



**July 14, 2011**

**TO:** Members of the Board of Regents  
Ex-officio Representatives to the Board of Regents

**FROM:** Joan Goldblatt, Secretary of the Board of Regents

**RE:** Schedule of Meetings

**WEDNESDAY, JULY 20, 2011**

**5:30 p.m. Hill-Crest DINNER FOR REGENTS  
AND OTHER GUESTS**

**THURSDAY, JULY 21, 2011**

<b>11:00 a.m. to 12:05 p.m.</b>	<b>UW Tower Board Room, 22<sup>nd</sup> Floor</b>	<b>ACADEMIC AND STUDENT AFFAIRS COMMITTEE:</b> Regents Harrell (Chair), Barer, Cole, Gates, Knowles
<b>12:20 to 2:40 p.m.</b>	<b>UW Tower Board Room, 22<sup>nd</sup> Floor</b>	<b>FINANCE, AUDIT AND FACILITIES COMMITTEE:</b> Regents Smith (Chair), Blake, Brotman, Cole (alternate), Jewell
<b>3:00 p.m.</b>	<b>UW Tower Board Room, 22<sup>nd</sup> Floor</b>	<b>REGULAR MEETING OF BOARD OF REGENTS</b>

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**AGENDA**  
**BOARD OF REGENTS**  
**University of Washington**  
**July 21, 2011**  
**3:00 p.m.**  
**UW Tower, Board Room, 22<sup>nd</sup> Floor**

(Item No.)

**I. CALL TO ORDER**

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

**III. CONFIRM AGENDA**

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

Regents Resolution of Appreciation to Kelly Keith (Action) BP-1

Election of Assistant Secretary of the Board Shelley Tennant (Action) BP-2

**V. REPORT OF THE UNIVERSITY PRESIDENT: President Young**

**VI. CONSENT AGENDA**

Approval of Minutes of Meeting of June 9, 2011

Approval of Minutes of Special Meeting of June 30, 2011

UW Medicine Board Reappointments A-2

Department of Gender, Women and Sexuality Studies – Establishment of the Graduate Certificate in Sexuality and Queer Studies A-3

The Graduate School – Transfer of the Computational Finance Graduate Certificate Program A-4

School of Art – Degree Title Change for the Master of Fine Arts A-5

Department of Linguistics – Title Change for the Master of Arts in Computational Linguistics A-6

The Proposed Undergraduate Degree in Aerospace Engineering: Abu Dhabi A-7

Grant and Contract Awards Summary – April and May, 2011 F-2

Update of the Banking Depository Delegation and Amendment of Standing Orders	F-3
Approve Amendment to University of Washington 401(a) Plan for Selected Employees	F-4
University of Washington 403(b) Retirement Program – Approve Changes to Eligibility	F-5
On-Call Fire Protection Engineering Master Term Agreement – Select Engineering Firm	F-6
On-Call Industrial Mechanical Engineering Master Term Agreement – Select Engineering Firm	F-7
UW Tacoma Japanese Language School Memorial – Approve Donor Naming Opportunities Plan	F-10
Approval of a Resolution to Issue and Refund General Revenue Bonds	F-12
UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW Ratification	F-13
Odegaard Undergraduate Learning Center (OULC) Phase 1 Renovation – Adopt Project Budget, Delegate Authority to Award Design Contract, Authorize Use of Alternative Public Works GC/CM and Delegate Authority to Award GC/CM Contract	F-14

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

Academic and Administrative Appointments (Action)	A-1
Annual Overview from Intercollegiate Athletics: NCAA Compliance and Student-Athlete Academic Services Report (Information only)	A-8

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

Report of Contributions – May, 2011 (Information only)	F-1
Actions Taken Under Delegated Authority (Information only)	F-8
Red Flag Rules – Identity Theft Compliance Program Annual Report (Information only)	F-9
Internal Lending Program Risk Management (Information only)	F-11
Student Housing Phase II: Mercer Hall Replacement, Lander Hall Replacement, and Site 30W Projects – Status Report (Information only)	F-15
University of Washington Investment Committee (UWINCO) Update (Information only)	F-16
UW Information Technology Strategic Initiatives (Information only)	F-17
Advisory Committee on Real Estate (ACRE) Update (Information only)	F-18

**VIII. OTHER BUSINESS**

Reports from ex-officio representatives to the Board:

**Faculty Senate Chair – Professor JW Harrington**

**ASUW President – Mr. Conor McLean**

**GPSS President – Mr. Aaron Naumann**

**Alumni Association President – Ms. Colleen Fukui-Sketchley**

**IX. DATE FOR NEXT REGULAR MEETING: Thursday, August 18, 2011****X. EXECUTIVE SESSION**

(To discuss with legal counsel representing the University, litigation or potential litigation to which the University is, or is likely to become, a party, when public knowledge regarding the discussion is likely to result in an adverse legal or financial consequence to the University.)

**XI. ADJOURNMENT**



**UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS**

**Academic and Student Affairs Committee**  
Regents Harrell (Chair), Barer, Cole, Gates, Knowles  
**July 21, 2011**  
**11:00 a.m. to 12:05 p.m.**  
**UW Tower, Board Room, 22<sup>nd</sup> Floor**

1. **Academic and Administrative Appointments** **ACTION** A-1  
Phyllis M. Wise, Provost and Executive Vice President
2. **UW Medicine Board Reappointments** **ACTION** A-2  
Paul G. Ramsey, CEO, UW Medicine, and Dean of the School of Medicine
3. **Department of Gender, Women and Sexuality Studies – Establishment of the Graduate Certificate in Sexuality and Queer Studies** **ACTION** A-3  
Gerald Baldasty, Dean and Vice Provost, The Graduate School  
Judith Howard, Divisional Dean, Social Sciences, College of Arts & Sciences
4. **The Graduate School – Transfer of the Computational Finance Graduate Certificate Program** **ACTION** A-4  
Gerald Baldasty  
Ka-Kit Tung, Professor, Department of Applied Mathematics
5. **School of Art – Degree Title Change for the Master of Fine Arts** **ACTION** A-5  
Gerald Baldasty  
Chris Ozubko, Director, School of Art
6. **Department of Linguistics – Title Change for the Master of Arts in Computational Linguistics** **ACTION** A-6  
Gerald Baldasty  
Emily Bender, Director, Program for Computational Linguistics
7. **The Proposed Undergraduate Degree in Aerospace Engineering: Abu Dhabi** **ACTION** A-7  
David Szatmary, Vice Provost for Educational Outreach  
Matt O'Donnell, Dean, College of Engineering  
James Hermanson, Professor, Department of Aeronautics & Astronautics

8. **Annual Overview from Intercollegiate Athletics: NCAA Compliance and Student-Athlete Academic Services Report** **INFORMATION** A-8  
**Scott Woodward**, Athletic Director  
**John Morris**, Senior Associate Athletic Director  
**Kim Durand**, Associate Athletic Director for Student Development  
**Kyle Pifer**, Assistant Athletic Director for Compliance
9. **Other Business**



**UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS**

**Finance, Audit and Facilities Committee**

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

July 21, 2011

**12:20 to 2:40 p.m.**

**UW Tower, Board Room, 22<sup>nd</sup> Floor**

1. **Report of Contributions – May, 2011** **INFORMATION** F-1  
Walter G. Dryfoos, Associate Vice President, Advancement Services  
Connie Kravas, Vice President, University Advancement
2. **Grant and Contract Awards Summary – April and May, 2011** **ACTION** F-2  
Phyllis M. Wise, Provost and Executive Vice President
3. **Update of the Banking Depository Delegation and Amendment of Standing Orders** **ACTION** F-3  
Ann Anderson, Associate Vice President and Controller
4. **Approve Amendment to University of Washington 401(a) Plan for Selected Employees** **ACTION** F-4  
Kathleen Dwyer, Executive Director of Benefits
5. **University of Washington 403(b) Retirement Program – Approve Changes to Eligibility** **ACTION** F-5  
Kathleen Dwyer
6. **On-Call Fire Protection Engineering Master Term Agreement – Select Engineering Firm** **ACTION** F-6  
Richard Chapman, Associate Vice President, Capital Projects Office
7. **On-Call Industrial Mechanical Engineering Master Term Agreement – Select Engineering Firm** **ACTION** F-7  
Richard Chapman
8. **Actions Taken Under Delegated Authority** **INFORMATION** F-8  
Richard Chapman
9. **Red Flag Rules – Identity Theft Compliance Program Annual Report** **INFORMATION** F-9  
Susan Camber, Associate Vice President, Research and Student Fiscal Administration  
Sue Clausen, Associate Vice President for Medical Affairs; Chief Compliance Officer, UW Medicine
10. **UW Tacoma Japanese Language School Memorial – Approve Donor Naming Opportunities Plan** **ACTION** F-10  
Josh Knudsen, Vice Chancellor, Advancement, UW Tacoma  
Debra Friedman, Chancellor, UW Tacoma

11. **Internal Lending Program Risk Management** **INFORMATION** F-11  
**Doug Breckel**, Associate Vice President, Treasury Office  
**Chris Malins**, Senior Associate Treasurer, Treasury Office
12. **Approval of a Resolution to Issue and Refund General Revenue Bonds** **ACTION** F-12  
Chris Malins
13. **UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW Ratification** **ACTION** F-13  
**Peter Denis**, Interim Assistant Vice President, Labor Relations
14. **Odegaard Undergraduate Learning Center (OULC) Phase 1 Renovation – Adopt Project Budget, Delegate Authority to Award Design Contract, Authorize Use of Alternative Public Works GC/CM and Delegate Authority to Award GC/CM Contract** **ACTION** F-14  
**Eric C. Smith**, Director, Major Capital Projects, Capital Projects Office  
**Kirk Pawlowski**, Assistant Vice Provost – Capital Resource Planning, Office of Planning and Budgeting
15. **Student Housing Phase II: Mercer Hall Replacement, Lander Hall Replacement, and Site 30W Projects – Status Report** **INFORMATION** F-15  
**Pam Schreiber**, Director, Housing & Food Services  
**Jon Lebo**, Director, Student Life Projects, Capital Projects Office
16. **University of Washington Investment Committee (UWINCO) Update** **INFORMATION** F-16  
**Keith Ferguson**, Chief Investment Officer, Treasury Office
17. **UW Information Technology Strategic Initiatives** **INFORMATION** F-17  
**Kelli Trosvig**, Interim Vice President and Vice Provost, UW Information Technology
18. **Advisory Committee on Real Estate (ACRE) Update** **INFORMATION** F-18  
**Todd Timberlake**, Chief Real Estate Officer
19. **Other Business**



## OFFICIAL MINUTES

### MINUTES

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

**July 21, 2011**

The Board of Regents held its regular meeting on Thursday, July 21, 2011, beginning at 3:00 p.m. in the UW Tower Board Room. The notice of the meeting was appropriately provided to the public and the media.

#### **CALL TO ORDER**

Regent Herb Simon called the meeting to order at 3:00 p.m.

#### **ROLL CALL**

Assistant Secretary Keith called the roll: Present were Regents Simon (presiding), Blake, Cole, Gates, Jewell, Smith; President Young, Dr. Wise, Ms. Warren, Ms. Goldblatt; ex officio representatives: Professor Harrington, Mr. McLean, Mr. Naumann, Ms. Fukui-Sketchley.

