safety performance. It drives UW Medicine’s culture of safety and develops and executes patient safety and quality improvement strategic goals. This regularly constituted quality improvement committee selects and maintains patient safety and quality performance metrics, establishes UW Medicine benchmarking expectations, and actively collaborates with the quality improvement activities required for UW Medicine to lead its accountable care network (ACN) with robust shared quality improvement efforts as allowed by law (RCW 4.24.250, RCW 43.70.510(4) and RCW 70.41.200(8)). The PSQEC also reviews proposals, identifies opportunities and prioritizes the allocation of resources to advance patient safety and quality at the UW Medicine level and oversees the Patient Safety Innovations Program (PSIP). These activities serve to organize, coordinate and align Quality Improvement (QI) efforts among all UW Medicine components, University member and affiliated organizations, and approved sites of practice for UW Medicine healthcare professionals to ensure that quality of care is reviewed across all locations where University-affiliated healthcare professionals provide services.
The PSQEC delegates to the UW Medicine components (e.g., HMC, UWMC, NWH, VMC) the operational responsibilities for the management of QI program functions such as incident reporting, peer review and Morbidity & Mortality (M&M) processes as required by The Joint Commission (“TJC”), the Accreditation Association for Ambulatory Health Care, Inc. (“AAAHC”), or other accreditation bodies. This delegated authority includes the development of regularly constituted quality improvement committees for the review, analysis, and sharing of incident reports, quality improvement reports, and professional liability claims and litigation information for the purposes of education and medical malpractice prevention, quality improvement, patient safety, and revisions to policies as necessary. The PSQEC also authorizes the inclusion of research adverse event review for events that occur in conjunction with clinical services as within the scope of the CQIP.

The PSQEC may form sub-committees and task force workgroups to carry out the work of the committee. Any subcommittees formed at the direction of the PSQEC function as regularly constituted QI committees under WAC 246-50-020(1)(b).

3. Patients Are First Executive Steering Committee

The UW Medicine Patients Are First initiative operates under the leadership of the CHSO/VPMA as an organizational framework for delivering consistent service excellence to every patient, every time. In support of this initiative, UW Medicine has continued the engagement of the Studer Group, LLC, a national expert consultant group on implementing evidence-based practices that improve organizational performance. The framework includes the deployment of evidenced-based leadership tools and tactics across the health system to achieve goals related to quality, safety, patient experience and fiscal responsibility. Performance measurement of these established Pillar Goals are shared throughout the organization with all levels of staff. Through UW Medicine Patients Are First, UW Medicine is creating better leaders and improving consistency of clinical practices across the hospitals and clinics, refining our metrics to support systems of accountability, and providing staff, managers, physicians and leaders with the tools, tactics and reports to achieve our strategic outcomes.

UW Medicine Patients Are First is the framework by which UW Medicine strives to achieve the “Triple Aim” in health care. The Institute for Healthcare Improvement (IHI) Triple Aim is a model that describes an approach to optimizing health system performance. In order to achieve the triple aim, the IHI believes that new designs must be implemented to pursue three dimensions which include:

6
Improving the patient experience of care (including quality of care and satisfaction); 
Improving the health of the population; and
Reducing the per capita cost of health care

Nationally there is also recognition that care of the patient requires care of the health care team members. UW Medicine supports focused efforts to improve the work life of those who deliver care. UW Medicine’s Patients Are First has a foundational pillar that includes “Employer of Choice” goals and metrics for recruitment, retention and employee and physician satisfaction. Annual surveys are conducted for staff and physicians at each site. Findings from these surveys guide the annual work plan and goal setting process.

UW Medicine has established four “Pillars” as the foundation for building our UW Medicine Patients Are First culture.

- Focus on Serving the Patient and Family: serve all patients and family members with compassion, respect and excellence;
- Provide the Highest Quality Care: provide the highest quality, safest and most effective care to every patient, every time;
- Become the Employer of Choice: recruit and retain a competent, professional workforce focused on serving our patients and their families;
- Practice Fiscal Responsibility: ensure effective financial planning and the economic performance necessary to invest in strategies that improve the health of our patients.

A significant quality accomplishment occurred in 2016; all 4 hospitals received The Joint Commission (TJC) accreditation in Palliative Care. UW Medicine was the first health system in the country to achieve this accreditation in all of their hospitals. For the past three years maximizing Palliative Cares services has been a key UW Medicine strategic initiative. The achievement of this accreditation recognizes the high quality care delivered to patients at every phase of the care continuum. The Palliative Care Service was also recognized with the prestige’s Circle of Life Award from the American Hospital Association. The Circle of Life Award honors innovative palliative and end of life care programs that can serve as role models or inspiration for other providers.

Since launching the UW Medicine Patients are First initiative in 2010, significant improvements have been made in patient safety, quality and satisfaction over the past five years. Please see Appendix A for the
4. **Culture of Safety: Major Initiatives at UW Medicine**

The UW Medicine Board Quality and Safety Committee have expressed considerable interest in how the culture of safety is measured and promoted across the organization. In the annual work plan for the quality committee, the board has included specific agenda items with details of the culture of safety survey, openness to reporting medical errors, methods of ensuring accountability, and efforts to standardize expectations for culture change. With this directive, the UW Medicine Patient Safety & Quality Executive Committee works closely with its sub-committees, executive teams at UW Medicine entities, and the clinical quality and safety leadership to define key initiatives to demonstrate progress in the culture of safety and quality.

Culture of safety surveys have been distributed at each inpatient facility over the past several years. In the past, each entity has used slightly different surveys and sampling methods. This year, we accomplished the goal of standardization and used the same survey at each of the UW Medicine hospital entities and conducted the surveys simultaneously. The percentage of staff in 2016 who participated in the survey increased significantly to 74%. The percentage of staff that rated patient safety as very good or excellent ranged from 68% to 77% across the four hospitals. Staff felt our strengths revolved around their ability to speak up freely, collaborative teamwork and openness to discussing errors in order to prevent future events. Areas for greatest opportunity include handoffs and transitions and ensuring non-punitive responses to errors. These survey responses provide an excellent roadmap for ongoing attention and focus. These results have been shared with the UW Medicine Board Patient Safety and Quality Committee. All entities have initiated work plans to address their survey results. Two very important UW Medicine initiatives that directly address the culture of safety include our continued focus on use of the “Just Culture” framework and the role of TeamCORE and TeamSTEPPS in promoting highly effective inter-professional communication and teamwork.

**Just Culture**

Beginning in 2009, UW Medicine embarked on the journey to become a “Just Culture.” The UW Medicine “Just Culture” focuses on creating a learning culture, designing and implementing safety systems, and managing behavioral choices that promote and improve patient safety. The Just Culture approach emphasizes the importance of training and systems to support personal accountability and
incorporate self-regulation in safety matters. Physicians and staff are encouraged to provide essential safety-related information based on establishing a clear line between acceptable and unacceptable behavior.

**TeamCORE and TeamSTEPPS**

Team Strategies and Tools to Enhance Performance and Patient Safety (TeamSTEPPS) is an evidence-based teamwork system aimed at optimizing patient care by improving communication and teamwork skills among health care professionals, including frontline staff. It includes a comprehensive set of ready-to-use materials and a training curriculum to successfully integrate teamwork principles into a variety of settings.1

UW Medicine began deployment of (TeamSTEPPS) in 2008 to improve patient safety by improving communication and teamwork skills among its health professionals. UW Medicine is a national training site for TeamSTEPPS, with over 200 master trainers on staff. Over 2,500 UW Medicine faculty and staff have trained in TeamSTEPPS, including operating room, intensive care unit, emergency room and labor and delivery personnel. In addition, the UW Medicine leadership group was trained on Team STEPPS during a Leadership Development Institute (LDI) in 2015. Finally, since 2010, all incoming residents and fellows (over 200 per year) have been trained in TeamSTEPPS during orientation.

Working through the WWAMI Institute for Simulation in Healthcare (WISH), 2015 marked the 7th year as a regional training center for (TeamSTEPPS). During this time WISH has trained over 1000 master trainers from more than 90 local, national and international institutions. These master trainers take the fundamentals of TeamSTEPPS to their own hospital or clinic, and teach others communication strategies and skills.

WISH worked in collaboration with UW Organizational Development and Training (OD&T) to roll out a new team training model, Team Collaboration for Organizational Excellence (TeamCORE). TeamCORE expands beyond basic communication training to combine the fundamentals of TeamSTEPPS, UW Medicine Patients Are First principles, interprofessional collaborative practice, conflict resolution, and relational coordination with structured coaching and mentoring for ongoing success. Since 2014, Team CORE has worked with 19 different groups throughout UW Medicine, including the Emergency Department at Valley medical Center and the Child Birth Center at
Northwest Hospital. Other work at WISH includes an alliance between TeamCORE, OD&T, and UW Medicine PI/Transformation of Care team members to develop training for the opening of UW Medicine clinics across the system. Since 2014, Team CORE has been directly involved in the planning and opening of five new clinics based on a model the collaborative group (Team CORE, OD&T and PI) developed for the opening of the Eastside Surgical Specialties Center. The training applied simulation techniques to workflow and emergency simulations to train healthcare professionals and staff in the processes of self-rooming, hostile and collapsed patient response, and team communications strategies.

5. Standardization of Best Practices: Training and other clinical transformation programs

Over the past year, UW Medicine leadership has continued its focus on promoting standardization of best practices. Work in standardization can generally be grouped into two major categories. The first relates to the standardization of training and clinical skill and is best represented in the work being coordinated through the UW WWAMI Institute for Simulation in Healthcare (WISH). The second area of focus regards standardization of clinical practice, and is being led primarily through the Transformation of Care process. These are described as follows:

**WWAMI Institute for Simulation in Healthcare (WISH)**

Following the example of the aerospace industry training model that uses simulation for training and testing, UW Medicine has led the nation in the use of simulation technology training for healthcare. Since 2006, UW Medicine WISH has pioneered simulation training and retraining for health professionals to improve healthcare through increased patient safety. Within safe and realistic learning environments, WISH trains healthcare professionals to be effective, efficient clinicians and adept team communicators. Training occurs on sophisticated mannequins, through virtual electronic cases, and on machines that simulate clinical settings; all include metrics by which trainees’ skills and progress are measured. WISH facilities are located at UW Medical Center, Harborview Medical Center and Northwest Hospital & Medical Center. These centers also provided training for clinicians practicing at Airlift Northwest, Valley Medical Center and for the UW Neighborhood Clinics.

With expansion to these three facilities, UW Medicine has dramatically increased simulation training and has trainees participating from multiple specialties, including emergency medicine, neurological
surgery, orthopedics, otolaryngology, cardiology, cardiac surgery, vascular surgery, burn surgery and
nursing. WISH has been recognized by the Josiah Macy, Jr. Foundation in New York as a national leader
in using simulation for interprofessional team training of healthcare professionals.

As WISH continues to grow, they have recently embarked on a partnership with The Center for
Research in Education and Simulation Technologies (CREST). CREST engages in extensive research
and development projects and has been recognized nationally for its contribution to the advancement of
simulation in healthcare.

Chief Medical Officer

The Chief Medical Officer (CMO) position was created in December of 2015. In this newly created
role, the CMO provides executive leadership and strategic guidance for the integration of clinical
practice with education and research activities across all UW Medicine sites of practice. The CMO
in partnership with the Chief Health System Officer (CHSO) also has leadership responsibilities
for transforming clinical practice to achieve the national goals for healthcare reform known as the
Triple Aim: better patient experience, better health outcomes, and better value of care. The CMO
office is currently focused on three things.