Absent: Regents Barer, Brotman, Harrell, and Knowles

#### **EXECUTIVE SESSION**

Regent Simon announced the Regents would hold an executive session to discuss with legal counsel representing the University, litigation or potential litigation to which the University is, or is likely to become, a party, when public knowledge regarding the discussion is likely to result in an adverse legal or financial consequence to the University.

#### **CONFIRM AGENDA**

The agenda was confirmed as presented. The order of items was modified.

Regent Simon officially welcomed Michael Young to his first meeting of the Board of Regents, and said since assuming the presidency on July first, President Young has been busy learning about the University. Regents are very pleased to have him here and are excited to begin the "Young Era" at the University of Washington.

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**REPORT OF THE UNIVERSITY PRESIDENT:** President Young

President Young reported he has been “on the job” for twenty-one days and has been in a listening mode, meeting with University leaders, members of the business community, and the media. He attended the groundbreaking for UW Medicine South Lake Union’s research complex. He visited the Bothell and Tacoma campuses, where he met with students, faculty, and administrators including Chancellors Debra Friedman and Kenyon Chan. President Young reported he addressed the Seattle City Council about the University’s engagement with the larger Seattle community – especially how it contributes to the economic, financial, artistic, cultural, and social development of the city of Seattle.

President Young said he has visited with donors in Seattle, California, and other locations. He will host a President’s Club Reception this evening.

The President’s initial impression is the UW is “a remarkable University,” engaged in activities to keep the university on a positive trajectory. He stressed the importance of infrastructure improvements to support faculty and students, and said there are opportunities for the UW to be a leader in innovation. He praised the extraordinary faculty, who, he said, are not shy to offer their input in an organized fashion through the Faculty Senate and in an ad hoc manner as opportunities arise. He looks forward to welcoming Kelsey Knowles, the newly-appointed student regent.

The President thanked Professor JW Harrington, Faculty Senate Chair, for his service to the University over the past year. He recognized Susan Astley, Professor of Epidemiology and Pediatrics, incoming Faculty Senate Chair. He also thanked Colleen Fukui-Sketchley, the outgoing Chair of the UW Alumni Association, for her service, and welcomed incoming Chair Susan Wilson Williams.

President Young announced the upcoming tenth annual Recognition Gala on Friday, September 9.

**CONSENT AGENDA**

Regent Simon noted there were eighteen 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 Smith, seconded by Regent Gates, the Board voted to approve the eighteen items on the consent agenda as shown below:

**Minutes for the meeting of June 9, 2011**

**Minutes for the Special Meeting of June 30, 2011**

**UW Medicine Board Reappointments** (Agenda no. A-2)

It was the recommendation of the University President and the Academic and Student Affairs Committee that the Board of Regents make the following reappointment to the UW Medicine Board:

Reappointment

JoAnn Taricani

July 1, 2011 – June 30, 2014

See Attachment A–2.

**Department of Gender, Women and Sexuality Studies – Establishment of the Graduate Certificate in Sexuality and Queer Studies** (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 the graduate faculty of the Department of Gender, Women and Sexuality Studies to offer the Graduate Certificate in Sexuality and Queer Studies, effective immediately. The graduate certificate program will have provisional status with a review to be scheduled in the 2015-2016 academic year. At such time that continuing status is granted, the ten-year review cycle would begin.

See Attachment A–3.

**The Graduate School – Transfer of the Computational Finance Graduate Certificate Program** (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 Interdisciplinary Computational Finance Steering Committee, located administratively in the Graduate School, to transfer the Computational Finance Graduate Certificate Program to the Department of Applied Mathematics, effective immediately. The graduate certificate program will be reviewed with the Department of Applied Mathematics degree programs in the 2017-2018 academic year.

See Attachment A–4.

**School of Art – Degree Title Change for the Master of Fine Arts** (Agenda no. A–5)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to the School of Art to change the title for the Master of Fine Arts (MFA) degree to the Master of Design (MDes), effective Autumn Quarter, 2011. The Master of Design degree program will be reviewed with the School of Art's undergraduate and other graduate programs in 2019-2020.

See Attachment A–5.

**Department of Linguistics – Title Change for the Master of Arts in Computational Linguistics** (Agenda no. A–6)

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It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to the Department of Linguistics to offer the Master of Science (MS) in Computational Linguistics as a change of degree title from the current Master of Arts (MA) in Computational Linguistics, effective immediately.

See Attachment A-6.

**The Proposed Undergraduate Degree in Aerospace Engineering: Abu Dhabi**  
(Agenda no. A-7)

The University of Washington proposed an undergraduate degree completion program in aerospace engineering to be delivered in Abu Dhabi, United Arab Emirates, through an agreement that will last for a ten-year period. The program would not require any state funds and would be funded by the Mubadala Development Company, a company wholly owned by the Crown Prince of Abu Dhabi. This proposed degree would be available only in Abu Dhabi and has been designed for students residing in Abu Dhabi. It would accept students from the region, primarily from the United Arab Emirates University (UAEU) who, after their first two years of study, meet all the requirements of the University of Washington. Starting in 2013-2014, the UW would offer a two-year degree completion program and also work with the UAEU to enable them to offer their own degree in aerospace engineering. UW classes would be held in the facilities of the UAEU in Al Ain, Abu Dhabi. By 2021-2022, the UW would no longer offer the degree, which would then be solely delivered by the UAEU.

See Attachment A-7.

**Grant and Contract Awards Summary – April and May, 2011** (Agenda no. F-2)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee the Board of Regents accept Grant and Contract Awards for the month of April, 2011, in the total amount of \$62,647,400 and for May, 2011, in the total amount of \$87,728,180.

See Attachment F-2.

**Update of the Banking Depository Delegation and Amendment of Standing Orders**  
(Agenda no. F-3)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents amend the Board of Regents' Standing Orders, Chapter 1 "Delegation of Authority," Section 6 "Execution of Instruments, Business Affairs, and Operations" to change the current delegation related to depository relationships.

See Attachment F-3.

**Approve Amendment to University of Washington 401(a) Plan for Selected Employees** (Agenda no. F-4)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve amendment of the University of Washington 401(a) Plan for Selected Employees (the Plan) effective July 1, 2011.

The Plan was amended and restated effective July 1, 2009. The Plan is intended to be qualified under Internal Revenue Code Section 401(a).

See Attachment F-4.

**University of Washington 403(b) Retirement Program – Approve Changes to Eligibility** (Agenda no. F-5)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve changes in section 2.9 of the UW Retirement Plan to reflect recent changes to eligibility passed by the Washington State legislature, which are effective July 1, 2011.

See Attachment F-5.

**On-Call Fire Protection Engineering Master Term Agreement – Select Engineering Firm** (Agenda no. F-6)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award an On-Call Fire Protection Engineering Master Term Agreement to Wood Harbinger, Bellevue, Washington, subject to successful negotiation of the engineering and professional services agreement.

In the event of an unsuccessful negotiation with the selected firm it was requested that authority be delegated to open negotiations with Aegis Engineering, Lynnwood, Washington, the firm recommended as first alternate.

See Attachment F-6.

**On-Call Industrial Mechanical Engineering Master Term Agreement – Select Engineering Firm** (Agenda no. F-7)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award an On-Call Industrial Mechanical Engineering Master Term Agreement to Harris Group, subject to successful negotiation of the engineering and professional services agreement.

In the event of an unsuccessful negotiation with the selected firm it was requested that authority be delegated to open negotiations with Wood Harbinger, Bellevue, Washington, the firm recommended as first alternate.

See Attachment F-7.

**UW Tacoma Japanese Language School Memorial – Approve Donor Naming Opportunities Plan** (Agenda no. F-10)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve the Japanese Language School Memorial Donor Naming Opportunities Plan dated April 18, 2011.

See Attachment F-10.

**Approval of a Resolution to Issue and Refund General Revenue Bonds** (Agenda no. F-12)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve:

1. A resolution to allow for the issuance of General Revenue Bonds for the following purposes:
  - a. Capital projects based on expected cash flows and the redemption of outstanding commercial paper for fiscal year 2012 in a total amount not to exceed \$290 million;
  - b. To refund any existing debt that provides an economic benefit.
2. Delegating to 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-12.

**UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW Ratification** (Agenda no. F-13)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve the collective bargaining agreement between the University and the UAW Local 4121 that covers approximately 4,200 Academic Student Employees at the University of Washington. This tentative agreement was concluded on June 2, 2011 and ratified by the bargaining unit on June 8, 2011. The duration of the agreement is from June 8, 2011 through April 30, 2012.

See Attachment F-13.

**Odegaard Undergraduate Learning Center (OULC) Phase 1 Renovation – Adopt Project Budget, Delegate Authority to Award Design Contract, Authorize Use of Alternative Public Works GC/CM and Delegate Authority to Award GC/CM Contract** (Agenda no. F-14)

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

- 1) Adopt a project budget of \$16,575,000 for the OULC Phase 1 Renovation project;
- 2) Delegate authority to the President to award a design contract to the selected architectural firm. In the event of an unsuccessful negotiation with the selected firm, it was requested that authority be delegated to open negotiations with the firm recommended as the first alternate;
- 3) Authorize the use of the General Contractor/Construction Manager (GC/CM) Alternative Public Works contracting method; and
- 4) Delegate authority to the President to award a GC/CM contract, subject to the contract sum being within the approved project budget and funding being available.

See Attachment F-14.

## **STANDING COMMITTEES**

### **FINANCE, AUDIT AND FACILITIES COMMITTEE: Regent Smith, Chair**

Regent Smith provided an overview of the Finance, Audit, and Facilities Committee meeting.

The Committee approved a donor naming opportunities plan for the Japanese Language School Memorial at UW Tacoma. Regent Smith said he enjoyed this presentation which provided Regents with a community history lesson.

The Committee ratified the collective bargaining agreement with the UAW local 4121 academic student employees, and approved \$16,575,000 to improve learning spaces in the Odegaard Undergraduate Learning Center.

### **Report of Contributions – May, 2011** (Agenda no. F-1) (Information only)

The total gifts received in May, 2011, was \$18,942,637, the total for the year-to-date is \$279,852,900.

See Attachment F-1.

### **Actions Taken Under Delegated Authority** (Agenda no. F-8) (Information only)

See Attachment F-8.

**Red Flag Rules – Identity Theft Compliance Program Annual Report** (Agenda no. F-9) (Information only)

See Attachment F-9.

**Internal Lending Program Risk Management** (Agenda no. F-11) (Information only)

Regent Smith said Chris Malins and Doug Breckel gave an excellent report on the Internal Lending Program, and congratulated them on the continuing issuance of debt at a rate below 4%. The discussion in Committee centered on the risks of the program and Treasury Office staff efforts to mitigate those risks. This provided Regents with increased confidence in the Internal Lending Program and Treasury's ability to manage risks effectively.

See Attachment F-11.

**Student Housing Phase II: Mercer Hall Replacement, Lander Hall Replacement, and Site 30W Projects – Status Report** (Agenda no. F-15) (Information only)

Committee members received information on the UW student housing projects and learned student demand for housing justifies continuing the projects. Extraordinary demand exists to fill current and future spaces, and there is still not enough on-campus housing to meet student demand in the near future.

See Attachment F-15.

**University of Washington Investment Committee (UWINCO) Update** (Agenda no. F-16) (Information only)

See Attachment F-16.

**UW Information Technology Strategic Initiatives** (Agenda no. F-17) (Information only)

Regent Smith said he was impressed with the Information Technology report and presentation, saying the plan will offer extraordinary benefits to the University's students, staff, and faculty in the area of efficiency and effectiveness of information technology support activities.

See Attachment F-17.

**Advisory Committee on Real Estate (ACRE) Update** (Agenda no. F-18) (Information only)

See Attachment F-18.

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



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

**MOTION:** Upon the recommendation of the administration and the motion made by Regent Cole, seconded by Regent Jewell, the Board voted to approve the personnel appointments.

See Attachment A-1.

Regent Cole reported the Academic and Student Affairs Committee approved four certificate programs and an undergraduate degree program in Aerospace Engineering in Abu Dhabi.

**Annual Overview from Intercollegiate Athletics: NCAA Compliance and Student-Athlete Academic Services Report** (Agenda no. A-8) (Information only)

The Committee received an in-depth report from Intercollegiate Athletics on their compliance program. The program's goal is to ensure compliance with NCAA rules and support student success. Regents were pleased to see progress being made in both areas.

See Attachment A-8.

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

**Regents Resolution of Appreciation to Kelly Keith** (Action) (Agenda No. BP-1)

Regent Simon read a resolution of appreciation to Assistant Secretary Kelly Keith and thanked her for her many years of service to the Board and the University. Regent Simon said he would miss Ms. Keith's smile and willingness to help others. Ms. Keith said it has been an honor to work at the University serving the Board. She said the experience has been exceptional, and there is much she will miss. She thanked the Regents for the opportunity and the recognition.

**MOTION:** Upon the recommendation of Regent Simon and the motion made by Regent Jewell, seconded by Regent Blake, the Board voted to approve the Resolution of Appreciation to Kelly Keith.

See Attachment BP-1.

**Election of Assistant Secretary of the Board Shelley Tennant** (Action)  
(Agenda No. BP-2)

**MOTION:** Upon the recommendation of Regent Simon and the motion made by Regent Jewell, seconded by Regent Blake, the Board voted to approve the election of Assistant Secretary of the Board Shelley Tennant.

**OTHER BUSINESS**

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Regent Simon welcomed Carol Dotlich, President of the Washington Federation of State Employees; Regina Pugh, Contact Center Representative, UW Medicine Contact Center; and UW student Morgan Currier, and invited them to address the Regents with their concerns about the collective bargaining rights of UW Medicine staff members in the Contact Center. He thanked them for attending the meeting.

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

### **Faculty Senate Chair:** Professor JW Harrington

Regent Simon thanked Professor Harrington for his service as Faculty Senate Chair, specifically praising his ability and willingness to collaborate with the Board. He also thanked him for his service on the Presidential Search Advisory Committee saying he added great value to the process. Regent Simon commended Dr. Harrington for being an asset to the University as a faculty member and as a representative of the faculty.

Professor Harrington's remarks are attached, including his open letter to President Young welcoming him to the University and a charge to the Regents identifying key needs over the next few years.

Regent Jewell praised Dr. Harrington's scholarship and leadership and said it was a pleasure to work with him on the Presidential Search Advisory Committee. She credited him with improving the positive relationship between the Regents and the faculty.

Regent Simon said Regents look forward to working with Professor Susan Astley, the incoming Chair of the Faculty Senate.

### **ASUW President:** Mr. Conor McLean

Regent Simon welcomed Mr. McLean to the Board as the ASUW President. Mr. McLean introduced himself, described his background to the Regents, and identified ASUW's goals for the next year.

Mr. McLean is a fifth-year senior majoring in political science and economics. He was raised in Vancouver, Washington, a graduate of Skyview High School. As a child of educators, the value of public service and higher education was instilled in him. His mother is an eighth-grade algebra teacher; his father recently retired as director of the ESL program at Clark County Community College. His two older siblings attended WSU. Over the past four years at UW Mr. McLean has been involved in student leadership – in residence halls, as a FIG and orientation leader, and as co-chair of the Services and Activities Fee Committee. This experience taught him the value of serving students.

Mr. McLean said the upcoming year will present unique challenges for students and the administration. With local tuition setting authority, and differential tuition, he feels it is more important than ever to incorporate the university community into the decision-

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making processes. His goal is to work with the Provost to ensure students are included in the process, and to work with the Board of Regents to continue the efforts of last year's student leaders to institute a public forum during Regent meetings. He is excited to serve as ASUW President and to work with University administration and fellow student leaders during the upcoming year.

**GPSS President:** Mr. Aaron Naumann

Regent Simon welcomed Mr. Naumann to the Board as the GPSS President.

Mr. Naumann introduced himself. He is from Bar Harbor, Maine, of Native American descent, and a member of the Micmac tribe. He received his undergraduate degree from Beloit College in Wisconsin, with a focus on anthropology and archaeology. There he was a student athlete and two-term fraternity president. He described his involvement in a collaborative research project with the Ho-Chunk Nation. He received his master's degree from Michigan State University focused on anthropology and archaeology. There he served as President of the association of graduate students in the department of anthropology. He helped organize academic student employees at Michigan State. He taught at St. Mary's College and Indiana University in South Bend. He has also worked in the private sector for consulting firms in Milwaukee and Dallas. He came to UW to work on a project to develop a 3-D virtual computer program involving geometric algorithms to reassemble broken items, such as pottery vessels and stone tools. He is hopeful this new methodology will revolutionize the field of archaeology.

At UW he served as two-term president of the student group Native American Students in Advanced Academia and for four years on the GPSS executive committee.

He described his GPSS goals for next year, saying he hopes to continue collaborative efforts between UW and the UW Alumni Association, specifically strengthening lobbying efforts at the state and federal levels and streamlining utilization of technology in the classroom and at the university as a whole. GPSS plans to work to improve the environment for student-parents at the University. GPSS is negotiating with undergraduate leadership to create better funding streams through the Office of Financial Aid by identifying potential new sources of revenue for students. He is collaborating with ASUW on how students can be involved with the Alumni Association to plan the sesquicentennial celebration.

**Alumni Association President:** Ms. Colleen Fukui-Sketchley

Regent Simon thanked Ms. Fukui-Sketchley for her service to the University as Alumni Association President over the last year. He praised the outreach programs of the Alumni Association and the effective collaboration with other alumni representatives throughout the state. Regent Simon said the alumni voice was heard in Olympia. This was a successful year for the University due to the work of Ms. Fukui-Sketchley and the Alumni Association.

July 21, 2011

Ms. Fukui-Sketchley thanked Regent Simon for his support and kind words. She believes the Alumni Association played a part in the University's success over the last year.

On behalf of the 55,000 members of Alumni Association, and the 319,000 living alumni, she welcomed President Young to the University. She reminded the group that seventy percent of the University's alumni live in Washington state and the University is fortunate to have a strong group of supporters.

She praised the unique integrated advancement relationship which links the UWAA to the University. Through this integrated advancement effort, the University is able to reach out to more people than ever. She said she appreciates the relationship built over the past few years between the UWAA and the Regents.

Ms. Fukui-Sketchley shared good news – the hundreds of diverse engagement opportunities, events, and programs for alumni each year have had a positive impact on membership, outreach, and donations. The UWAA reorganized staffing and program areas. She said she is proud of UWAA's leadership, saying Executive Director Paul Rucker is "an amazing leader."

Ms. Fukui-Sketchley discussed UWImpact, the two-year-old legislative advocacy program of UWAA's nonprofit organization. She said this was the first time alumni were asked to act on behalf, and in support, of the University. Moving efforts into the political arena was a difficult task, but it resulted in thousands of people acting on behalf of the University. She said the program had a strong start but there is still much to be done. They are identifying and developing "District Dawgs," one or two influential people in each legislative district. She thanked Randy Hodgins, Margaret Shepherd, and Provost Wise for their support.

Ms. Fukui-Sketchley expressed her thanks to the Regents for the opportunity to serve as an ex officio representative to the Board. Serving on the Board provides valuable perspective on the development of alumni programming. The UWAA looks forward to the dedication and opening of the Washington Commons in the UW Tower, in honor of the 150<sup>th</sup> Anniversary of the University of Washington.

She introduced incoming UWAA President, Susan Wilson Williams.

She concluded by saying there is so much to be proud of at the University, especially the work done in support of students. She introduced her mother, and told the Regents both of her parents attended the UW, where her mother received both undergraduate and graduate degrees. In the past, her mother worked at the University in the Minority Engineering Program, recruiting undergraduates from under-represented populations into the College of Engineering, which positively impacted the lives of many. Ms. Fukui-Sketchley said her mother inspired her passion to serve, and she will continue to engage and volunteer as a proud alumna.

Regent Simon welcomed ASUW Bothell President, Freddie Hensen, and student leaders from ASUW Tacoma.

**DATE FOR NEXT MEETING**

Regent Simon announced the regular meeting scheduled for August 18, 2011 was cancelled. The next regular meeting of the Board of Regents will be held on Thursday, September 15, 2011, on campus.

**ADJOURNMENT**

The regular meeting was adjourned at 4:25 p.m.



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Joan Goldblatt  
Secretary of the Board of Regents

*Approved at the meeting of the Board on September 15, 2011.*

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Academic and Administrative Appointments

RECOMMENDED ACTION:

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

*Attachment*

Personnel Recommendations

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## ADMINISTRATIVE APPOINTMENTS

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### College of Arts and Sciences

#### **Department of Economics**

**Lawarree, Jacques Paul**

**Chair, Economics, effective 7/1/2011**

Continuing Appointment:

- Professor, Economics

Degrees:

- PhD, 1990, University of California (Berkeley)
- BA, 1984, University of Liege (Belgium)
- MA, 1984, University of Liege (Belgium)

#### **Department of History**

**Guy, Robert Kent**

**Chair, History, effective 7/1/2011**

Continuing Appointments:

- Professor, History
- Professor, International Studies

Degrees:

- PhD, 1981, Harvard University
- MA, 1974, Harvard University
- BA, 1970, Yale University

**Thomas, Lynn Marie**

**Chair, History, effective 7/1/2012**

Continuing Appointment:

- Professor, History

Degrees:

- PhD, 1997, University of Michigan
- MA, 1993, Northwestern University
- BA, 1989, Johns Hopkins University
- MA, 1989, Johns Hopkins University

### School of Dentistry

#### **School of Dentistry**

**Le Resche, Linda Ann**

**Acting Associate Dean, Dentistry , effective 8/1/2011**

Continuing Appointments:

- Professor, Oral Medicine
- Adjunct Professor, Oral Biology

Degrees:

- Doctor Of Science, 1977, Johns Hopkins University
- BS, 1969, Carleton College

**University of Washington, Tacoma**

**Institute of Technology, Tacoma**

**Friedman, Robert**

**Director, Institute of Technology, Tacoma, effective 8/15/2011**

Degrees:

- MS, 2002, New Jersey Institute of Technology
- BA, 1994, City University of New York
- PhD, 1993, City University of New York
- MFA, 1987, Brooklyn College

**Social Work Program, Tacoma**

**Young, Diane**

**Director, Social Work, Tacoma, effective 8/15/2011**

Continuing Appointment:

- Associate Professor, Social Work, Tacoma

Degrees:

- PhD, 1997, University of Washington
- Master Of Social Work, 1993, University of Washington
- BA, 1979, Spring Arbor College

**University Libraries**

**University Libraries**

**Richards, Louise Machung**

**Acting Director, Libraries, effective 5/16/2011**

Continuing Appointment:

- Associate Librarian

Degrees:

- MLS, 1989, University of Washington
- MA, 1978, University of Chicago
- BA, 1972, University of Washington