The first is to assure the clinical care delivered at all sites of practice is as effective, efficient, and
high value as possible. The second is to support clinicians and the system at the intersection of
multiple roles in the fields of clinical care, research and education.

The third is transforming care delivery to meet the needs of our time.

Care Transformation Initiative Update

The care transformation agenda is designed to achieve the triple aim for our patients and includes
a focus on 6 areas:

- Providing the most effective, efficient and high value care-always - broader use of clinical
care and population pathways to reduce unwanted variability and make care more predictable.

- Serving populations as well as patients – providing tools and training to serve
populations while continuing to deliver excellent care to individual patients.

- Fully developing the medical home – tools, resources and integrated services to support primary care.
- Improving our use of data to direct care – point of care information about performance including information reported by the patient to guide decision making.
- Providing “healthy” care as well as “sick” care – by promoting wellness and preventive care.
- Supporting “smart” innovation – creating approaches to emerging drugs and technology that make sure they add value.

Engaging Leadership, Clinicians and Staff in Transformation

Engaged leadership, clinicians and staff are critical in supporting and sustaining our change efforts. As such, we are implementing numerous communication tools to raise awareness about the vision for care transformation and the reasons behind it. In the first three months of 2016, the office of the CMO presented on 15 occasions to UW Medicine leadership, clinicians, administrators and staff, and have issued 15 outreach emails with distribution to more than 13,200 UW Medicine employees. They have also broadcasted two video messages to initiate and continue the conversation about the challenges and opportunities facing UW Medicine, while asking employees to think about how they can help us succeed in the years ahead. You are invited to view the first three videos: Transformation of Care overview, Standardization and Population Health.

Clinical Practice Innovator Program

The Clinical Practice Innovators (CPI) Program will develop clinician leaders in transformation by providing training in accountable care strategies, change management and quality improvement fundamentals. Participants will take part in active learning sessions and engage in care transformation projects to accelerate UW Medicine’s transition to value-based healthcare delivery. In early 2016, we reached out to all UW Medicine clinicians and invited them to take part in the year-long training program. 320 clinicians from across UW Medicine self-identified or were nominated to take part in the program. We held the kick-off meeting in March and began the 12
month program in April. In June, our Clinical Practice Innovators (CPI) program submitted 80+ proposals for NEW projects to consider. These advances in our system help move us closer toward the transition from volume to value-based care.

**Patient Safety Innovations Program (PSIP)**

In 2008, UW Medicine embarked on a program to empower the creative potential of its faculty and front-line patient care providers and quality and safety experts. Recognizing that fostering and cultivating internally developed safety innovations could improve the care to our patients and also reduce risk management claims and expenses, UW Medicine Risk Management supported the launch of the PSIP through the awarding of grants funded by the Compliance and Risk Services through accumulated earnings on reserves in the self-insurance program. PSIP is helping to advance UW Medicine’s mission of improving the health of the public.

Since its launch, the PSIP program has had 3 rounds of funding and has supported 18 projects with grants totaling nearly $1,000,000. The grants have successfully focused faculty attention on patient safety as demonstrated by the fact that the program attracts at least twice as many applications as grants funded in each round. Many projects have had a lasting impact on quality/safety at UW Medicine, such as the Qmaster Reporting System for tracking Morbidity and Mortality Conferences in use in the Department of Surgery, an innovation to highlight critical test results, and a project completed by residents to improve patient problem list use and functionality. *Please see Appendix B for program details.*

6. **Performance Measurement and Local and National Benchmarking**

UW Medicine uses national and regional benchmarking tools to drive performance improvement. Leaders across UW Medicine monitor all such benchmarking reports as a way to gauge the success of our performance relative to other institutions. UW Medicine has a single mission; to improve the health of the public. In pursuit of this mission, UW Medicine has a large, comprehensive clinical care program, a large and diverse range of health professional education and training programs and one of the largest, most advanced biomedical research programs in the world.

For performance measurement and benchmarking, UW Medicine’s clinical programs are compared with other major academic medical centers, especially those performing a similar spectrum of clinical care. The
Vizient (formally known as the University Healthsystem Consortium or UHC) provides benchmarking data. Each year Vizient generates a national scorecard combining mortality, core measures, readmissions, harm events, efficiency and patient experience. Over the past 6 years, UW Medicine has shown substantial improvements relative to other academic health systems, with our primary academic institutions now performing in the top third nationally on most measures.

These data show outstanding progress relative to other leading academic institutions across the county. A new national scorecard for Ambulatory Care has also been launched which will allow us to benchmark in the areas of access to care, continuum of care, quality, efficiency, capacity management, throughput and equity. While our performance relative to national benchmarks generates substantial recognition, there are many options for medical care available to patients in our local region. Because UW Medicine competes with a wide range of outstanding medical programs in the Puget Sound area, it is essential that leaders at UW Medicine challenge our systems to be as efficient, patient-centered and high quality as any in the region.

Numerous comparative tools are available to assess overall quality and safety performance relative to State of Washington hospitals. Leapfrog and Centers for Medicaid & Medicare Services (CMS) are two of the leading national-scale web-based comparative reports readily available to the general public. At a regional level there are also three prominent publicly available comparative tools including the Washington State Hospital Association site, the Washington Health Alliance and the COAP/SCOAP collaborative programs. The combined efforts of UW Medicine hospitals as represented on these performance scorecards shows substantial improvements made over the past several years relative to other local institutions. In addition, the US News & World Report issues hospital rankings annually. In 2016, UWMC was listed once again ranked as the #1 hospital in the state of Washington. All four UW Medicine hospitals were listed in the top 15 metropolitan rankings of the US News & World Report best hospitals in the region.

To further improve the quality of patient care, UW Medicine supported the request by the American Hospital Association to take the Equity of Care Pledge. The AHA requested a call to action to ensure that every patient receives the highest quality of care by identifying and addressing health disparities. UW Medicine has worked diligently this past year to begin understanding how equity of care related to Race, Ethnicity and Language (REAL) is reflected in our own setting. We have standardized our processes across UW Medicine for collecting patient-reported REAL data. We have worked to develop our EPIC registration tables, trained over 1800 registration staff and developed tools in multiple languages to assist
patients in providing self-reported REAL information. We are now moving forward with the REAL data to explore equity as it relates to readmissions, patient experience and quality of care in our ambulatory setting.

7. Managing and Learning from Harm Events at UW Medicine

When witnessing or becoming aware of an unsafe condition, near miss, or harm event (adverse/sentinel event) health care professionals and staff across UW Medicine are expected as part of our coordinated quality improvement program to report these events to supervisory or management leadership using an electronic incident reporting tool. A fully-automated, electronic incident reporting system, Patient Safety Net (PSN), is in use by physicians and staff at Airlift Northwest (ALNW), Hall Health (HH), Harborview Medical Center (HMC), Northwest Hospital & Medical Center (NWH) and UW Neighborhood Clinics (UWNC). Valley Medical Center (VMC) uses an electronic incident reporting system called Quantrus.

Each clinical department also reviews harm events within the context of departmental Morbidity and Mortality (M&M) conferences. Under the guidance of PSQEC, a systematic review of the M&M process has been conducted across departments in order to identify best practices and further standardize the departmental case review process for the benefit of training and education as well as integration into UW Medicine entity QI processes. The PSQEC is launching a process improvement initiative to achieve these standardization objectives, to develop tools and resources to support the clinical departments in carrying out their M&M conference requirements, and to improve security of the sensitive information associated with these reviews.

UW Medicine quality, patient safety, and clinical risk management professionals collaborate to review incident reports on a daily basis. Incidents involving serious outcomes of care that may qualify as adverse or sentinel events and require further review via Root Cause Analysis (RCA) are identified and reported to senior leadership, including the Medical Director, Chief Nursing Officer, Director of Quality Improvement, and the Director of Risk Management. The Risk Management and Quality Improvement departments review incident reports and M&M case reviews for possible reportable or reviewable events and take immediate steps to investigate and mitigate situations involving patient harm, including consideration for healthcare professional well-being.

UW Medicine has adopted definitions set out by the following organizations:

- The Joint Commission (TJC): A Sentinel Event is a patient safety event (not primarily related to
the natural course of the patient’s illness or underlying condition) that reaches a patient and results in any of the following: death, permanent harm or sever temporary harm.

- State Department of Health (DOH): Per RCW 70.56.010, an Adverse Event is described as the list of 29 serious reportable events adopted by the National Quality Forum (NQF) in 2011. NQF has further stated that “adverse events are serious, largely preventable, and of concern to healthcare providers, consumers, and all stakeholders.”

All UW Medicine components review serious outcomes of care using a formal review process that invites participation by the health professionals involved in an adverse or serious event. The hospital components use a more formal process known as a Root Cause Analysis to determine what may have caused the event (e.g. human factors, communication errors, system design issues, and training/education). The review focuses primarily on systems and organizational processes, and identifies potential improvements in those processes or systems that would tend to decrease the likelihood of such events in the future. Significant lessons learned are then shared across UW Medicine through PSQEC and the UW Medicine Patient Safety & Quality Coordination Committee (PSQCC) as well as entity level Clinical Risk Management and Quality Committees. UW Medicine components also track patient complaints and grievances and incorporate this information in the medical staff reappointment processes.

UW Medicine has identified the diversion of controlled substances as an emerging risk to patient safety. For this reason, the PSQEC has authorized the development of a robust, enterprise-wide controlled Substance Drug Diversion Program for which it will provide oversight. The Chief health System Officer and the Chief Medical Officer are providing executive sponsorship to the development of this comprehensive program that will address the prevention, monitoring, investigation and reporting of controlled substance diversion. A task force has been appointed and is in the process off conducting a gap analysis. One of the first actions of the task force is to hire a drug diversion specialist to lead the program and to guide consistent investigation efforts.

8. Pay for Performance/Value-Based Purchasing

Value-Based Purchasing (VBP) and Pay for Performance (P4P) programs are now being applied to many health care payment calculations. In principle, an institution is rewarded or penalized based on a set of pre-defined quality and cost goals. Earliest versions of P4P, were loosely termed “Pay For Participation” which meant that an institution that fully participated in data collection and reporting was eligible for the full incentive payment from the payer (most notably Medicare). Such programs are now transitioning to be based on the actual performance relative to the quality and cost goals. Under the Affordable Care Act,
Medicare developed many programs across the care continuum that ties reimbursement to performance on cost and quality metrics. Some of these programs are considered “budget neutral” where, when compared to all providers nationally, there are providers that are rewarded for performance and others that are penalized. Other programs are penalty-only, and penalize for comparative performance on aspects of patient care such as excess readmissions or hospital-acquired conditions. Financial risk under these programs is cumulative and has increased over time.

The US Department of Health and Human Services (HHS) has set a goal of tying 90% of Medicare fee-for-service reimbursement to quality or value by the end of 2018. In addition, HHS has set a goal of tying 50% of traditional payments to quality or value via Accountable Care Organizations (ACOs) or bundled payments by 2018. Almost all other payers are following Medicare’s lead in transitioning to value-based payments. UW Medicine has a system wide Pay For Performance Committee to coordinate efforts. Work of the committee includes monitoring and reporting performance across UW Medicine, sharing and standardizing best practices across the Safety & Quality Coordination Committee (PSQCC) as well as entity level Clinical Risk Management and Quality committees.