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**ENDOWED APPOINTMENTS**

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**Business School**

**Department of Accounting**

**Burgstahler, David Curtis**

**Julius Roller Endowed Professorship In Accounting, effective 7/1/2011**

Continuing Appointment:

- Professor, Accounting

Degrees:

- PhD, 1981, University of Iowa
- BA, 1976, University of Minnesota

**Ge, Weili**

**Moss Adams Endowed Professorship, effective 7/1/2011**

Continuing Appointment:

- Assistant Professor, Accounting

Degrees:

- PhD, 2006, University of Michigan
- MBA, 2001, Washington University
- BBA, 1999, Shanghai University (China)



## **Department of Information Systems and Operations Management**

**Dey, Debabrata**

**Marion B. Ingersall Professorship, effective 7/1/2011**

Continuing Appointment:

- Professor, Information Systems and Operations Management

Degrees:

- PhD, 1994, University of Rochester
- MS, 1992, University of Rochester
- MS, 1989, Syracuse University
- BTech, 1986, Indian Institute of Technology (India)

## **School of Medicine**

### **Department of Medicine**

**Linenberger, Michael L.**

**Robert and Phyllis Henigson Endowed Professorship in Hematology, effective 5/1/2011**

Continuing Appointment:

- Professor without Tenure, Medicine

Degrees:

- MD, 1982, University of Kansas
- BS, 1978, University of Kansas

### **Department of Psychiatry and Behavioral Sciences**

**Avery, David Hartford**

**Depression Therapy Research Endowed Professorship, effective 5/1/2011**

Continuing Appointment:

- Professor without Tenure, Psychiatry and Behavioral Sciences

Degrees:

- MD, 1972, Washington University
- BA, 1968, Wabash College

## **School of Pharmacy**

### **Department of Pharmaceutics**

**Hu, Shiu-Lok**

**Milo Gibaldi Endowed Chair in Pharmaceutics, effective 7/1/2011**

Continuing Appointments:

- Professor, Pharmaceutics
- Professor, Microbiology
- Adjunct Professor, Microbiology

Degrees:

- PhD, 1978, University of Wisconsin (Madison)
- BA, 1971, University of California (Berkeley)

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## NEW APPOINTMENTS

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### College of Arts and Sciences

#### Department of Economics

##### **Bajari, Patrick**

**Visiting Professor, Economics, effective 9/15/2011**

Prior Non-UW Appointment:

Professor, Economics, University of Minnesota

Degrees:

- PhD, 1997, University of Minnesota
- BA, 1993, University of Minnesota
- BS, 1993, University of Minnesota

##### **Heath, Rachel**

**Acting Assistant Professor - pending PhD, Economics,  
effective 9/16/2011**

Degrees:

- PhD - Expected, 2011, Yale University
- MPHIL, 2008, Yale University
- MA, 2007, Yale University
- BS, 2005, Duke University

#### Department of History

##### **Naar, Devin Emmanuel**

**Assistant Professor, History, effective 9/16/2011**

Degrees:

- PhD, 2011, Stanford University
- MA, 2010, Stanford University
- BA, 2005, Washington University

#### Department of Physics

##### **Reddy, Sanjay Kumar**

**Professor, Physics, effective 7/1/2011**

Prior Non-UW Appointment:

Staff scientist, T-2 Theoretical Division, Los Alamos  
National Laboratory

Degrees:

- PhD, 1998, State University of New York (Stony Brook)
- MSC, 1993, Indian Institute of Technology (India)
- BSC, 1991, St. Stephen's College

#### Department of Sociology

##### **Crowder, Kyle**

**Professor, Sociology, effective 9/16/2011**

Prior Non-UW Appointment:

Distinguished Professor, Sociology, University of North  
Carolina at Chapel Hill

Degrees:

- PhD, 1997, State University of New York (Albany)
- BA, 1990, University of Washington

## **Department of Statistics**

**Drton, Mathias**

**Professor, Statistics, effective 9/1/2012**

Prior Non-UW Appointment:

Associate Professor, Statistics, University of Chicago

Degrees:

- PhD, 2004, University of Washington
- Diploma, 2000, University of Augsburg (Germany)

## **Jackson School of International Studies**

**Naar, Devin Emmanuel**

**Assistant Professor, International Studies, effective 9/16/2011**

Degrees:

- PhD, 2011, Stanford University
- MA, 2010, Stanford University
- BA, 2005, Washington University

## **School of Art**

**Drpic, Ivan**

**Assistant Professor, Art, effective 7/1/2011**

Degrees:

- PhD, 2011, Harvard University
- MA, 2005, Harvard University
- BA, 2002, University of Belgrade (Serbia)

**Hirsch, Tad**

**Assistant Professor, Art, effective 9/1/2011**

Prior Non-UW Appointment:

Senior Research Scientist, Intel Labs

Degrees:

- PhD, 2008, Massachusetts Institute of Technology
- MS, 2004, Massachusetts Institute of Technology
- MA of Design, 2000, Carnegie Mellon University
- BA, 1992, Vassar College

## **Business School**

### **Department of Finance and Business Economics**

**Young, Lance A.**

**Senior Lecturer, Full-time, Finance and Business Economics,  
effective 9/16/2011**

Prior UW Appointment:

Assistant Professor, Finance and Business Economics

Degrees:

- PhD, 2005, University of Rochester
- MS, 1999, University of Rochester
- MBA, 1997, University of Washington
- BA, 1992, Washington State University

## **Department of Management and Organization**

**Fehr, Ryan**

**Assistant Professor, Management and Organization, effective 9/16/2011**

Prior Non-UW Appointment:

Instructor, Psychology, University of Maryland

Degrees:

- PhD, 2010, University of Maryland
- MA, 2007, University of Maryland
- BA, 2005, College of New Jersey

**Umphress, Elizabeth**

**Associate Professor, Management and Organization, effective 6/16/2011**

Prior Non-UW Appointment:

Associate Professor, Management, Texas A&M University

Degrees:

- PhD, 2003, Tulane University
- BA, 1997, University of Texas (Austin)

## **Department of Marketing and International Business**

**Rutz, Oliver**

**Assistant Professor, Marketing and International Business, effective 7/1/2011**

Prior Non-UW Appointment:

Assistant Professor, Marketing, Yale School of Management

Degrees:

- PhD, 2007, University of California (Los Angeles)
- MBA, 2003, University of California (Los Angeles)
- BA, 1999, University of Heidelberg (Germany)

## **School of Law**

### **School of Law**

**Stauffer, Zahr**

**Assistant Professor, Law, effective 9/16/2011**

Prior Non-UW Appointment:

Visiting Assistant Professor, Law, Columbia University

Degrees:

- JD, 2008, Columbia University
- PhD, 2003, Harvard University
- BA, 1996, University of California (Berkeley)

**School of Medicine**

**Department of Anesthesiology and Pain Medicine**

**Fagley, Richard Eliot**

**Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2011**

Prior Non-UW Appointment:

Assistant Professor, Anesthesiology and Cardiothoracic Surgery, Washington University

Degrees:

- MD, 2002, Tulane University
- BS, 1998, Juniata College

**Horibe, Mayumi**

**Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Anesthesiology and Pain Medicine

Degree:

- MD, 1984, Hiroshima University (Japan)

**Latham, Gregory Joseph**

**Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Anesthesiology and Pain Medicine

Degrees:

- MD, 2000, University of Kansas
- BA, 1994, Kansas State University

**Meyers, Jennifer Lynne**

**Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Anesthesiology and Pain Medicine

Degrees:

- MD, 2001, Pennsylvania State Hershey Medical Center
- BA, 1995, Scripps College

**Minhaj, Mohammed Muneer**

**Associate Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/15/2011**

Prior Non-UW Appointment:

Assistant Professor, Anesthesia and Critical Care, University of Chicago

Degrees:

- MD, 2000, University of Miami (Florida)
- BS, 1998, University of Miami (Florida)

**Thompson, Douglas Royce**

**Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Anesthesiology and Pain Medicine

Degrees:

- MD, 2005, University of California (San Diego)
- BS, 1998, University of California (San Diego)

**Department of Family Medicine**

**Chen, Frederick Ming**

**Associate Professor without Tenure, Family Medicine, effective 6/1/2011**

Prior UW Appointment:

Lecturer Full-Time, Family Medicine

Degrees:

- MD, 1996, University of California (San Francisco)
- MPH, 1995, University of California (Berkeley)
- BS, 1990, Emory University

**Department of Global Health**

**Babigumira, Joseph Brian**

**Assistant Professor without Tenure, Global Health, effective 6/1/2011**

Degrees:

- PhD, 2011, University of Washington
- MS, 2004, Case Western Reserve University
- MB ChB, 2000, Mbarara University (Uganda)

**Department of Laboratory Medicine**

**Delaney, Meghan**

**Assistant Professor without Tenure, Laboratory Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Laboratory Medicine

Degrees:

- MPH, 2010, University of Washington
- Doctor Of Osteopathic Medicine (DO), 2004, University of New England
- BS, 1998, University of Vermont

**Department of Medicine**

**Fernandez, Rosemarie**

**Associate Professor without Tenure, Medicine, effective 7/1/2011**

Prior Non-UW Appointment:

Assistant Professor, Emergency Medicine, Wayne State University

Degrees:

- MD, 1999, University of Michigan
- BA, 1992, Rutgers College

**Isaac, Margaret Lynne**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MD, 2003, University of Washington
- BA, 1998, Stanford University

**Jackson, Molly Blackley**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MD, 2004, University of North Carolina
- BS, 1996, University of North Carolina

**Libby, Edward Norton**

**Associate Professor without Tenure, Medicine, effective 7/1/2011**

Prior Non-UW Appointment:

Associate Professor, Hematology and Oncology, University of New Mexico Health Sciences Center

Degrees:

- MD, 1984, University of Texas (Houston)
- BS, 1979, University of Texas (El Paso)

**Morris, Amy E.**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Clinical Instructor, Medicine

Degrees:

- MD, 2001, University of Washington
- BA, 1996, Brown University

**Owens, David S.**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MD, 1998, Washington University
- BA, 1990, Carleton College

**Prutkin, Jordan Matthew**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Medicine

Degrees:

- MS, 2002, Duke University
- MD, 2002, Yale University
- BS, 1997, Yale University

**Ramers, Christian Boyd**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Medicine

Degrees:

- MPH, 2010, University of Washington
- MD, 2003, University of California (San Diego)
- BS, 1997, University of California (Los Angeles)

**Roth, Mara Y.**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MD, 2002, Brown University
- BA, 1998, Brown University

**Ryan, Christina Gilmore**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Medicine

Degrees:

- MD, 2003, University of Washington
- BA, 1999, Northwestern University

**Tang, Chongren**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Medicine

Degrees:

- PhD, 2001, University of Texas (unspecified)
- MS, 1995, Shanghai Medical University (China)
- MD, 1992, Shanghai Medical University (China)

**Terasaki, Genji**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Medicine

Degrees:

- MD, 2001, Case Western Reserve University
- BA, 1995, Oberlin College



**Thaler, Joshua Paul**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MD, 2003, University of California (San Diego)
- PhD, 2001, University of California (San Diego)
- BA, 1992, Harvard University

**White, Andrew Austin**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MD, 2004, Vanderbilt University
- BA, 1999, Princeton University

**Wilper, Andrew Peter**

**Assistant Professor without Tenure, Medicine, effective 7/1/2011**

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MPH, 2006, Harvard University
- MD, 2003, University of Washington
- BA, 1999, University of Idaho

**Department of Microbiology**

**Neumann, Christopher Scott**

**Research Assistant Professor, Microbiology, effective 6/20/2011**

Degrees:

- PhD, 2007, Harvard University
- AM, 2004, Harvard University
- BA, 1999, Rice University

**Department of Neurological Surgery**

**Nelson, Branden Ray**

**Research Assistant Professor, Neurological Surgery, effective 6/1/2011**

Degrees:

- PhD, 2002, Montana State University
- BA, 1995, Carroll College (Montana)

## **Department of Obstetrics and Gynecology**

**Debiec, Katherine Elizabeth**

**Assistant Professor without Tenure, Obstetrics and Gynecology, effective 7/1/2011**

Prior UW Appointment:

Acting Instructor, Obstetrics and Gynecology

Degrees:

- MD, 2005, University of Washington
- BA, 2001, Vassar College

**Liao, John Ben**

**Assistant Professor without Tenure, Obstetrics and Gynecology, effective 7/1/2011**

Prior UW Appointment:

Acting Instructor, Obstetrics and Gynecology

Degrees:

- PhD, 2007, Yale University
- MD, 1998, George Washington University
- BA, 1994, Yale University

## **Department of Ophthalmology**

**Mustari, Michael Joseph**

**Research Professor, Ophthalmology, effective 6/1/2011**

Degrees:

- PhD, 1976, University of Washington
- MA, 1971, Southern Illinois University
- BA, 1970, Southern Illinois University

## **Department of Otolaryngology / Head and Neck Surgery**

**Sardesai, Maya Guirish**

**Assistant Professor without Tenure, Otolaryngology / Head and Neck Surgery, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Otolaryngology / Head and Neck Surgery

Degrees:

- MD, 2002, Queens University
- BS, 1997, McMaster University (Canada)

## **Department of Pediatrics**

**Bleakley, Marie**

**Assistant Professor without Tenure, Pediatrics, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Pediatrics

Degrees:

- PhD, 2010, University of Sydney (Australia)
- MMSc, 2000, University of Newcastle (Australia)
- Bachelor Of Medicine (BM), 1993, Flinders University (Australia)

**Clark, Jonna Derbenwick**

**Assistant Professor without Tenure, Pediatrics, effective 7/11/2011**

Prior UW Appointment:  
Fellow, Pediatrics

Degrees:

- MD, 2003, Oregon Health Sciences University
- BS, 1998, Georgetown University

**Evans, Yolanda Nicole**

**Assistant Professor without Tenure, Pediatrics, effective 7/1/2011**

Prior UW Appointment:  
Fellow, Pediatrics

Degrees:

- MPH, 2011, University of Washington
- MD, 2005, Oregon Health Sciences University
- BS, 2001, University of Alaska

**Patterson, Janna C.**

**Assistant Professor without Tenure, Pediatrics, effective 7/1/2011**

Prior UW Appointment:  
Acting Instructor, Pediatrics

Degrees:

- MD, 2004, University of Alabama
- MPH, 2000, University of Alabama
- BA, 1992, University of Wisconsin

**Uspal, Neil Gary**

**Assistant Professor without Tenure, Pediatrics, effective 8/1/2011**

Degrees:  
• MD, 2003, University of Pittsburgh  
• BS, 1999, Pennsylvania State University

**Department of Psychiatry and Behavioral Sciences**

**Davydow, Dimitry**

**Assistant Professor without Tenure, Psychiatry and Behavioral Sciences, effective 7/1/2011**

Prior UW Appointment:  
Acting Assistant Professor, temporary, Psychiatry and Behavioral Sciences

Degrees:

- MD, 2002, University of Missouri (Kansas City)
- BA, 2001, University of Missouri (Kansas City)

**Jakupcak, Matthew**

**Assistant Professor without Tenure, Psychiatry and Behavioral Sciences, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Psychiatry and Behavioral Sciences

Degrees:

- PhD, 2003, University of Massachusetts
- BA, 1997, University of Montana

**McDonell, Michael**

**Assistant Professor without Tenure, Psychiatry and Behavioral Sciences, effective 5/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Psychiatry and Behavioral Sciences

Degrees:

- PhD, 2004, Washington State University
- MS, 2001, Washington State University
- BA, 1998, Gonzaga University

**Rockhill, Carol M.**

**Assistant Professor without Tenure, Psychiatry and Behavioral Sciences, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Psychiatry and Behavioral Sciences

Degrees:

- MPH, 2007, University of Washington
- MD, 2000, University of Illinois
- MS, 1993, University of Illinois
- BS, 1987, University of Illinois

**Department of Radiation Oncology**

**Chvetsov, Alexei**

**Associate Professor without Tenure, Radiation Oncology, effective 6/1/2011**

Prior Non-UW Appointment:

Assistant Professor, Therapeutic Radiological Physics, University of Florida

Degrees:

- PhD, 1992, Moscow Institute of Engineering Physics
- MS, 1985, Moscow Institute of Engineering Physics

**Fang, Li-Ming Christine**

**Assistant Professor without Tenure, Radiation Oncology, effective 7/1/2011**

Degrees:

- MD, 2005, University of Utah
- BS, 1999, University of California (Berkeley)

## **Department of Radiology**

### **Lehnert, Bruce Edwin**

**Assistant Professor without Tenure, Radiology, effective 7/1/2011**

Prior UW Appointment:  
Fellow, Radiology

Degrees:

- MD, 2005, University of New Mexico
- BA, 1998, University of California (Santa Cruz)

### **Padia, Siddharth A.**

**Assistant Professor without Tenure, Radiology, effective 7/1/2011**

Prior UW Appointment:  
Acting Assistant Professor, temporary, Radiology

Degrees:

- MD, 2003, Johns Hopkins University
- BA, 1998, Northwestern University

## **Department of Rehabilitation Medicine**

### **Johnson, Shana L.**

**Assistant Professor without Tenure, Rehabilitation Medicine, effective 7/1/2011**

Prior Non-UW Appointment:  
Private practice

Degrees:

- MD, 2004, Medical College of Wisconsin
- BS, 2000, University of Wisconsin (Madison)

### **McNalley, Thomas Edward**

**Assistant Professor without Tenure, Rehabilitation Medicine, effective 6/1/2011**

Prior UW Appointment:  
Acting Assistant Professor, temporary, Rehabilitation Medicine

Degrees:

- MD, 2004, University of Iowa
- MA, 1987, University of Virginia
- BA, 1983, Reed College

### **Svircev, Jelena Natascha**

**Assistant Professor without Tenure, Rehabilitation Medicine, effective 6/1/2011**

Prior UW Appointment:  
Clinical Assistant Professor, Rehabilitation Medicine

Degrees:

- MD, 2001, University of Wisconsin
- BA, 1997, University of Minnesota
- BS, 1997, University of Minnesota

## **Department of Surgery**

### **Khandelwal, Saurabh**

**Assistant Professor without Tenure, Surgery, effective 7/1/2011**

Prior UW Appointment:

Acting Assistant Professor, temporary, Surgery

Degrees:

- MD, 2002, Rush Medical College
- BA, 1998, George Washington University

## **School of Nursing**

### **Department of Family and Child Nursing**

#### **Walker, Amy J**

**Assistant Professor, Family and Child Nursing, effective 9/16/2011**

Prior UW Appointment:

Clinical Assistant Professor, Family and Child Nursing

Degrees:

- PhD, 2008, Oregon Health Sciences University
- MSN, 1997, Vanderbilt University
- BA, 1992, Mount Holyoke College

## **School of Public Health**

### **Department of Global Health**

#### **Babigumira, Joseph Brian**

**Assistant Professor without Tenure, Global Health, effective 6/1/2011**

Degrees:

- PhD, 2011, University of Washington
- MS, 2004, Case Western Reserve University
- MB ChB, 2000, Mbarara University (Uganda)

## **Department of Health Services**

#### **Ko, Linda**

**Assistant Professor without Tenure, Health Services, effective 8/1/2011**

Degrees:

- PhD, 2008, University of North Carolina
- MPH, 2000, Boston University
- MS, 1999, University of Texas (El Paso)
- BS, 1994, University of Texas (El Paso)

## **University of Washington, Bothell**

### **Science and Technology, Bothell**

#### **Stredwick, Kristina Linnea**

**Assistant Professor, Science and Technology, Bothell, effective 9/16/2011**

Prior UW Appointment:

Research Associate, Civil and Environmental Engineering

Degrees:

- PhD, 2005, Michigan State University
- BS, 1998, Pacific Lutheran University

**University of Washington, Tacoma**

**Institute of Technology, Tacoma**

**Friedman, Robert**

**Associate Professor, Institute of Technology, Tacoma,  
effective 8/15/2011**

Prior Non-UW Appointment:

Associate Professor, Humanities, New Jersey Institute of  
Technology

Degrees:

- MS, 2002, New Jersey Institute of Technology
- BA, 1994, City University of New York
- PhD, 1993, City University of New York
- MFA, 1987, Brooklyn College

**Nursing Program, Tacoma**

**Wilson, Alexis Ann**

**Senior Lecturer, Full-time, Nursing, Tacoma, effective  
9/16/2011**

Prior UW Appointment:

Clinical Assistant Professor, Salaried, Nursing, Tacoma

Degrees:

- PhD, 1997, Union Institute and University
- MPH, 1986, Columbia University
- BSN, 1976, Pacific Lutheran University

## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

UW Medicine Board ReappointmentsRECOMMENDED ACTION:

It is the recommendation of the University President and the Academic and Student Affairs Committee that the Board of Regents make the following reappointment to the UW Medicine Board:

Reappointment

JoAnn Taricani

July 1, 2011 – June 30, 2014

BACKGROUND

Article 1, Section 1 of the UW Medicine Board Bylaws states, “The UW Medicine Board (the “Board”) shall consist of sixteen (16) members, including the President of the University and the CEO/EVPMA/Dean, who shall serve as *ex officio* members of the Board with full voice and vote. The Board members shall be appointed by the Board of Regents. The Chair of the Board of Regents shall appoint the Chairperson of the UW Medicine Board. At least one Board member shall be a member of the Board of Regents. One Board member shall be a member of the faculty of the University nominated by the President of the University. The remaining twelve (12) Board members shall be nominated by the President of the University from among people who have broad public perspectives and do not represent any special interest group.”

Dr. Taricani is a UW associate professor and chair of the Division of Music History at the UW School of Music. She received her doctorate from the University of Pennsylvania in music history and has published articles in the fields of American and Renaissance music, including work on music written by the novelist Henry Fielding, published by Oxford University Press in 2004. At the UW, she has chaired the provost's Academic Advisory Committee on Legislative Matters and the Faculty Council on University Relations, and served on several presidential task forces. She served as the faculty legislative representative and subsequently worked in the UW Office of Government Relations. From 2003 to 2005, Dr. Taricani was special counsel to the president of the University of Michigan, where she continues to provide services as a consultant on university events. It is recommended that Dr. Taricani be appointed for a three year term ending June 30, 2014.



VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

UW Medicine Board Reappointments (continued p. 2)

Under the Bylaws of the UW Medicine Board it states that “the term of office of each appointed Board member shall be three years. No appointed Board member may serve more than three successive three-year terms....”