9. Center for Scholarship in Patient Care Quality and Safety

The UW Medicine Center for Scholarship in Patient Care Quality and Safety supports collaborative scholarship to enhance the quality, safety, and value of care delivered at UW Medicine by leveraging the academic faculty, UW Medicine infrastructure, and longstanding interest in improving quality and safety for patients. The center’s goals are to stimulate innovative research and scholarship at UW Medicine around quality and safety, foster collaboration and discover innovative approaches to quality and safety, and to share and promote creativity. The center mentors and supports the study of existing UW Medicine quality and safety activities under the auspices of the PSQEC, co-directs the Certificate Program in Patient Safety and Quality in collaboration with Seattle Children’s, leads the operations of the Patient Safety Innovations Program (PSIP) on behalf of the PSQEC, and supports large scale grant applications related to quality and safety. The 8 month certificate program was launched in 2014 and provides participating UW Medicine faculty and staff with the foundational elements of patient safety. The skills gained during the program prepares participants to define and coordinate care that promotes quality and safety, keep the interests of the patient and family at the center of the care conversation, critically define and evaluation patient safety and quality improvement project outcomes, and to serve as change leaders to ensure rapid implementation of patient safety and quality interventions.

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10. Conclusion

UW Medicine’s mission is to improve the health of the public through outstanding patient care, education and research. The clinical care delivery system is well recognized for excellence due to its renowned faculty and staff. UW Medicine also attracts the best and brightest students and resident trainees from across the nation.

As an organization we continuously strive to improve and excel in patient safety and quality. This proactive attitude is at the heart of the culture that is evident across UW Medicine. With many resources available locally and nationally for comparative benchmarking, UW Medicine has been able to assess where we are in the top tier and where we have opportunities for improvement. This document has outlined the key drivers that are helping to transform the environment, culture and expectations in pursuit of the highest level of quality, safety and cost effective service for our patients.

UW Medicine is demonstrating rapid and consistent improvement throughout our clinical care delivery system. Physicians and staff are working with the common sense of purpose and recognize the satisfaction that comes with reaching shared goals. UW Medicine is committed to clinical excellence and strives to be the leader in quality, safety, satisfaction and cost effective care to fulfill our mission of improving health.
Focus on Serving the Patient/Family

Serve all patients and family members with compassion, respect and excellence.

Goal: Become a national leader in patient satisfaction for all patient populations as measured by:
- Improving UW Medicine patient satisfaction survey scores as follows:
  - Inpatient: ≥ 77.8% Top Box (78th percentile)
  - Ambulatory Clinics: ≥ 92% Top Box (no percentile rank available due to change in CAHPS tool)
  - Emergency Department: ≥ 85.5 Mean Score (48th percentile)

Goal: Improve patient access to primary and specialty care services across UW Medicine as measured by:
- Achieving the ≥ 63.6% Top Box (no percentile rank available due to change in CAHPS tool) in the CG CAHPS Access to Care composite score

Provide the Highest Quality Care

Provide the highest quality, safest and most effective care to every patient, every time.

Goal: Reduce morbidity and mortality, as measured by:
- A decrease in hospital acquired infections as follows:
  - CA-UTI to ≤ 1.24/1000 catheter-days
  - CLABSI to ≤ 0.54/1000 catheter-days
  - C-Difficile to ≤ 0.73/1000 patient days
- A decrease in Patient Safety Indicator composite score to ≤ 1.71/1000 eligible patients

Goal: Create systems that provide for delivery of evidence based, high quality, and timely care for every patient, as measured by:
- An increase in the disease management composite score to ≥ 74.8%, by increasing the percentage of patients with hemoglobinA1c at or below 9.0%
- Increasing percentage of retinal exams and increasing the percentage of diabetic and hypertensive patients with blood pressure below 140/90mmHg
- An increase in breast, cervical and colon cancer screening rates; and pneumococcal pneumonia and pediatric vaccination rates to a comp to a composite score of ≥ 78.7%

Become the Employer of Choice

Recruit and retain a competent, professional workforce focused on serving our patients and their families.

Goal: Become a national leader in clinician and employee satisfaction, focused on serving patients and their families via a proud and loyal workforce, as measured by:
- An overall satisfaction rate of ≥ 79.5% for clinicians with the clinical portion of their UW Medicine activities
- An improvement in overall employee engagement of ≥ 2.0% as measured by the annual employee engagement survey

Practice Fiscal Responsibility

Ensure effective financial planning and the economic performance necessary to invest in strategies that improve the health of our patients.

Goal: Effectively manage UW Medicine finances to ensure resource availability for patient-centered initiatives, services, and facilities, as measured by:
- Achieve a total margin of ≥ 1.5% for the fiscal year
HOW CAN UW MEDICINE IMPROVE PATIENT SAFETY?
We Believe Our Faculty and Staff Have the Answers.

The Patient Safety Innovations Program

In 2008, the University of Washington sought to unleash the creative potential of its faculty and frontline operational quality and safety experts. Recognizing that fostering and spreading internally developed safety innovations could reduce claims and expenses, UW Medicine and the Office of Risk Management supported the launch of the Patient Safety Innovations Program (PSIP). This groundbreaking grants program is funded by the Office of Risk Management through accumulated earnings on reserves in its self-insurance program. PSIP is helping to advance UW Medicine’s mission of improving the health of the public.

Leveraging the Experience and Creativity of Clinicians

The Patient Safety Innovations Program (PSIP) is a pioneering grant program to improve patient safety and quality of care.

At UW Medicine, frontline clinicians strive to consistently provide safe, high-quality care to patients. Working at ground level, they see opportunities every day to achieve safety goals and better quality care. We’re convinced they also have solutions. PSIP is a pioneering grant program that empowers UW Medicine faculty to explore new approaches to improving safety and quality of care. Through $50,000 18-month grants, clinicians and researchers are now devising, testing and bringing their ideas to light.
PSIP projects unite clinical knowledge with research rigor to test innovative ideas. PSIP is designed to promote collaboration between frontline quality and safety experts and experienced researchers. Clinicians working on the ground use their knowledge and perspective to identify and implement critical quality and safety improvement projects. Researchers determine how best to design projects and evaluate their efficacy and impact. By supporting their rigorous research pilots, we’re elevating effective and novel approaches to patient safety that can benefit the whole UW Medicine system.

PSIP grants come with the support to succeed. PSIP is committed to creating a return on the investment of funds. We provide ongoing technical assistance and academic support to our grantees. The clinician-researcher teams have access to clinical leaders for support in overcoming logistical barriers and achieving their project goals. The most promising projects receive guidance on identifying other sources of ongoing funding.

Transforming Care at UW Medicine and Beyond

Supporting innovation is at the heart of the program. Most institutions have an eye toward improving patient safety and care quality, yet the field still has a long way to go. UW Medicine leaders recognized the need to push the boundaries and seek out more inventive approaches. PSIP projects are selected for their forward-looking thinking and potential to shape healthcare quality and safety solutions of the future. Many look at new and creative ways of promoting behavior changes clinicians know work but are challenging to put into practice.

The benefits of PSIP projects are far reaching. By sharing and disseminating project innovations, PSIP will enhance UW Medicine’s internal performance and can influence healthcare nationwide. Clinicians and fellow medical staff will advance their knowledge and ability to provide the safest, highest quality patient care. The academic and institutional practice of patient safety will be strengthened. Patients will experience safer, higher quality and more satisfying healthcare. Medico-legal expenses may be reduced. The discoveries of our world-class faculty can be exchanged with institutions nationwide, improving healthcare for everyone.
Promising Pilot Projects Examples

PSIP projects are helping UW Medicine fulfill its commitment to improving the health of the public and providing the highest quality care possible to its patients.

Highlighted Radiology Critical Results in UW Medicine EMR Systems

Clinicians are overloaded with healthcare information in our Electronic Medical Record (EMRs). Identifying the most critical results can be challenging. Sometimes unexpected test results that do not require immediate attention are overlooked, compromising patient safety. This project aimed to create a system that would highlight radiology reports with critical results in our EMRs to ensure that vital patient care information is acted upon. Through modification of GE-RIS results interface and ORCA/Epic, electronic radiology reports now have a mechanism to highlight critical results to clinicians, thereby improving patient safety and facilitating greater communication between physicians and patients. It has been implemented at the University of Washington Medical Center, Harborview Medical Center and the Seattle Cancer Care Alliance.

This project is being converged with a related project exploring natural language processing of critical recommendations in radiology reports, and has led to further research and funding applications related to the automated identification of important radiology findings.

Principal Investigator:
Martin Gunn, MBChB, FRANZCR
Assistant Professor, Radiology

Co-Investigators:
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Medical Director, IT Services

Meliha Yetisgen-Yildiz, PhD
Assistant Professor, Department of Biomedical and Health Informatics

Collaborator:
Peter Ghavami
Director of Informatics, Patient Care Services, Harborview Medical Center
Using an Institutional M&M Tool to Standardize the Quality Improvement Process

Great attention is given to patient safety and quality improvement, yet tools for tracking data and tagging cases where patient safety and quality are a concern are lacking. This project aims to create an IT product connecting EMRs with a database tracking Morbidity & Mortality and Quality Improvement (QI) information about patient care at the University of Washington Medical Center and Harborview Medical Center. This tool will help providers “export” patient data directly from the EMR into a QI discussion list customized for their care team, section or division. QI meetings will use the secure database, through an intuitive web-based interface, to review, discuss, score and refer patient events, errors or near misses.

Principal Investigators:
Lisa McIntyre, MD
Department of Surgery

Erik Van Eaton, MD
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Learn More about PSIP Projects and Opportunities
Contact us directly to learn more about the program, PSIP-funded projects and grant opportunities: psip@uw.edu

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(Co-Chairs: Tom Staiger, MD, and Rick Goss, MD)

UW Medicine Quality & Safety Coordination Committee
(Co-Chairs: Anneliese Schleyer, MD and Christopher Kim, MD)
PATIENT SAFETY INNOVATIONS PROGRAM

Funded Research Projects: Round 3

Accomplishments to date (June 2016)

We are pleased to share with you the accomplishments to date of the current PSIP projects. These projects have reached the one year mark of their 18-month duration and have been successful in many areas that align with the operational needs of UW Medicine.

OPAT Bundle: Improving patient safety and quality of care for patients on outpatient parenteral antimicrobial therapy

Principal Investigator: Shireesha Dhanireddy, MD

Utilizing the informatics consulting services of the Institute for Translational Health Services (ITHS) and REDCap, a data collection tool, we created an application and associated workflow for OPAT to:
1) Capture patients for whom an IV line was ordered and appropriate for OPAT, 2) Manage patients using REDCap and UW Clinical Data Repository to collect clinical patient information from the electronic health record (EHR), 3) Enter outside lab results manually into REDCap, 4) Produce formatted text reports for the EHR, and 5) Track rates of treatment completion, readmissions, and adverse events.