**UW MEDICINE BOARD APPOINTMENT DATES**

	<u>Term of Recommended Appointment</u>	<u>Changes</u>
James Anderson	1/1/10 to 12/31/12	
Alan Frazier	7/1/09 to 6/30/12	
Michael D. Garvey	2/1/09 to 1/31/12	
Allan C. Golston	11/1/08 to 10/31/11	
Gerald Grinstein	1/1/10 to 12/31/13	
Sally Jewell	10/1/10 to 9/30/13	
Shan Mullin	9/1/10 to 8/31/13	
Julie Nordstrom	11/1/08 to 10/31/11	
Dennis Okamoto	10/1/09 to 9/30/12	
William Rex	1/1/10 to 12/31/12	
Herman Sarkowsky	10/1/10 to 9/30/13	
Paul G. Ramsey, M.D. CEO UW Medicine Executive Vice President for Medical Affairs and Dean of the School of Medicine, University of Washington	Ex-Officio	
JoAnn Taricani	7/1/11 to 6/30/14 <i>reappointment</i>	
Michael Young President University of Washington	Ex-Officio	

## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

Department of Gender, Women and Sexuality Studies – Establishment of the Graduate Certificate in Sexuality and Queer 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 graduate faculty of the Department of Gender, Women and Sexuality Studies to offer the Graduate Certificate in Sexuality and Queer Studies, effective immediately. The graduate certificate program will have provisional status with a review to be scheduled in the 2015-2016 academic year. At such time that continuing status is granted, the ten-year review cycle would begin.

## BACKGROUND:

In October 2010, the Graduate School received a proposal from the graduate faculty in the Department of Gender, Women and Sexuality Studies requesting authority to offer the Graduate Certificate in Sexuality and Queer Studies. The graduate certificate program will require twenty (20) student credit hours. Student learning goals will include: analyzing the multiple genealogies of queer scholarship and political practice through courses centered on the foundational work of queer scholars and scholars of queer studies; being able to interrogate and analyze the complex intersections of sexualities and other dimensions of social power through courses that address sexuality, race, political economy, and other dimensions of inequality; learning skills of effective communication about sexualities and queer studies through both writing and speaking; and developing skills in collaboration with the provision of opportunities for cross-disciplinary teaching, student projects, and coalitional communities projects.

Duke University, the University of Minnesota, Ohio State University, and the City University of New York, Yale University, and UCLA have been at the forefront of establishing the intellectual depth and rigor of Sexuality and Queer Studies by offering undergraduate majors and minors in this field. Recently, several of these universities have begun to offer a graduate certificate to recognize and systematize the extensive research available in this area in the form of an academic graduate program. The department has assessed the curricula at universities in Washington, Oregon, Montana, Wyoming and Idaho. None of these institutions offer a graduate degree, a graduate certificate, or an undergraduate major in sexuality and/or queer studies. Washington State University, Western Washington University and the University of Oregon do offer an undergraduate minor in queer studies. The proposed certificate program

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Department of Gender, Women and Sexuality Studies – Establishment of the Graduate Certificate in Sexuality and Queer Studies (continued p. 2)

will enable training at the graduate level in this field that is not available in the Pacific Northwest region.

Former UW President Richard McCormick established a LGBT Task Force in 1999. The Task Force's final report included a recommendation that the University "develop a LGBT studies curriculum at both the graduate and undergraduate levels on the Bothell, Tacoma, and Seattle Campuses." Creation of a graduate certificate in Sexuality and Queer Studies at the UW represents a step toward the development of a cohesive curriculum as proposed by this Task Force. As LGBT, Queer, and Sexuality Studies gain academic currency, professional academic positions in this area are becoming more frequent. This certificate will strengthen UW graduates' competitiveness for such positions, both in traditional disciplines and in interdisciplinary programs.

The Governing Board of the graduate certificate program will be interdisciplinary, to include faculty from the three University of Washington campuses representing the social sciences, humanities and natural sciences. No additional budgetary support is required for the program to be sustained as an on-going program. The core and elective coursework are offered currently in the UW curricula.

On November 4, 2010, the Graduate School Council considered the Graduate Certificate Program in Sexuality and Queer Studies proposal. The Council recommended unanimously that the proposed certificate program be forwarded to the Board of Regents for approval.

The Vice Provost and Dean of the Graduate School, the Dean of the College of Arts and Sciences, and the Interim Provost have reviewed this recommendation. The Higher Education Coordinating Board will be informed of the Board of Regents' action on the proposed Graduate Certificate Program in Sexuality and Queer Studies.

## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

The Graduate School – Transfer of the Computational Finance Graduate Certificate Program

## RECOMMENDED ACTION:

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents grant authority to the Interdisciplinary Computational Finance Steering Committee, located administratively in the Graduate School, to transfer the Computational Finance Graduate Certificate Program to the Department of Applied Mathematics, effective immediately. The graduate certificate program will be reviewed with the Department of Applied Mathematics degree programs in the 2017-2018 academic year.

## BACKGROUND:

On March 10, 2004, the Board of Regents granted authority to the graduate faculty of the Interdisciplinary Computational Finance Steering Committee to offer the Computational Finance Graduate Certificate, effective Autumn Quarter 2004.

In the 2009-2010 academic year, the Graduate School conducted a review of the Computational Finance Graduate Certificate Program. A review committee was appointed and included two University of Washington faculty, the Dean of the College of Humanities and Social Sciences, Carnegie Mellon University, and an industry representative, the Corporate Vice President and Treasurer of Microsoft. The committee found that the graduate certificate program has been successful at attracting students and the record of placement post-PhD has been very strong. The committee recommended that the program be continued, but its foundation should be strengthened; a department home should be identified to provide stability and long-term support; a revenue stream should be developed to allow growth in faculty and the curriculum and to ensure stability, most likely from the development of a master's program. The Department of Applied Mathematics expressed interest in the possibility of becoming the administrative home for the graduate certificate program and in developing the master's program.

The department subsequently developed a proposal for a fee-based master's degree program. On June 9, 2011, the Board of Regents granted authority to the graduate faculty in the Department of Applied Mathematics to offer the Master of Computational Finance and Risk Management degree program on a self-sustaining basis.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### The Graduate School – Transfer of the Computational Finance Graduate Certificate Program (continued p. 2)

On February 7, 2011, the Graduate School received a request from the Director of the Interdisciplinary Computational Finance Program for approval to transfer the Computational Finance Graduate Certificate to the Department of Applied Mathematics. In a letter of February 7, 2011, the Department of Applied Mathematics Chair concurred with the request for the graduate certificate program transfer and for the department to become its administrative home. The transfer will result in both the graduate certificate program and the master's degree program being located in the same academic unit.

The Vice Provost and Dean of the Graduate School, the Dean of the College of Arts and Sciences, and the Interim Provost have reviewed and approved the recommendation for transfer of the Computational Finance Graduate Certificate Program to the Department of Applied Mathematics.

## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

School of Art – Degree Title Change for the Master of Fine Arts

## 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 School of Art to change the title for the Master of Fine Arts (MFA) degree to the Master of Design (MDes), effective Autumn Quarter, 2011. The Master of Design degree program will be reviewed with the School of Art's undergraduate and other graduate programs in 2019-2020.

## BACKGROUND:

On May 25, 2011, the Graduate School received a memorandum from the Director of the School of Art requesting approval to change the degree title of the Master of Fine Arts to the Master of Design. The College of Arts and Sciences Dean supports the request for the degree title change.

The curriculum and requirements will remain the same. Students who graduated in Spring Quarter 2011 are the last class to receive the Master of Fine Arts degree. Five continuing students who will graduate in Spring Quarter 2012 will be given the option to receive either an MFA or the MDes degree. Students in the Division of Design will thereafter receive the MDes degree.

In the 2009-2010 academic year, the Graduate School conducted the 10-year review of the School of Art. One review committee recommendation was that the School “continue discussion of name change and degree changes (in design) that will more accurately represent the current program offerings to various stakeholders including prospective students and their parents, the campus community, external constituents, peer institutions, and prospective sponsors and employers.”

The design industry emerged only in the late nineteenth century. Early in the profession, the boundaries between fine arts and design were blurred—both disciplines were concerned primarily with aesthetics and the development of visual form. Design has evolved into a profession that requires competency in the creation of form and other skills, knowledge and abilities. The required competencies have led to clear differences between the School of Art's Divisions of Art and Design, both in terms of an overall philosophical approach and specific curricular requirements. Prospective employers seek and prefer to hire graduates with degrees in design. The term “MFA” has become specific to academic

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### School of Art – Degree Title Change for the Master of Fine Arts (continued p. 2)

employers seeking faculty candidates in the Fine Arts; the “Master of Design” is increasingly specified in search listings for design faculty positions. The Master of Design is also more attractive to corporations seeking to employ designers as it signifies a greater focus on design research and problem solving—activities appropriate to the UW’s reputation as a major research institution.

A specific degree in Design will acknowledge the distinctions that have emerged between the traditional areas of study in the Fine Arts (i.e., Painting, Ceramics, Sculpture, Printmaking, Fibers, Metals, etc.) and the more recent disciplines of Design (Visual Communication Design, Industrial Design, Interaction Design, etc.). The Master of Design would reduce emphasis on a specific program specialization. Students will benefit from this change by having a more flexible overall degree that will qualify them for a wide variety of professional opportunities. The change to a Master of Design will increase the visibility of the Design degree program. Finally, it will more accurately reflect the cross-disciplinary teaching that is fostered in the Division where all design students have the opportunity to take courses across all three programs.

The Vice Provost and Dean of the Graduate School, the Dean and Divisional Dean of Arts and Humanities in the College of Arts and Sciences, and the Interim Provost have reviewed and approved the recommendation for the degree title change. The Higher Education Coordinating Board will be informed of the Board of Regents’ action on the degree title change for the Master of Fine Arts to the Master of Design.

## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

Department of Linguistics – Title Change for the Master of Arts in Computational Linguistics

## 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 Department of Linguistics to offer the Master of Science (MS) in Computational Linguistics as a change of degree title from the current Master of Arts (MA) in Computational Linguistics, effective immediately.

## BACKGROUND:

The Department of Linguistics began offering the Master of Arts (MA) program in Computational Linguistics in 2005 and awarded its first degrees in 2006. Since that time the program has been highly successful, graduating 44 students. However, the department has found that the MA designation does not reflect the technical content of the program and thus puts students at a disadvantage when they enter the workforce to compete against students with MS degrees in the field. In terms of the integration of computational methods with previously non-computational disciplines, the computational linguistics program is comparable to the iSchool's Master of Science in Information Management and the Department of Human Centered Design & Engineering's Master of Science in Human Centered Design and Engineering.

In December, 2011, the Department of Linguistics submitted a proposal to the Graduate School to convert the current MA in Computational Linguistics to an MS program. This change would impact the degree title only; all other aspects of the program would remain unchanged. As part of the department's Academic Program Review in February, 2011, the faculty review committee recommended approval of this conversion. The proposal was then taken to the Higher Education Coordinating Board Education Committee as a "Moderate Degree Change Proposal" in June, 2011, followed by approval from the full Higher Education Coordinating Board on June 30, 2011.

The Vice Provost and Dean of the Graduate School, the Dean of the College of Arts & Sciences, and the Provost have reviewed and approved the recommendation. The Higher Education Coordinating Board will be informed of the Board of Regents' approval of the Department's master's degree program title change.



## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

The Proposed Undergraduate Degree in Aerospace Engineering: Abu Dhabi

## RECOMMENDED ACTION:

The University of Washington is proposing an undergraduate degree completion program in aerospace engineering that will be delivered in Abu Dhabi, United Arab Emirates, through an agreement that will last for a ten-year period. The program would not require any state funds and would be funded by the Mubadala Development Company, a company wholly owned by the Crown Prince of Abu Dhabi. This proposed degree would be available only in Abu Dhabi and has been designed for students residing in Abu Dhabi. It would accept students from the region, primarily from the United Arab Emirates University (UAEU) who, after their first two years of study, meet all the requirements of the University of Washington. Starting in 2013-2014, the UW would offer a two-year degree completion program and also work with the UAEU to enable them to offer their own degree in aerospace engineering. UW classes would be held in the facilities of the UAEU in Al Ain, Abu Dhabi. By 2021-2022, the UW would no longer offer the degree, which would then be solely delivered by the UAEU.

## BACKGROUND:

Context

This undergraduate degree will be offered within the context of other UW educational and research programs over the ten-year period of the agreement. The UW will admit up to 8 qualified students from Abu Dhabi to its current Aeronautics and Astronautics (A&A) degree program in Seattle. We will also offer the current online master degree in A&A to students in Abu Dhabi with onsite mentoring through the UAEU. Finally, the UW and the UAEU will collaborate on significant research projects during the 10-year agreement. Funding to the UW will total more than \$110M for the entire collaboration.

Purpose

The University of Washington hopes to achieve three goals in the delivery of this program.

1. Internationalization of Education. This degree will allow UW faculty to work with students in Abu Dhabi to better understand the demands of international education. They will begin to apply pedagogical techniques in the Abu Dhabi classroom that can be applied to a broader student base,

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### The Proposed Undergraduate Degree in Aerospace Engineering: Abu Dhabi (continued p. 2)

including international students. The UW will also admit a small number of students (no more than 8 annually) into its regular degree program in Seattle that will further internationalize the UW and the College of Engineering. The students in Seattle will be admitted on a fee basis and will be in addition to the current number of students admitted to the A&A program. They will not displace Washington State residents from the program.

2. International Research Collaborations. Part of the agreement will fund significant research partnerships between faculty at the UAEU and the UW. This research collaboration will leverage the strengths of these two institutions and lead to international breakthroughs in aeronautical engineering. Mubadala will fund research amounting to \$10M annually for over the ten-year agreement, with funding to be divided equally between the UW and the UAEU.
3. Trade of Washington State. This program and partnership has been proposed by the Boeing Company which has been very active in Abu Dhabi. We hope that this collaborative effort will lead to increased exports for Washington State.

These goals and this program map well to the UW mission of providing access to its resources on an international scale.

#### Students

The students for the new degree program will be recruited from the United Arab Emirates, primarily from the UAEU. They must attend a local university for two years and then transfer to the UW with all the necessary requirements to be admitted into the program. The admission requirements will mirror the requirements of students who attend the UW and the UW Department of Aeronautics and Astronautics. Based upon several projections, the number of students in Abu Dhabi is expected to progressively increase from approximately 35 to 70 at which point the UW will cease to admit students and will direct students to the new aerospace engineering program at the UAEU.

#### Funding

The educational aspects of the partnership, as well as the research part of the agreement, will be completely funded by the Mubadala Development Company, a company wholly owned by the Crown Prince of Abu Dhabi.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### The Proposed Undergraduate Degree in Aerospace Engineering: Abu Dhabi (continued p. 3)

In addition to the financial support needed for the undergraduate degree in Abu Dhabi, Mubadala will fund three additional faculty in Seattle who will provide instruction to UW students on campus in Seattle. They represent additional resources for the A&A program in Seattle.

The funding from Mubadala will serve as a stable source for this fee-based program. Currently, Mubadala owns parts of several large international companies such as Ferrari and AMD. As a perspective, the Crown Prince and Mubadala keep \$2.3 trillion in cash as a reserve for their investment portfolio.

#### Faculty

The faculty of the degree program in Abu Dhabi will consist of three types:

- Most of the new faculty needed for this program will be recruited jointly by the UW and the UAEU specifically for this program and will represent the best faculty resources in the U.S. and Europe. They will be paid salaries in excess of their counterparts in Europe and the U.S. During the ten-year partnership, current faculty from the UAEU and the UW will recruit, interview and hire qualified new faculty. These new hires will spend a minimum of two quarters teaching, learning the curriculum and starting research collaborations with faculty at the University of Washington in Seattle. After their mentorship in Seattle, they will move to Abu Dhabi to teach in the UW program with the equivalent of tenure-track status at the UAEU and affiliate status at the UW. This process will start with two faculty in year one and repeat until a full contingent of faculty has been hired and is in place at the UAEU.
- Current UW tenure-track faculty will travel to Abu Dhabi and teach for one quarter per calendar. We expect, on average, one faculty a year to spend a quarter in Abu Dhabi, teaching in the undergraduate program. They will also consult with the UAEU about the development of their own program in aerospace engineering.
- Periodically, an industry expert from Boeing, Airbus or another company stationed in the UAEU, is expected to teach a class in the UW degree program.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### The Proposed Undergraduate Degree in Aerospace Engineering: Abu Dhabi (continued p. 4)

##### Program Curriculum

The program curriculum will mirror the current degree in aeronautics and astronautics with one major exception. Rather than deal with the full gamut of courses, the undergraduate degree program in Abu Dhabi will focus on the current classes in aeronautical engineering, and will not also contain an emphasis on astronautics. The department may choose to develop one or two new classes for the curriculum. In essence, the new degree will represent a very minor modification of the current curricular content of the A&A degree in Seattle. As stated above, we expect students to enter the program with 90 credits, including all the UW, College of Engineering and departmental prerequisites. Upon admission, students would be required to earn 90 more credits to complete the aerospace engineering degree.

##### Demand in Abu Dhabi

Abu Dhabi realizes that its stockpile of petroleum will vanish within twenty or thirty years. To diversify their economy, the government has identified four industries, including aerospace, which will be developed over the next five years. No program in aerospace engineering currently exists in Abu Dhabi. The planned enrollment of the academic program is based on Mubadala aerospace manpower requirements as provided through the consultancy study by Oliver Wyman and updated later by Mubadala. This study shows that by 2020 the total manpower requirements for the UAE aerospace Industry will be approximately 10,000, of which approximately 7,000 are technical with the remainder being management and administrative staff.

##### UW Degree Oversight

In addition to the UW faculty who travel to Abu Dhabi, the UW will hire and place a program director onsite at Abu Dhabi. This director would be supplemented onsite by a UW advisor, a student services specialist, and a staff person.

To recruit faculty and ensure the quality of the curriculum, an A&A faculty member in Seattle will also serve as a Seattle-based program director and have the needed support staff. The fiscal, administrative and program management staff would be provided by UW Educational Outreach for this fee-based program. UWEO would also assume the financial risk for this fee-based program.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### The Proposed Undergraduate Degree in Aerospace Engineering: Abu Dhabi (continued p. 5)

#### Approvals for the Degree

The degree program has been reviewed by the appropriate committees. Within the UW, formal approval has been received from the faculty in the A&A Department, the Council on Educational Policy in the College of Engineering and the Faculty Council on Academic Standards. The Higher Education Coordinating Board will be informed of the Board of Regents' action on the Undergraduate Degree in Aerospace Engineering, Abu Dhabi.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Annual Overview from Intercollegiate Athletics: NCAA Compliance and Student-Athlete Academic Services Report

This item is for information only.

*Attachment*

NCAA Compliance & Student-Athlete Academic Services Report, July 21, 2011



# UW Department of Intercollegiate Athletics



## NCAA Compliance & Student-Athlete Academic Services Report

### **UW BOARD OF REGENTS ACADEMIC & STUDENT AFFAIRS COMMITTEE**

**JULY 21, 2011**

# Graduation & Academic Results



- **Academic Progress Rate**

- ✦ All UW teams are above the 925 APR penalty threshold.
- ✦ Women's Soccer & Women's Golf received NCAA public recognition for multi-year APR rates (perfect 1000 scores)
- ✦ Lowest teams are Football (946) & Men's Track & Field (953).

- **Graduation Success Rate**

- ✦ UW Grad Success Rate = 87% (national 79%) - our highest rate since GSR rates have been published.
- ✦ 1st among all Division I public universities on the West Coast.
- ✦ 2<sup>nd</sup> best in the Pac-12 (Stanford = 94%)



# Graduation & Academic Results



## Team GPA information (Spring 2011)

### 11 teams above 3.00

<b>Men's Crew</b>	<b>3.04</b>
<b>Women's Crew</b>	<b>3.13</b>
<b>Men's Cross Country</b>	<b>3.04</b>
<b>Women's Cross Country</b>	<b>3.23</b>
<b>Gymnastics</b>	<b>3.32</b>
<b>Men's Soccer</b>	<b>3.11</b>
<b>Women's Soccer</b>	<b>3.28</b>
<b>Softball</b>	<b>3.06</b>
<b>Men's Tennis</b>	<b>3.32</b>
<b>Women's Track &amp; Field</b>	<b>3.17</b>
<b>Women's Volleyball</b>	<b>3.01</b>

### 8 teams below 3.00

<b>Baseball</b>	<b>2.74</b>
<b>Men's Basketball</b>	<b>2.56</b>
<b>Women's Basketball</b>	<b>2.42</b>
<b>Football</b>	<b>2.58</b>
<b>Men's Golf</b>	<b>2.92</b>
<b>Women's Golf</b>	<b>2.37</b>
<b>Women's Tennis</b>	<b>2.87</b>
<b>Men's Track &amp; Field</b>	<b>2.83</b>

# Graduation & Academic Results



## Individual Academic Progress (Spring 2011 - 554 total student-athletes)

- 89 student-athletes on the Dean's List.
- 6 student-athletes earned a 4.00 gpa.
- 292 student-athletes with 3.00 or better (53%).
- 8 student-athletes on Academic Probation.
- 3 student-athletes were dropped from the University.

# Important SAAS Initiatives



- Hiring of an additional learning specialist to work with at-risk student-athletes. (Brings total in SAAS to three full-time learning specialist positions)
- SAAS restructuring in 2010-11 – reorganized staff responsibilities to incorporate both academic advising & coordinating and significantly reducing student caseloads.
- Hiring of a new Student-Athlete Development Coordinator to revamp our Life Skills program and continue growing programming, leadership, career development, and health/wellness initiatives.

# Summary of Violations (2007 to Present)



- Major infractions: None
  
- Secondary infractions:
  - 18 cases reported to the NCAA in last 12 months
  - 103 cases reported to the NCAA since 2007:

✦ Recruiting	49
✦ Eligibility	16
✦ Amateurism	11
✦ Playing Seasons	9
✦ Benefits	8
✦ Personnel	8
✦ Financial Aid	2

# Important Compliance Initiatives



- **UW Internal Audit:**

- Spring 2011: UW Office of Internal Audit completed detailed audit of UW compliance processes with only minor recommendations for improvements.
- Areas audited included recruiting, amateurism and the Academic Performance Program .
- 2010-11 audit areas to include recruiting, extra benefits and amateurism.

- **Rules Education:**

- Summer and Fall 2010: Compliance office conducted focused, individualized rules education sessions for various offices within ICA (e.g., tutors, athletic trainers, strength & conditioning staff, equipment room, business office, development, etc.). This will be a continued area of focus for 2011-12.
- 2010-11: In addition to regular rules education programming for UW coaches and student-athletes, the compliance office will conduct “refresher” rules education sessions for campus departments with which ICA interacts most frequently (e.g., Admissions, Financial Aid, Registrar).