Innovative Safety Program for Tracheotomy Management

Principal Investigator: Maya Sardesai, MD

Tracheotomy is among the most commonly performed procedures in critically ill patients and has significant advantages over prolonged intubation. Unfortunately, short- and long-term complications can be common, and many are felt to be associated with tracheotomy care and potentially avoidable. There is tremendous variation in tracheotomy care training between providers and institutions. We performed an initial environmental scan of tracheotomy care training practices through discussion with experts, and needs assessment through survey of patients and providers at UWMC and HMC. Based on the findings and published best practices, and in collaboration with WISH, we have created tracheotomy care training programs involving electronic modules and simulation exercises for providers, patients, and their care-givers at UWMC and at HMC.
PATIENT SAFETY INNOVATIONS PROGRAM

Funded Research Projects: Round 3

Standardized Verbal Hand-off in the ICU: Decreasing Patient Care Errors through Communication Optimization
PI: Patricia Kritek, MD

UW-IPASS is a standardized handoff curriculum which was implemented in all ICUs at Harborview and UW this past year. All ICU providers are now using this format for patient handoffs, and are using the customized CORES tool, which has been integrated into the electronic medical record. Data from the project indicate that UW-IPASS increases provider preparedness and decreases miscommunication.

mPOWEr: Piloting a Mobile Health App for Post-Discharge Surgical Site Monitoring
PI: Heather Evans, MD

Since November 2015, 54 patients from the Center for Reconstructive Surgery at UWMC have registered to use mPOWEr on their own mobile devices to track their surgical wounds after discharge from the hospital. We are most proud that we were able to demonstrate in this proof of concept that mPOWEr can contribute to personalized surgical follow up care. Two patients identified early surgical site infections and received antibiotic therapy as outpatients, avoiding emergency room visits or readmissions. Based on the feedback and data collected from our patient and provider users in this pilot, we are prepared to launch in two additional UW Medicine surgical clinics this summer.
Haborview Medical Center Quality Awards  
2012-2016

2016
The Joint Commission Accreditation for Palliative Care

American Heart Association: “Get With The Guidelines” Stroke Gold Plus Award/Target Stroke Elite Plus


Practice Greenhealth: Top 25 Environmental Excellence Award

U.S. Centers for Disease Control and Prevention (CDC): Healthcare-Associated Venous Thromboembolism Prevention Champion

Washington State Department of Health: Antimicrobial Stewardship Honor Roll

2015
American Association of Critical Care Nurses: Beacon Gold Award for Medical Cardiac Intensive Care Unit

America’s Essential Hospitals: Gage Award Remarkable Project for Integrating Medical and Mental Healthcare for Homeless Populations

American Heart Association: 2015 Stroke Honor Roll and Stroke Gold Plus

Becker’s Hospital Review: 50 of the Greenest Hospitals in America

Leapfrog Group: “A” for Hospital Safety (Spring 2015)


Qualis Health: Award of Excellence in Healthcare Quality: “An Enterprise Approach to Evidence-based Performance Improvement for Central Venous Catheter (CVC) Associated Complications” (UW Medicine Hospitals)

U.S. News & World Report – Best Hospitals: No. 6 in Seattle Metro and No. 11 in Washington

2014
America’s Essential Hospitals: Gage Award Remarkable Project for Multidisciplinary Venous Thromboembolism (VTE) Task Force Utilizes Q1 Analytics to Reduce In-Hospital VTE Events: Bringing Safety and Quality Improvement to the Bedside
Leapfrog Group: “A” Hospital Safety (spring and fall reporting periods)

Qualis Health: Award of Excellence in Healthcare Quality for Fast Track for Burn Care

UHC Quality and Accountability Scorecard: 4-star rating for quality care and patient safety

U.S. News & World Report – Best Hospitals: No. 3 in Seattle Metro and No. 4 in Washington

2013

American College of Surgeons: Trauma Quality Improvement Program, Top Decile Ranking for U.S. Trauma Centers

Joint Commission: Top Performer on Key Quality Measures and Advanced Comprehensive Stroke Center Certification

Leapfrog Group: “A” Grade for Hospital Safety

Practice Greenhealth: Environmental Leadership Award

Qualis Health: Award of Excellence in Healthcare Quality for Emergency Department High Utilizer Program: Case Management to Improve Care, Outcomes, and Cost

Seattle Business Leaders in Healthcare: Community Outreach Award for Pioneer Square Clinic

UHC Quality and Accountability Study: 4-star rating for quality care and patient safety

U.S. News & World Report: Seattle Metro Area Ranking, No. 3

Washington State Hospital Association: Community Health Leadership Award for Edward Thomas House Expanded Medical Respite Program (with UW Medical Center and other local partners)

2012

Blue Cross Blue Shield: Distinction Center for Spine Surgery

Critical Care Nursing Quarterly, July/September 2012: “Innovations in ICU Management” (Special issue focused on nursing excellence at Harborview)

Practice Greenhealth: Partner for Change with Distinction Award (Environmental Stewardship)

Qualis Health: Award of Excellence in Healthcare Quality for Three-Part Aim (Mental Health Integration Project) and Innovation (Serial Patient Screening for Infection Source)

UHC Quality and Accountability Study: 4-star rating for quality care and patient safety

U.S. Department of Health & Human Resources: Gold Medal of Honor for improvement of organ donation

U.S. News & World Report: Seattle Metro Area Ranking, No. 2
University of Washington Medical Center Quality Awards

2012-2016

2016
The Joint Commission Accreditation for Palliative Care

Excellence in Patient Care Award for Discharge Information, StuderGroup

Healthgrades:
- America’s 100 Best Hospitals for Prostate Surgery Award
- Cardiac Surgery Excellence Award
- Outstanding Patient Experience Award


Joint Commission: Certification for Advanced Palliative Care

Leapfrog Group: “A” for Hospital Safety (Spring 2016)

Practice Greenhealth: Top 25 Environmental Excellence Award

Washington State Department of Health: Antimicrobial Stewardship Honor Roll

Women’s Choice Award: Best Hospitals for Bariatric Surgery, Cancer Care, Obstetrics and Patient Experience

2015
Becker’s Hospital Review: 100 Great Hospitals in America

Becker’s Hospital Review: 50 of the Greenest Hospitals in America

Healthgrades:
- America’s 100 Best Hospitals for Prostate Surgery Award
- Cranial Neurosurgery Excellence Award
- Outstanding Patient Experience Award

Qualis Health: Award of Excellence in Healthcare Quality: “An Enterprise Approach to Evidence-based Performance Improvement for Central Venous Catheter (CVC) Associated Complications” (UW Medicine Hospitals)

U.S. News & World Report – Best Hospitals: No. 1 in Washington; No. 1 in Seattle Metro;
- No. 4 Ranking Nationally in Rehabilitation (joint program at Harborview)
• No. 5  Ranking Nationally in Cancer (provided through the Seattle Cancer Care Alliance of UW Medicine, Fred Hutchinson Cancer Research Center and Seattle Children’s)

U.S. News & World Report – Best Hospitals for Patients Who Need Common Care: High Performing in Heart Bypass Surgery and High Performing in Knee Replacement

Washington State Department of Health: Neonatal Intensive Care Unit – Level IV (highest level)

Washington State Department of Health and Washington State Hospital Association: Breastfeeding Friendly Washington Hospital – Gold Level

2014
American Nurses Credentialing Center: Magnet Recognition Award for Excellence in Nursing Service (first hospital to receive this designation in 1994 and first in world to receive it six times)

Avatar: Exceeding Patient Expectations Award

Healthgrades:
• America’s 100 Best Hospitals for Prostate Surgery Award
• Cranial Neurosurgery Excellence Award
• Outstanding Patient Experience Award

Joint Commission: Top Performer on Key Quality Measures

UHC Quality and Accountability Performance Scorecard: 4-star rating for quality care and patient safety

U.S. News & World Report – Best Hospitals: No. 1 in Washington; No. 1 in Seattle Metro; and No. 11 in nation.
• No. 4  Ranking Nationally in Rehabilitation (joint program at Harborview)
• No. 6  Ranking Nationally in Adult Cancer
• No. 10 Ranking Nationally in Diabetes & Endocrinology
• No. 12 Ranking Nationally in Nephrology

2013
Aetna: Institute of Quality in Cardiac Care, Cardiac Surgery, Cardiac Medical Intervention, Cardiac Rhythm Disorder and Orthopedic Care

Joint Commission: Top Performer on Key Quality Measures

Practice Greenhealth: Environmental Leadership Circle Award

UHC Quality and Accountability Performance Scorecard: 4-star rating for quality care and patient safety

UW Medicine Transplant Teams: 6,000th Transplant

Washington State Hospital Association: Community Health Leadership Award for Edward Thomas House Expansion (and other local partners)

**2012**

Healthcare Equality Index: Leaders in LGBT Healthcare Equality

Joint Commission: Top Performer on Key Quality Measures

Practice Greenhealth: Environmental Leadership Circle Award

UHC Quality and Accountability Performance Scorecard: 3-star rating for quality care and patient safety

U.S. Health and Human Services: Health Research Services Award, Heart, Liver & Kidney Transplant Services Bronze Level Awards

Northwest Hospital & Medical Center Quality Awards
2012 - 2016

2016
The Joint Commission Accreditation for Palliative Care

American Heart/American Stroke Association: “Get With the Guidelines” Gold Plus Award/Target Stroke Honor Role Elite Plus

HealthGrades:
- America’s 100 Best Hospitals for Stroke Care Award
- Five Star Rated – Stroke Care
- Patient Safety Excellence Award
- Pulmonary Care Excellence Award
- Stroke Care Excellence Award


Joint Commission: Primary Stroke Center and Gold Seal

Washington State Department of Health: Antimicrobial Stewardship Honor Roll

2015
American Heart Association: “Cardiac Care” Silver Plus Award

American Heart/American Stroke Association: “Get With the Guidelines” Silver Plus Award

HealthGrades:
- America’s 100 Best Hospitals for Stroke Care Award
- Neurosciences Excellence Award

Qualis Health: Award of Excellence in Healthcare Quality: “An Enterprise Approach to Evidence-based Performance Improvement for Central Venous Catheter (CVC) Associated Complications” (UW Medicine Hospitals)

U.S. News & World Report – Best Hospitals for Patients Who Need Common Care: High Performing in Heart Failure

2014
American Heart/American Stroke Association: “Get With the Guidelines” Silver Plus Award
HealthGrades:
- America’s 100 Best Hospitals for Stroke Care Award
- Gynecologic Surgery Excellence Award
- Neurosciences Excellence Award
- Neurosurgery Excellence Award
- Stroke Care Excellence Award

Joint Commission – Top Performer on Key Quality Measures: Hospital and Primary Stroke Center Gold Seal

Leapfrog Group: “A” for Hospital Safety (spring reporting period)

U.S. News & World Report – Best Hospitals: No. 5 in Seattle Metro and No. 7 in Washington

Washington State Hospital Association: Achieving Best Care Award

2013
Aetna: Institute of Quality for Spine and Total Joint Replacement

American Heart /American Stroke Association: “Get With the Guidelines” Gold Plus Award

American Heart Association: “Mission: Lifeline” Bronze Award

Cigna: Center of Excellence

Commission on Cancer Accreditation with Commendation (7th Accreditation)

HealthGrades: Critical Care Excellence Award; Patient Safety Excellence Award; Spine Surgery Excellence Award; and Stroke Care Excellence Award

Joint Commission: Primary Stroke Center Gold Seal

Leapfrog Group: “A” for Hospital Safety (spring and fall reporting periods)

Premera and Regence: Blue Distinction Center+ and Blue Distinction “Total Value” designation for Spine Surgery, Knee and Hip Replacement

2012
American Heart /American Stroke Association: “Get With the Guidelines” Gold Plus Award

Consumer Reports – Top Hospitals Rankings: No. 6 in Washington and No. 5 in Western Washington

HealthGrades: Distinguished Hospital Award for Clinical Excellence; Emergency Medicine Excellence Award; Patient Safety Excellence Award; Spine Surgery Excellence Award; and Stroke Care Excellence Award

Joint Commission: Primary Stroke Center Gold Seal

Leapfrog Group: “A” for Hospital Safety (spring and fall reporting periods)
Valley Medical Center Quality Awards
2012 - 2016

2016
The Joint Commission Accreditation for Palliative Care

BlueCross BlueShield Association: Blue Distinction Center in Knee and Hip Replacement, Maternity Care, and Spine Surgery

Healthcare Information Management Systems Society: Stage 7 Award


Joint Commission: Advanced Certification Program for Palliative Care

LifeCenter Northwest: Organ Donation Achievement Award

2015
American Stroke Association: “Get With The Guidelines” Gold Plus Performance Achievement Award and Target Stroke Honor Roll Elite Plus

Leapfrog Group: “A” for Hospital Safety (Fall 2015)

National Committee for Quality Assurance: Patient-Centered Medical Home Recognition for Valley Medical Center Clinics

Qualis Health: Award of Excellence in Healthcare Quality: “An Enterprise Approach to Evidence-based Performance Improvement for Central Venous Catheter (CVC) Associated Complications” (UW Medicine Hospitals)

U.S. News & World Report – Best Hospitals: No. 4 in Seattle Metro and No. 6 in Washington

U.S. News & World Report – Best Hospitals for Patients Who Need Common Care: High Performing in Chronic Obstructive Pulmonary Disease (COPD), High Performing in Hip Replacement, and High Performing in Knee Replacement

2014
American Heart Association: “Get With The Guidelines” Gold Performance Achievement Award for Heart Failure and Gold Fit Friendly Workplace Award Winner

American Stroke Association: “Get With The Guidelines” Gold Plus Performance Achievement Award and Target Stroke Honor Roll
Centers for Medicare and Medicaid Services: Best Hospital for Joint Replacement (Medicare)

Commission on Cancer: Three-Year Accreditation with Commendation for Community Hospital Comprehensive Cancer Program.

Healthcare Equity Index: Leader in LGBT Healthcare Equality

HealthGrades (Note: Valley is not currently licensed to advertise HealthGrades awards):
- Distinguished Hospital Award for Clinical Excellence

HealthGrades: Appendectomy
- Five-Star Recipient for Appendectomy for 2 Years in a Row (2013-2014)

HealthGrades: Cardiac
- Five-Star Recipient for Treatment of Heart Failure

HealthGrades: Critical Care
- Five-Star Recipient for Treatment of Respiratory Failure for 2 Years in a Row (2013-2014)

HealthGrades: Gastrointestinal
- Five-Star Recipient for Colorectal Surgeries
- Five-Star Recipient for Treatment of Bowel Obstruction

HealthGrades: Orthopedics
- America’s 100 Best Hospitals for Orthopedic Surgery™ 3 Years in a Row (2012-2014)
- America’s 100 Best Hospitals for Joint Replacement™ 3 Years in a Row (2012-2014)
- America’s 100 Best Hospitals for Spine Surgery™ 3 Years in a Row (2012-2014)
- Orthopedic Surgery Excellence Award™ 4 Years in a Row (2011-2014)
- Joint Replacement Excellence Award™ 5 Years in a Row (2010-2014)
- Spine Surgery Excellence Award™ 4 Years in a Row (2011-2014)
- Top 5% in the Nation for Overall Orthopedic Services
- Top 5% in the Nation for Joint Replacement 5 Years in a Row (2010-2014)
- Top 5% in the Nation for Spine Surgery 3 Years in a Row (2012-2014)
-Five-Star Recipient for Total Knee Replacement 11 Years in a Row (2004-2014)
- Five-Star Recipient for Total Hip Replacement 5 Years in a Row (2010-2014)
- Five-Star Recipient for Back Surgery 12 Years in a Row (2003-2014)
- Five-Star Recipient for Spinal Fusion Surgery 4 Years in a Row (2011-2014)

HealthGrades: Pulmonary
- Five-Star Recipient for Treatment of Chronic Obstructive Pulmonary Disease 2 Years in a Row (2013-2014)

Washington State Hospital Association: Partnership for Patients Achieving Best Care Award
2013
American Heart Association: “Get With The Guidelines” Gold Performance Achievement Award for Heart Failure and Lifeline Bronze Quality Achievement Award for Heart Attack Care

American Hospital Association – Hospitals & Health Networks: “Most Wired” Hospital

American Stroke Association: “Get With The Guidelines” Gold Plus Performance Achievement Award and Target Stroke Honor Roll

Centers for Medicare and Medicaid Services: Best Hospital for Joint Replacement (Medicare)

Healthcare Equity Index: Leader in LGBT Healthcare Equality

Washington State Hospital Association: Safe Care in Action Award

2012
American College of Radiology: Breast Center of Excellence

American Heart Association: “Get With The Guidelines” Silver Performance Achievement Award for Heart Failure

American Stroke Association: “Get With The Guidelines” Silver Performance Achievement Award

Commission on Cancer: Accredited Program with Commendation

Global Healthcare Exchange: Provider of the Year

Healthcare Equity Index: Leader in LGBT Healthcare Equality

U.S. News & World Report – Best Hospitals: No. 4 in Seattle Metro

Premera+Regence: Blue Distinction Center for Spine Surgery and Blue Distinction Center for Hip & Knee Replacement

Seattle Business: No. 1 Non-Profit in Washington

U.S. News & World Report – Best Hospitals: No. 5 in Seattle Metro
UW Neighborhood Clinics Quality Awards
2012-2016

2016
National Committee for Quality Assurance: Five UW Neighborhood Clinics awarded Level 3 Patient-Centered Medical Home Recognition

Qualis Health: Award of Excellence in Healthcare Quality Outpatient Setting for “Integrating Behavioral Health into Primary Care”

2015
Washington State Medical Association: William O. Robertson Patient Safety Award for lowering vaccine errors

2014
Accreditation Association of Ambulatory Health Care: Three-year accreditation (ongoing) for meeting nationally recognized standards of high-quality healthcare.

Seattle Met Top Doctors: Thirteen UWNC providers recognized in doctor and nurse practitioner rankings

UW Medicine: 68 faculty and resident providers, received a PRAISE Award for achieving an 80th percentile (94% top box) score on the CG-CHAPS survey for Provider Communication (with 15 or more survey respondents)

Washington Health Alliance: One of five medical groups (out of 46) in Washington with above average regional scores in all four categories of the “Your Voice Matters” survey
  • Getting timely appointments, care, and information
  • How well providers communicate with patients
  • Helpful, courteous, and respectful office staff
  • Patient’s overall rating of the provider

2013
Accreditation Association of Ambulatory Health Care: Three-year accreditation (ongoing) for meeting nationally recognized standards of high-quality healthcare

National Committee for Quality Assurance: Physician Practice Connections – Patient-Centered Medical Home Recognition (expired in July 2013)

National Committee for Quality Assurance: 21 qualifying physicians recognized for excellence in diabetic care
2012
Accreditation Association of Ambulatory Health Care: Three-year accreditation (ongoing) for meeting nationally recognized standards of high-quality healthcare

National Committee for Quality Assurance: Physician Practice Connections – Patient-Centered Medical Home Recognition

National Committee for Quality Assurance: Qualifying physicians recognized for excellence in diabetic care
UW School of Medicine Awards and Recognition
2012-2016

National and global honors
Canada Gairdner Foundation International Award: 10 recipients
CEO Roundtable on Cancer: 2015 and 2016 Cancer Gold Standard Employer (UW Medicine) Howard Hughes Medical Institute: 16 investigators
Lasker Foundation Award: 7 recipients
Nobel Prizes in Physiology or Medicine: 5 Nobel Laureates
National Academy of Medicine (formerly Institute of Medicine): 35 elected members
National Academy of Sciences: 36 elected members
National Academy of Engineering: 5 elected members

U.S. News & World Report (2016 release date)
• Primary Care Medical Schools: No. 1 in the nation 22 out of past 23 years
• Research Medical Schools: No. 8 (tie) in the nation
• Family Medicine: No. 1 teaching program in the nation for 25 consecutive years
• Family Medicine: No. 1 residency program in the nations
• Rural Medicine: No. 1 teaching program in nation for 25 consecutive years
• Other highly ranked teaching programs include Pediatrics (No. 5), Internal Medicine (No.7), Drug and Alcohol Abuse (No. 8, tie), Geriatrics (No 8, tie), Women’s Health (No. 8, tie)
• Graduate Programs: Genetics/Genomics/Bioinformatics (No. 3), Biomedical/Bioengineering (No. 9, tie)
• Federal Research Funding: Top public medical school in the nation for National Institutes of Health grant funding and second in nation among all medical schools
• Best Global Universities: No. 2 in Microbiology

2015
U.S. News & World Report: Primary Care Medical School (No. 1), Family Medicine (No. 1), Rural Medicine (No. 1), Primary Care (No. 1), AIDS (No. 4), Geriatrics (No. 8), Internal Medicine (No. 8, tie), Pediatrics (No. 8)

2014
U.S. News & World Report: Primary Care Medical School (No. 1), Family Medicine (No. 1), Rural
Medicine (No. 1), Primary Care (No. 1), AIDS (No. 4), Internal Medicine (No. 8), Pediatrics (No. 5), Geriatrics (No. 7), Internal Medicine (No. 7), and Drug and Alcohol Abuse (No. 9)

2013
U.S. News & World Report: Primary Care Medical School (No. 2), Family Medicine (No. 1), Rural Medicine (No. 1), AIDS (No. 5), Internal Medicine (No. 8), Geriatrics (No. 9), and Pediatrics (No. 9)

2012
U.S. News & World Report: Primary Care Medical School (No. 1), Family Medicine (No. 1), Rural Medicine (No. 1), AIDS (No. 4), Pediatrics (No. 7), Geriatrics (No. 7 tie), and Internal Medicine (No. 8)
UW Medicine’s
Patient Safety & Quality Committee

UW Medicine Board of Regents

Cindy Hecker, Interim Chief Health System Officer, UW Medicine
Kimberly McNally, Chair, UW Medicine Patient Safety Committee
Rick Goss, M.D., Medical Director, HMC

July 14th 2016
UW MEDICINE HISTORY

1940s - 1960s
- 1945: Governor Wallgren signs legislation for creation of UW School of Medicine and UW School of Dentistry
- 1946: UW SOM opens
- 1959: University Hospital (now UW Medical Center) opens
- 1969: UW signs with King County to operate Harborview

1970s - 2007
- 1982: Airlift NW established
- 1996: UW Neighborhood Clinics established
- 1998: Seattle Cancer Care Alliance established

2008 - 2016
- 2008: UW Medicine launches new Strategic Plan
- 2010: Northwest Hospital & Medical Center joins
- 2010: Health care reform signed into law; Launch of UW Medicine Patients Are First
- 2011: Valley Medical Center joins
- 2012: MFM Clinic at Yakima Valley Memorial Hospital opens
- 2014: UW Medicine Accountable Care Network established; (Boeing is first)
- 2015: A year of tremendous growth
We believed that:

- We were very focused on quality
- We have a well organized Quality Program
- We did not have issues that were described in the report
- We follow data and make changes when needed
- We felt the data must be wrong
What we realized was:

• We were focused on quality *however* we needed to elevate quality to our top priority

• We had room to improve and *it was our issue*

• We were data poor, *we didn’t know what we didn’t know*

• We had a siloed quality program, it was *not well integrated into operations*

• We did follow the data we had, however we were not transparent and *did not have good loop closure with the care team*
We had accomplished a lot:

• We had refocused our quality programs, they were well integrated at the local level

• We significantly improved our data availability

• We developed quality dashboards at the entity level

• We had significantly increased transparency at the local level
What was next:

• We needed to expand our quality programs from local programs to a unified system program

• We needed to focus on service the same way we were focused on quality

• We needed to develop common goals, leverage best practices, and develop a culture of accountability for quality and service across our system

• We needed help to provide system alignment
We needed to:

- Establish a **uniform approach** to measurement and reporting around service and quality, with clearly defined **accountabilities**
- Set **performance standards** that promoted excellent care and service from first contact through discharge and follow-up care
- We needed to rapidly develop a focus around service and identify high impact immediate **behaviors** that could be implemented to improve patient and family experience
Organizations with high performance in quality, safety & service had 5 key attributes:

- Shared sense of purpose
- Leadership alignment
- Accountability system for service, quality, and safety
- A focus on results
- Collaboration
UW Medicine partnered with the Studer Group to assist with developing a service excellence framework.

UW Medicine launched Patients Are First and the UW Medicine Pillar Goals were created.

**Focus on Serving the Patient/Family**
Serve all patients and family members with compassion, respect and excellence.

**Become the Employer of Choice**
Recruit and retain a competent, professional workforce focused on serving our patients and their families.

**Provide the Highest Quality Care**
Provide the highest quality, safest and most effective care to every patient, every time.

**Practice Fiscal Responsibility**
Ensure effective financial planning and the economic performance necessary to invest in strategies that improve the health of our patients.
A culture of service and quality excellence exists across UW Medicine

Patients are First sets the overarching framework for everything we do

Yearly Pillar Goals are developed that are standardized across our health system with measurable outcomes.

Data is robust and transparent

Quality, Safety and Service goals now exist across our accountable care network

Quality, Safety and Service is a focus for all entity boards and for the system through the work of the UW Medicine Quality and Safety Committee

We are actively focused on transforming care and managing populations health.
At UW Medicine each entity board reviews quality of care, patient safety and service and conducts Patient Safety Rounds with the executive leadership team members.

The **UW Medicine Board Patient Safety & Quality Committee** meets quarterly to:

- Review patient safety & quality data from all clinical entities
- Provide overall guidance on patient safety & quality programs
- Assist with strategic planning and program development
- Review and analyze system-wide issues and trends
- Advise on proactive risk mitigation strategies
# UW Medicine Patients Are First Dashboard

**FY16 July Report (as of 06/30/2016)**

UW Medicine and Entity scores based on YTD results. 4 Month Trends based on monthly results.

Entity results color-coded based on comparison to entity specific goal, which may differ from UW Medicine goal.

Hover mouse over result to view entity goal, or click on result to view detailed info.

*Not included in UW Medicine rollout. † FY15 data displayed due to time lag in availability of measure.

## Serving the Patient/Family

| Metric                        | Homer as of | HMC | NWH | UWMC | VMC | UWNC | HH | ALNW | UWP | 4 Month Trends | UW Med View All | UW Med Goal |
|-------------------------------|-------------|-----|-----|------|-----|------|----|------|-----|-----|---------------|----------------|-------------|
| Inpatient Percentage          | Apr 2016    | 71.4% | 75.2% | 81.7% | 76.1% |       |    |      |     | 77.2% | ≥ 77.0%       | 79th (pr) | 79th |
| Percentile Rank               | Apr 2016    | 51st | 71st | 88th | 75th |       |    |      |     | 90.6% | ≥ 92.0%       | 48th (pr) | 60th (pr) |
| Ambulatory Clinic Percentage  | Apr 2016    | 86.9% | 92.5% | 91.0% | 91.8% | 90.4% |    |      |     |      |                           |               |             |
| Percentile Rank               | Apr 2016    | 24th | 65th | 50th | 58th | 47th |    |      |     | 85.0  | 85.0          | 41st (pr) | 50th (pr) |
| Emergency Mean Score          | Apr 2016    | 82.3 | 86.3 | 84.4 | 85.7 |       |    |      |     |      |                           |               |             |
| Percentile Rank               | Apr 2016    | 20th | 53rd | 36th | 47th |       |    |      |     |      |                           |               |             |
| Access to Care Percentage     | Apr 2016    | 57.9% | 65.3% | 61.1% | 65.1% | 53.1% |    |      |     | 60.6% | ≥ 67.0%       | 28th (pr) | 50th (pr) |
| Percentile Rank               | Apr 2016    | 19th | 44th | 30th | 43rd | 10th |    |      |     |      |                           |               |             |

## Provide the Highest Quality Care

| Metric                        | Homer as of | HMC | NWH | UWMC | VMC | UWNC | HH | ALNW | UWP | 4 Month Trends | UW Med View All | UW Med Goal |
|-------------------------------|-------------|-----|-----|------|-----|------|----|------|-----|-----|---------------|----------------|-------------|
| CA-UTI (per 1000 cath days)   | May 2016    | 2.13 | 1.17 | 1.10 | 0.26 |       |    |      |     | 1.45  | 1.45          | ≤ 1.75        |             |
| CLA-BSI (per 1000 cath days)  | May 2016    | 0.53 | 0.35 | 0.58 | 0.35 |       |    |      |     | 0.52  | 0.52          | ≤ 0.55        |             |
| Hand Hygiene (%)              | May 2016    | 0.53 | 0.35 | 0.58 | 0.35 |       |    |      |     | 0.52  | 0.52          | ≤ 0.55        |             |
| Patient Safety Indicator (per 1000 elig pts) | May 2016 | 2.31 | 0.92 | 1.89 | 1.09 |       |    |      |     | 95.2% | ≥ 98.0%       |               |             |
| CMS Clinical Quality Composite (%) | Dec 2015 | 95.8% | 96.4% | 90.9% | 94.7% |       |    |      |     | 94.7% | ≥ 95.0%       |               |             |
| 30 Day Readmission (%)        | Mar 2016    | 13.6% | 10.2% | 18.0% | 12.5% |       |    |      |     | 13.3% | ≤ 13.6%       |               |             |
| Ambulatory Disease Management (%) | May 2016 | 71.9% | 81.5% | 80.7% | 78.9% | 75.1% | 75.6% |      |     | 76.5% | ≥ 77.0%       |               |             |
| Ambulatory Preventative Care (%) | May 2016 | 71.9% | 68.0% | 73.9% | 81.0% | 83.8% | 74.3% |      |     | 79.9% | ≥ 77.3%       |               |             |

## Become the Employer of Choice

| Metric                        | Homer as of | HMC | NWH | UWMC | VMC | UWNC | HH | ALNW | UWP | 4 Month Trends | UW Med View All | UW Med Goal |
|-------------------------------|-------------|-----|-----|------|-----|------|----|------|-----|-----|---------------|----------------|-------------|
| Clinician Satisfaction (%)    | Jun 2016    | 78.4% | 73.5% | 75.7% | 83.3% | 80.7% |    |      |     | 78.0% | ≥ 68.5%       |               |             |
| Employee Engagement (mean score) | Mar 2016 | 3.92 | 4.07 | 3.91 | 4.12 | 3.91 | 4.01 | 3.98 |      | 3.98  | ≥ 3.95        |               |             |

## Practice Fiscal Responsibility

| Metric                        | Homer as of | HMC | NWH | UWMC | VMC | UWNC | HH | ALNW | UWP | 4 Month Trends | UW Med View All | UW Med Goal |
|-------------------------------|-------------|-----|-----|------|-----|------|----|------|-----|-----|---------------|----------------|-------------|
| Increment +/- Total Margin (YTD % points) | May 2016 | +0.5% | -0.2% | -3.6% | +0.8% |       |    |      |     | +3.2% | -1.0%         | ≥ 0.0%         |             |

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B–4.2/207-16
7/14/16
2015 Results - UWMC

2015 Quality and Accountability Performance Scorecard
UW Medical Center

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Star Rating: ★★★
Overall Rank: 23
Overall Score: 67.01%

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Domain Performance Table:

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<thead>
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<th>Rank</th>
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<th>Score</th>
<th>Weighted Score</th>
<th>UHC Median</th>
<th>UHC Top Performer</th>
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<td>100%</td>
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<td>67.01%</td>
<td>64.00%</td>
<td>72.55%</td>
</tr>
<tr>
<td>Mortality</td>
<td>39</td>
<td>25%</td>
<td>58.75%</td>
<td>14.69%</td>
<td>56.25%</td>
<td>76.25%</td>
</tr>
<tr>
<td>Safety</td>
<td>9</td>
<td>25%</td>
<td>67.50%</td>
<td>16.88%</td>
<td>60.00%</td>
<td>77.50%</td>
</tr>
<tr>
<td>Effectiveness</td>
<td>92</td>
<td>20%</td>
<td>69.79%</td>
<td>13.96%</td>
<td>79.17%</td>
<td>92.71%</td>
</tr>
<tr>
<td>Patient Centeredness</td>
<td>4</td>
<td>15%</td>
<td>70.03%</td>
<td>10.63%</td>
<td>56.25%</td>
<td>79.17%</td>
</tr>
<tr>
<td>Efficiency</td>
<td>47</td>
<td>10%</td>
<td>58.59%</td>
<td>5.88%</td>
<td>57.03%</td>
<td>75.00%</td>
</tr>
<tr>
<td>Equity</td>
<td>1</td>
<td>5%</td>
<td>100.00%</td>
<td>5.00%</td>
<td>100.00%</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

---

Top Performers:
- NYU: 72.55%
- RUSH: 72.37%
- MAYOCLINIC, MN: 72.16%
- EMORY: 72.06%
- FROEDERT: 71.48%
- COLORADO: 71.46%
- UTAH: 71.38%
- METHODIST, HOUSTON: 70.65%
- OHIOSTATE: 70.63%
- HERMANN: 70.47%
- BEAUMONT-ROYALOAK: 70.36%
- TUFTS: 69.97%
- KANSAS: 69.84%
HMC 2015 UHC Q&A Scorecard

Five Stars
n = 13
Max = 72.6%
Median = 71.4%
Min = 69.8%

Four Stars
n = 24
Max = 69.3%
Median = 66.8%
Min = 65.8%

Three Stars
n = 37
Max = 65.4%
Median = 63.6%
Min = 61.2%

Two Stars
n = 18
Max = 60.7%
Median = 58.6%
Min = 56.5%

One Star
n = 10
Max = 55.4%
Median = 55.2%
Min = 48.7%

Overall Score vs Overall Rank

HMC QI October 2015
TRANSPARENCY BECOMES PERSONAL

CLEAN HANDS
SAVE LIVES

HARBORVIEW MEDICAL CENTER
CLEAN HANDS SAVE LIVES

Harborview Medical Center Hand Hygiene Compliance

UW Medicine
REPORTING AT THE MD LEVEL

HMC - Operative Report Late Completion Fall out by Month

Confidential Quality Data RCW 70.41.200, 4.24.250, 43.70.510, and 70.168.090

HMC - Operative Report Completion

Confidential Quality Data RCW 70.41.200, 4.24.250, 43.70.510, and 70.168.090

DELIQUENT OPERATIVE REPORTS: HISTORY

2016.01.20 report

YRS

Important Message from Dr. Bill Bremner

From: rgois@u.washington.edu
To: rgois@u.washington.edu
Date: 14 Mar 2016 09:43:19 -0700
Attachments: Communication Tips for Healthcare Professionals.pdf (View | Download), High Performing Physician Self-Test.pdf (View | Download)

This message is sent on behalf of Dr. Bill Bremner and the UW Medicine Physician Engagement Team.

Dear Dr. J Richard Goss,

The link below takes you to your current results for 3 sets of patient survey questions around the clinic-based care you have provided. These results will arrive monthly in an email. You will need your AMC login and password to access these links.

1. Willingness to Recommend Your Clinic: Patients who would definitely recommend your clinic to family and friends.

2. MD Communication Did you have a background of knowledge of the patient before the visit, listen carefully, explain things in a way that was easy to understand, provide clear instructions and spend enough time with your patient. These are, after all, the measures of respect that we all use to assess a conversation.

3. Overall MD Rating Percent of patients who give you a 9 or 10/10 overall score.


The link below shows your MD Communication scores relative to other Department of Medicine members:


Enclosed are two attachments: Communication Tips for Healthcare Professionals and High Performing Physician Self-Test that you will find of value for you and your team as you review your scores.
Leadership: from No place to hide...

HMC OP CG-CAHPS Survey Results Updated Monthly - Feb 2015 to Jan 2016
Goss, J Richard (General Internal Medicine)
Validation tool for behaviors that support a positive patient experience.

- Peer reviewed research indicates that physicians empathy and communication improves clinical outcomes
- Patient experience is positively associated with clinical effectiveness and patient safety
- Physician communication tied directly to Value Based Purchasing (VBP); the physician is at the heart of the new paradigm
- Physician pay for performance is on its way – staying ahead of the wave is easier than catching it later
RESPECTED PHYSICIAN LEADERS TELLING THEIR STORIES

- Dr. Esselman, Chair of the Department of Rehabilitation Medicine and Co-Chair of the Physician Engagement Committee
PARTNERSHIP WITH NURSING

• Impact of Physicians Rounding for Outcomes with Nurse Leaders as a tactic that has increased collaboration and alignment

  • Darcy Jaffe, Harborview Chief Nursing Officer and UW Medicine Service Pillar Co-Champion
WHAT’S NEXT IN 2017?

We will continue on our quality, safety and service journey along with renewed efforts to transform our care delivery system, manage the health of populations and identify and act upon health disparities.

UW Medicine will work to meet the triple aim that has been mandated by the Affordable Care Act.

- Improve the patient experience of care
- Improve the health of populations
- Reduce the cost of care
Overview of the Safety and Quality program throughout UW Medicine

Governance

- Coordinated Quality Improvement Program
- UW Medicine Board Patient Safety & Quality Committee
- UW Medicine Patient Safety & Quality Executive Committee
- UW Medicine Patient are First Executive Committee

UW Medicine Patients Are First Program

Attachment, 2017 goals

Culture of Safety Initiatives

- TeamCORE and TeamSTEPS

Training and Clinical Transformation Efforts

- WWAMI Institute for Simulation in Healthcare (WISH)
- Creation of the CMO’s office and the efforts underway to transform care deliver to meet the needs of our time

Patient Safety Innovation Program (PSIP)

- Attachment, update on projects

Performance Measurement and Benchmarking

- AHA pledge to focus on health care disparities
PSQC Report

Harm Event
- Identification, Analysis and Prevention

Pay for Performance/Value Based Purchasing
- Payment tied to performance related to quality and cost goals

Center for Scholarship in Patient Care Quality and Safety
- The center’s goals are to stimulate innovative research and scholarship around quality and safe, foster collaboration and discover innovative approaches to quality and safety and to share and promote creativity.
- Oversee the Patient Safety Innovations Program and support large grant applications related to quality and safety.

Conclusion
- UW Medicine is committed to clinical excellence and strives to be the leader in quality, safety, satisfaction and cost effective care to fulfill our mission of improving health.
Quarterly Compliance Report – Special Areas: Global Activities

INFORMATION

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 Global Activities Compliance
2) University of Washington Global Activities Compliance Priority Item 1: Clery Act in Foreign Locations
3) University of Washington Global Activities Compliance Priority Item 2: Export Control
University of Washington Global Activities Compliance

Overview

U.S. research universities have increasingly become global enterprises, with “internationalization ... seen as a fundamental business strategy.”¹ This reality presents significant opportunities for scientific and medical research, teaching and learning, business development, and the exchange of ideas among the world’s academic communities. It also creates a new set of challenges for universities’ operational and administrative units, which must expand their knowledge and reach beyond domestic operations to manage and support foreign campuses, overseas research, student internships and work programs, partnerships with multinational corporations and foreign governments, service and other experiential learning, distance education, and international student recruitment.

The University of Washington (UW) has long been a global enterprise, a fact clearly reflected in its mission: “[The institution] advances new knowledge through many forms of research, inquiry and discussion; and disseminates it through the classroom and the laboratory, scholarly exchanges, creative practice, international education, and public service.”² UW currently operates 85 faculty-led programs sponsoring more than 2,000 students learning abroad in 55 countries, and two European centers hosting long-term educational programs. It administers over $200 million in externally-funded programs conducted outside the U.S. each year. The Department of Global Health (DGH) has by far the most substantial international footprint of any UW unit, with programs in Peru, Uganda, India, and beyond. In 2015 alone, more than 900 international DGH staff trained over 6,000 people, in 40 countries, in courses related to clinical management of HIV, epidemiology, and health leadership and management.

Such transnational endeavors are accompanied by appreciable risk and significant compliance considerations. In each foreign location where it operates, the University must ensure that applicable U.S. laws and regulations – as well as in-country laws – are followed. The overlay of cultural, political and situational contexts adds additional complexity. Considerable knowledge, collaboration and skill are essential to maintaining these international activities that take “no conventional shape.”¹ The Office of Global Affairs (OGA) and the Global Operations Support Program manage and coordinate this work for the institution, collaborating with multiple UW offices, including Financial Management, Human Resources, Tax, Compliance and Risk Services, Real Estate, Research, and the Attorney General, among others.

Compliance Services facilitates and supports compliance work across the institution 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. Compliance Services
brings together subject matter experts to participate in ongoing assessments that emphasize continuous improvement.

**Assessment**

In May 2016, a compliance assessment of UW global activities was conducted. Meetings brought together experts representing relevant topic areas from across the University: research, study abroad, finance (tax, procurement, grant and contract accounting), legal, human resources, risk financing and consulting, health and safety, global affairs, and internal audit. Through those meetings, two compliance priority items – one relevant to compliance with the Clery Act and the other to export control administration – were identified for focused attention over the next 18 months.

The Global Activities compliance assessment was led by:
Ann Anderson | Associate Vice President & Controller, Finance & Facilities
Elizabeth Cherry | Associate Vice Provost, Compliance and Risk Services
Jeff Riedinger | Vice Provost for Global Affairs

**Subject matter experts:**
Lynette Arias | Assistant Vice Provost for Research, Office of Research
Becky Bullock | Director, Risk Financing and Consulting, Compliance and Risk Services
Pramilla Chand | Director, Procurement Services Operations
Gayle Christensen | Associate Vice Provost, Office of Global Affairs
Mark Conley | Executive Director, Procurement Services
Richard Cordova | Executive Director, Internal Audit
Doug Divine | Director, DATAGroup and Interim Manager, Global Operations Support
Cameron Frisch | International Strategic Partnerships Administrator, Office of Global Affairs
Nicholas Hill | Global Travel Security Manager, Office of Global Affairs
Rob Lindsley | Managing Director, I-TECH and Clinical Assistant Professor, Department of Global Health
Peter Moran | Director, UW Study Abroad
Ted Mordhorst | Director, Research Compliance & Operations, Grant & Contract Accounting
Erin Rice | Assistant Vice President, Campus Human Resources Operations
Kyle Richard | Tax Director, Financial Management
Quentin Yerxa | Assistant Attorney General, UW Division of the Attorney General’s Office

**Summary of Priority Items**

**Priority Item 1: Clery Act in Foreign Locations**
The Clery Act requires institutions of higher education to disclose information about crime on and around their campuses, as well as for university-owned or controlled facilities in foreign locations. The University of Washington operates eleven research centers, two permanent study abroad centers, a research vessel that operates in international waters, and dozens of other foreign locations regularly
used or accessed for research. The law’s applicability to foreign locations can be unclear, and adherence to its provisions challenging.

To ensure compliance with Clery requirements across all UW-controlled foreign locations, a team will be assembled to clarify which provisions of Clery apply to which locations, with location-appropriate training and reporting procedures developed and implemented.

**Priority Item 2: Export Control**

In the interest of vital national security and foreign policy objectives, the U.S. government regulates the transfer of strategically-important information, technology, commodities and software through export control regulations. Scholarly activities occurring on the University of Washington’s campuses and around the world can involve the transfer of information or materials deemed “sensitive” with respect to such regulations.

Steps toward implementing a new and comprehensive system of protocols designed to ensure export control compliance across the institution will include a full situation scan and inventory of regulated activities and current export control procedures and resources at UW; and a gap analysis to inform the development of more effective, efficient and comprehensive export control administrative practices.

**Additional Reading**

Insider Higher Ed: March 24, 2014
https://www.insidehighered.com/content/globalization-higher-education

**Citations**

Challenge Statement
The Clery Act (Clery) requires institutions of higher education to disclose information about crime on and around their campuses, as well as for university-owned or controlled facilities in foreign locations. The University of Washington operates eleven research centers, two permanent study abroad centers, a research vessel that operates in international waters, and dozens of other foreign locations regularly used or accessed for research. Clery provisions are prescriptive in some areas and ambiguous in others; the law’s applicability to foreign locations can be unclear, and adherence to its provisions challenging.

Context
The Crime Awareness and Campus Security Act of 1990 is a consumer protection law that requires colleges and universities participating in Title IV student financial assistance programs to disclose campus crime statistics and security information. 1998 amendments to the law renamed it the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act – in memory of a student who was raped and killed in her dorm room.

Clery mandates that each campus of an institution: 1) collect, classify and count crime reports and crime statistics, 2) issue campus alerts, including timely warnings and emergency notifications about immediate or ongoing threats to community safety, 3) publish an annual security report, 4) report crime statistics to the Department of Education, 5) maintain a daily crime log, and 6) for institutions with on-campus housing facilities, disclose missing student notifications and fire safety information. Each foreign location owned or controlled by an American university – including study abroad locations and research vessels – with an organized program of study and administrative personnel on-site is considered a separate campus for Clery purposes. Facilities, or even sections of buildings or properties, that are rented, leased or operate under a written agreement with a third party, however informal, are included.

Clery crime statistics are reported based strictly on where crimes occur. The 2016 Handbook for Campus Safety and Security Reporting, issued by the Department of Education, includes numerous sample maps (see below) designed to help identify reportable locations; however, the information can be counterintuitive. For example, a crime involving UW students that occurred on the second floor of a building where the university leases the third and fourth floors would not be reported; however, a crime on campus involving two non-UW affiliated people would be. Also, if multiple crimes occurred in the course of a single incident (a robbery and forcible sex offense, for example), only the sex offense would be reported. Finally, the handbook offers minimal guidance for, or even recognition of, the challenges of working with local law enforcement in some foreign locations.
Mitigation Plan
To ensure compliance with Clery provisions across all foreign locations, a team of representatives from the Office of Global Affairs, UW Police Department, UW Study Abroad, and other relevant units will be assembled to:

- Define the UW foreign locations covered by Clery reporting requirements;
- Confirm the applicability of Clery provisions to foreign locations (specifically, seek clarification of the timely warning, missing student notification, and fire safety information requirements);
- Identify and train in-country faculty and staff as Campus Security Authorities, and establish appropriate procedures for crime reporting;
- Create location-appropriate processes for requesting crime data from local law enforcement;
- Review and develop location-appropriate prevention and response procedures, aligned with best practices.

Project Leads
Ann Anderson | Associate Vice President & Controller, Finance & Facilities
Kyle Richard | Tax Director, Financial Management
Nicholas Hill | Global Travel Security Manager, Office of Global Affairs

Relevant Laws and Regulations
Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act: (20 USC Section 1092(f))

Sample Map from 2016 Handbook for Campus Safety and Security Reporting

![Sample Map](image)
Challenge Statement
In the interest of vital national security and foreign policy objectives, the U.S. government regulates the transfer of strategically-important information, technology, commodities and software through export control regulations. Scholarly activities occurring on University of Washington campuses and around the world, and the related exchange of ideas with the international academic community, can involve the transfer of information or materials deemed “sensitive” with respect to such regulations. This high-risk domain poses unique challenges for a complex research institution like the UW and demands a robust and revamped program in the Office of Research, including its Office of Sponsored Programs (OSP), to meet the institution's compliance obligations.

Context
The Export Administration Regulations (EAR), the International Traffic in Arms Regulations (ITAR), and the laws overseen by the Office of Foreign Assets Control (OFAC), together cover a wide variety of regulated activities – which include, among other things: 1) the physical export of controlled equipment, data, and materials to foreign countries, 2) the disclosure of controlled information to foreign entities or persons, abroad or domestically, and 3) access to controlled equipment and associated technology by foreign persons visiting university facilities.

Every year, OSP responds to thousands of export control queries from researchers, and reviews hundreds of projects and activities for compliance with EAR, ITAR and OFAC regulations. The decentralized nature of the institution and the sheer scale of international endeavors, however, present challenges for identification and assessment of those activities requiring export control compliance.

The consequences of non-compliance are significant, and violations can result in serious monetary and criminal penalties against institutions and individuals, particularly the University’s “Empowered Official,” the officer charged with overall export control responsibility. Those who violate export control restrictions may face debarment from participation in federal contracts, and the University may be prohibited from any future export-controlled activity, thereby reducing its institutional appeal to top researchers in terms of employment or collaboration. Most importantly, a violation could jeopardize national security, potentially causing actual harm to the public as well as severe reputational damage to the University.

Mitigation Plan
The Office of Research, in coordination with its Office of Sponsored Programs, will take the following steps toward implementing a new and comprehensive system of protocols designed to ensure export control compliance across the institution:
• Perform a full situation scan of the University, which will provide an inventory of regulated activities – regardless of whether or not they result from specific research initiatives – and current export control procedures and resources. The scan will engage offices across the UW that intersect with export control issues, including those responsible for banking and treasury, shipping and receiving, equipment inventory, international scholars, and technology transfer;
• Review current regulations and agency policies and guidelines, which are undergoing revisions as part of the U.S. President’s Export Control Reform Initiative
• Research best practices employed by peer institutions, and;
• Conduct an enterprise-wide gap analysis to inform the development of more effective, efficient and comprehensive export control administrative practices at the UW.

Future efforts will likely include the implementation of University-developed resources for departments, schools, colleges, and central unit administrators to perform routine reviews of their activity – including procurement of materials and equipment, hiring of personnel, travel, shipping and receiving, and intellectual property disposition – that may require licensing or specific agency approval due to regulatory requirements.

Project Leads
Joe Giffels | Associate Vice Provost for Research Administration and Integrity
Carol Rhodes | Acting Co-Director & Empowered Official, Office of Sponsored Programs

Sample of Relevant Laws and Regulations
• Export Administration Regulations (EAR): 15 C.F.R. Sections 730-774
• International Traffic in Arms Regulations (ITAR): 22 C.F.R. Sections 120-130
• Office of Foreign Assets Control Regulations (OFAC): 31 C.F.R. Sections 500-599
• Assistance to Foreign Atomic Energy Activities: 80 C.F.R. Section 810

Additional Reading
“Overview of U.S. Export Control System” – U.S. Department of State website
http://www.state.gov/strategictrade/overview/
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).

In April 2016, TAP focus shifted to "Big 3" areas of strategic focus in the next year. This includes systems (HR/Payroll, Finance Modernization), structure (central administration, executive office) and accountability (organizational assessment and service delivery).

The Board received a detailed update on systems (HR/Payroll Modernization) at the May meeting. The TAP presentation in June was removed and deferred due to time constraints. The presentation this month will provide a quick update on structure (central administration, executive office), but will primarily focus on progress in the area of "accountability" (organizational assessment and service delivery).

Attachment
Transforming Administration Program Update July 2016
TRANSFORMING ADMINISTRATION PROGRAM

Board of Regents, July 14, 2016
https://tap.uw.edu

UNIVERSITY of WASHINGTON
What is TAP?

- The Transforming Administration Program launched one year ago by President Cauce and Provost Baldasty with 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 TAP projects.

- Since initial launch, 35 projects have been with 28 projects in progress and 13 completed. Additional detail on these projects can be found on the TAP website at: http://tap.uw.edu/projects/tap

- In April, TAP focus shifted to “Big 3” areas of strategic focus in the next year. Remaining TAP projects will continue to be tracked by Organizational Excellence (OE).
What does success look like?

- Value-based decision making
- 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 working together
- Continuous process improvement and innovation
President & Provost “Big 3” Focus Areas

- **Systems**
  - HR/Payroll
  - Finance Transformation (work plan to be added in September)

- **Structure**
  - Central Administration
  - Executive office

- **Accountability**
  - Organizational assessment and service delivery
## Systems: HR/Payroll Modernization

<table>
<thead>
<tr>
<th>Goal</th>
<th>Timeline</th>
<th>Key progress to date</th>
<th>Status</th>
</tr>
</thead>
</table>
| Successfully launch HR/P on-time and on-budget according to May BOR “re-set.” | • Summer 2017 | • Received BOR approval for revised timeline and budget  
• Re-org from technical implementation to business transformation complete.  
• First cycle of payroll testing complete  
• Orientation to key concepts to 130 program staff, business owners and stakeholders  
• Design validation in progress | YELLOW |
| Successfully launch and stabilize a new, Integrated Services Center (ISC). | • Design (July 2016)  
• Build (January 2017)  
• Deploy (April 2017) | • Initial, detailed design is complete  
• Initial staffing plan has been drafted and is being reviewed by key stakeholders  
• Initial case management design has been established and is being configured in UWConnect | GREEN |
<table>
<thead>
<tr>
<th>Goal</th>
<th>Timeline</th>
<th>Key progress to date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assess current leadership structure</td>
<td>June 2016</td>
<td>• TAP and outside consultant review of UW structure compared to peers</td>
<td>COMPLETE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Annual evals for all senior leadership</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• 360 evaluations and performance expectations set as appropriate</td>
<td></td>
</tr>
<tr>
<td>Fill key senior leadership positions</td>
<td>June 2016</td>
<td>• Provost</td>
<td>COMPLETE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• VP of OMAD</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>• Athletic Director</td>
<td></td>
</tr>
<tr>
<td>Revise senior leadership structure</td>
<td>Fall 2016</td>
<td>• Active recruitment for Executive Vice President</td>
<td>YELLOW</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Interim plan in place for Planning and Management</td>
<td></td>
</tr>
<tr>
<td>Align central administrative structure to</td>
<td>Winter 2016</td>
<td>• Compliance Office report to Provost</td>
<td>YELLOW</td>
</tr>
<tr>
<td>support strategic decision-making</td>
<td></td>
<td>• Investment Office report to OOP</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>• Plan for audit direct report to BOR</td>
<td></td>
</tr>
</tbody>
</table>
## Structure: Executive Office

<table>
<thead>
<tr>
<th>Goal</th>
<th>Timeline</th>
<th>Key progress to date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assess status of Provost and President Office</td>
<td>COMPLETE</td>
<td>• Engaged Organizational Excellence to perform assessment</td>
<td>COMPLETE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Assigned OE lead to manage project</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Conducted interviews with all staff</td>
<td></td>
</tr>
<tr>
<td>Revise senior leadership structure</td>
<td>June 2016</td>
<td>• New job descriptions, titles and performance expectations set</td>
<td>COMPLETE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Formal transition plan target of end of fiscal year</td>
<td></td>
</tr>
<tr>
<td>Revise and consolidate support staff structure</td>
<td>July 2016</td>
<td>• Re-org complete</td>
<td>GREEN</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Hiring staff to support consolidated structure underway</td>
<td></td>
</tr>
<tr>
<td>Formalize new structure, policies, procedures to support shared operations</td>
<td>Oct 2016</td>
<td>• Consultation with President, Provost and HR in process</td>
<td>GREEN</td>
</tr>
</tbody>
</table>
# Accountability: Central Admin Service Delivery and Assessment

<table>
<thead>
<tr>
<th>Goal</th>
<th>Timeline</th>
<th>Key progress to date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assess status of standards across central admin</td>
<td>June 2016</td>
<td>• TAP/OE leadership groups assembled, completed assessment, submitted report</td>
<td>COMPLETE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Final recommendations shared with senior leadership for input</td>
<td></td>
</tr>
<tr>
<td>Identification of “top three” improvements from campus surveys</td>
<td>Summer 2016</td>
<td>• TAP surveys complete</td>
<td>COMPLETE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Feedback from senior leadership (BODC, Cabinet)</td>
<td></td>
</tr>
<tr>
<td>Formulate new policies, procedures, changes to support recommendations</td>
<td>Fall 2016</td>
<td>• Progress to date included on slides 9-12</td>
<td>GREEN</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Integrate into senior leadership performance evaluations</td>
<td>2017 annual review cycle</td>
<td></td>
<td>GREEN</td>
</tr>
</tbody>
</table>
Progress updates on Top 3 Improvement Areas Identified by Board of Deans and Chancellors

- **Academic Personnel**
  - Dissatisfaction with the requirement and process for submitting annual hiring plans resulted in business process mapping and leveraging technology to create, with user input, a web-based tool to allow for simplified submission, required completion of non-optional fields, submission and approval status tracking, and one source of information. Initial feedback has been positive and satisfaction surveys will be used for continuous improvement.

- **Office of Sponsored Programs**
  - A refocusing of manager portfolios has provided the capacity for enhanced attention to process consistency, efficiency and outreach. A reconfigured contracts team is positioned to more effectively handle specialized contracts, including clinical trial agreements. Faster turnaround of subawards (from 6 weeks to 15 days) has resulted from process improvement and staffing adjustments, through collaboration with Procurement Services and campus administrators.

- **Cost of Facilities** – see slide 11
Progress updates on Top 3 Items Identified by Administrators’ Council

- Access to Financial Data
  - OPB’s Institutional Analysis team developed self-service interactive dashboards that compare the UW’s revenues, expenses and endowment values and to financial data reported by peer institutions. And as part of the process to transition a subset of the UW’s financial data to a new Enterprise Data Warehouse, OPB and UWIT’s Enterprise Data Analytics team have streamlined the sourcing of data, founds ways to provide data in a more timely manner, and adjusted the presentation of certain data to enhance user experience.

  - UW Finance Transformation began work on the Administrative Finance Portal, with an inventory of the various sites that currently contain financial policies completed and an inventory of the existing policies. This work was completed with coordination with the Financial Management, Grant & Contract Accounting, Student Fiscal Services and Office of Planning & Budgeting.
Progress updates on Top 3 Items Identified by Administrators’ Council

▪ Cost of Facilities
  - Capital Planning & Development and Facilities Services staff, along with key campus customers, formed a team to create and implement a plan with timeline, goals and metrics to drive down the costs of remodels, design and small projects in both organizations while improving service delivery satisfaction. Small projects are defined as $50k-$350k, to include office renovations, labs and animal care facilities.
  - Improvements have reduced costs by 10% in Facilities Services and 5% in Capital Planning & Development, with many more planned improvements underway including working with State Relations to modify state law to raise thresholds for small works.

▪ Academic Personnel – see slide 9
Updates on Top Areas of Concern from TAP Survey

- Procurement Services
  - In order to respond more quickly to email and phone requests, additional staff were assigned to Procurement Customer Service, meetings were reduced and staff provided dedicated concentration time. Email (2 days) and phone response (same day) standards were set and as of May are achieving goals of 90% for both. Additional improvements were made to the website, customer service training, and subaward process in e-procurement. A new initiative to improve customer service across several departments has been launched, beginning with restructuring that consolidates support for similar transaction activities within Procurement Services.

- Coordination between Research Support Offices
  - The Office of Research Information Services and the Office of Sponsored Programs in the Office of Research and Grant & Contract Accounting in Finance and Facilities collaborated to create a Funding Status tool (announced in January 2016), providing campus with centralized access to sponsored programs information from proposal processing through award receipt and budget set-up. The tool provides a personalized dashboard, status visibility, contact information, important award comments and direct links. Metrics (February – June) show an increase in use of 159% unique users.
Questions and Discussion