# Important Compliance Initiatives



- **External Audit:**
  - In February 2011, ICA hired an external organization (The Compliance Group) to conduct a comprehensive audit of the ICA's compliance systems.
  - Significant findings included:
    - ✦ ICA should hire at least one additional full-time compliance position.
      - Status: ICA will hire this position before Autumn 2011 quarter).
    - ✦ ICA should purchase a comprehensive compliance software package for all sports to improve recruiting monitoring and improve efficiency in several other areas (e.g., eligibility and financial aid).
      - Status: Software package has been purchased; it will be installed this summer and in full use for the Autumn 2011 quarter.
    - ✦ ICA should continue rules educational efforts with non-coaching staff members and increase efforts with boosters.
      - Status: This will be a point of emphasis during 2011-12.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Report of Contributions – May, 2011

For information only.

*Attachment*

University of Washington Foundation Report of Contributions for May 2011

# Report *of* Contributions

**All Areas**

May 2011



UNIVERSITY *of* WASHINGTON | *Foundation*



## ANNUAL PROGRESS BY CONSTITUENCY

School	Current Month				Year to Date			
	Gifts	Private Grants	Total	Donors <sup>1</sup>	Gifts	Private Grants	Total	Donors
UW Medicine	\$2,204,053	\$4,712,144	\$6,916,197	2,116	\$28,822,755	\$86,113,559	\$114,936,315	15,122
Arts and Sciences	\$838,018	\$784,212	\$1,622,230	1,561	\$14,945,192	\$9,349,264	\$24,294,456	13,221
Broadcast Services	\$178,639		\$178,639	472	\$2,742,582		\$2,742,582	12,151
Built Environments	\$72,031		\$72,031	174	\$2,438,705	\$1,484,991	\$3,923,696	1,231
Business School	\$632,520		\$632,520	362	\$11,732,123		\$11,732,123	3,779
Dentistry	\$167,157		\$167,157	108	\$4,629,404	\$116,067	\$4,745,471	1,300
Education	\$139,474	\$38,253	\$177,727	306	\$1,677,800	\$2,307,010	\$3,984,810	1,219
Engineering	\$2,815,045	\$1,138,083	\$3,953,127	372	\$10,900,864	\$11,337,761	\$22,238,625	3,990
Environment	\$427,756	\$355,054	\$782,810	275	\$3,549,248	\$6,327,461	\$9,876,709	2,449
Evans School of Public Affairs	\$9,941		\$9,941	87	\$309,953	\$565,321	\$875,274	455
Graduate School	\$14,794	\$184,972	\$199,766	35	\$1,067,872	\$696,638	\$1,764,510	233
Information School	\$15,857		\$15,857	45	\$401,416	\$521,232	\$922,648	729
Intercollegiate Athletics	\$930,972		\$930,972	1,298	\$20,605,610		\$20,605,610	12,774
Law	\$78,198		\$78,198	136	\$3,459,619	\$350,000	\$3,809,619	1,509
Libraries	\$24,073		\$24,073	360	\$2,183,415		\$2,183,415	5,428
Minority Affairs	\$138,299	\$593,259	\$731,558	296	\$521,833	\$593,259	\$1,115,092	743
Nursing	\$27,422	\$10,000	\$37,422	122	\$1,005,053	\$567,584	\$1,572,637	1,409
Pharmacy	\$152,380	\$161,198	\$313,578	112	\$1,398,214	\$1,948,158	\$3,346,372	1,139
President's Funds	\$38,121		\$38,121	179	\$4,636,700		\$4,636,700	1,341
Public Health	\$166,329	\$1,426,485	\$1,592,814	107	\$761,474	\$19,705,773	\$20,467,246	678
Social Work	\$6,716	\$81,549	\$88,265	62	\$2,076,961	\$714,377	\$2,791,338	867
Student Life	\$96,071		\$96,071	596	\$4,634,456		\$4,634,456	2,978
Undergraduate Academic Affairs	\$8,945		\$8,945	62	\$385,562	\$1,776,568	\$2,162,130	527
University Press	\$1,000		\$1,000	6	\$1,490,150		\$1,490,150	204
UW Alumni Association	\$136,768		\$136,768	2,607	\$829,308		\$829,308	15,941
UW Bothell	\$40,254		\$40,254	200	\$629,793	\$1,071,122	\$1,700,915	678
UW Tacoma	\$45,868		\$45,868	145	\$4,162,127	\$8,029	\$4,170,156	742
Other University Support	\$44,731	\$6,000	\$50,731	153	\$1,173,040	\$1,127,498	\$2,300,538	1,937
<b>Total</b>	<b>\$9,451,430</b>	<b>\$9,491,207</b>	<b>\$18,942,637</b>	<b>11,542</b>	<b>\$133,171,229</b>	<b>\$146,681,671</b>	<b>\$279,852,900</b>	<b>90,503</b>

## MONTHLY HIGHLIGHTS

The UW received \$18.94M in total private voluntary support (\$9.45M in gifts and \$9.49M in grants) in the current month.

Areas including Arts and Sciences, Broadcast Services, Built Environments, Business School, Dentistry, Engineering, Environment, Evans School of Public Affairs, Graduate School, Intercollegiate Athletics, Law, Libraries, Minority Affairs, Pharmacy, Public Health, Undergraduate Academic Affairs, University Press, UW Alumni Association, UW Bothell and UW Tacoma are ahead of last year's year-to-date totals.

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

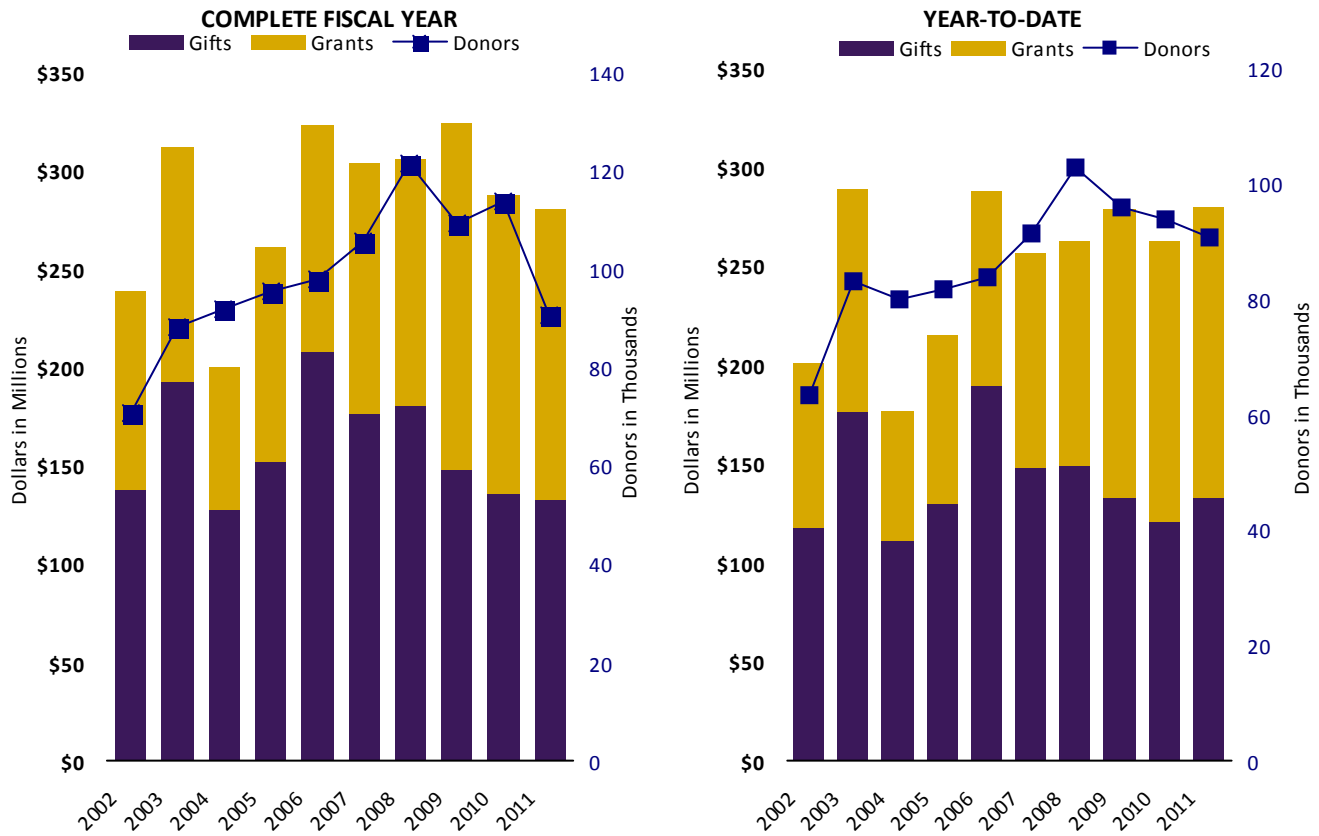
The donor total at the bottom of the chart is not a cumulative total of the rows above. The donor total is the number of unique donors who have been credited with a gift to the UW during the given time period.

**DEVELOPMENT SUMMARY BY CONSTITUENCY**

School	Current Month		Year to Date		Prior Year to Date		Prior Year Total	
	Total	Donors	Total	Donors	Total	Donors	Total	Donors
UW Medicine	\$6,916,197	2,116	\$114,936,315	15,122	\$128,665,369	14,930	\$137,228,784	15,896
Arts and Sciences	\$1,622,230	1,561	\$24,294,456	13,221	\$21,189,885	13,243	\$22,353,398	13,980
Broadcast Services	\$178,639	472	\$2,742,582	12,151	\$2,492,697	15,015	\$2,884,588	21,203
Built Environments	\$72,031	174	\$3,923,696	1,231	\$2,240,604	1,220	\$2,460,168	1,345
Business School	\$632,520	362	\$11,732,123	3,779	\$11,620,057	3,927	\$13,466,725	4,129
Dentistry	\$167,157	108	\$4,745,471	1,300	\$3,147,919	1,180	\$3,317,422	1,250
Education	\$177,727	306	\$3,984,810	1,219	\$4,202,860	1,413	\$4,695,480	1,575
Engineering	\$3,953,127	372	\$22,238,625	3,990	\$19,282,070	4,155	\$22,392,566	4,345
Environment	\$782,810	275	\$9,876,709	2,449	\$7,676,698	1,880	\$8,056,542	2,066
Evans School of Public Affairs	\$9,941	87	\$875,274	455	\$644,962	436	\$729,548	508
Graduate School	\$199,766	35	\$1,764,510	233	\$932,986	307	\$946,285	312
Information School	\$15,857	45	\$922,648	729	\$1,556,791	650	\$1,598,080	699
Intercollegiate Athletics	\$930,972	1,298	\$20,605,610	12,774	\$13,448,344	13,282	\$17,893,004	24,696
Law	\$78,198	136	\$3,809,619	1,509	\$1,521,086	1,698	\$1,644,729	2,038
Libraries	\$24,073	360	\$2,183,415	5,428	\$968,056	5,151	\$1,034,271	5,362
Minority Affairs	\$731,558	296	\$1,115,092	743	\$417,402	641	\$538,889	738
Nursing	\$37,422	122	\$1,572,637	1,409	\$3,426,733	1,663	\$3,464,905	1,743
Pharmacy	\$313,578	112	\$3,346,372	1,139	\$3,106,701	986	\$3,869,407	1,046
President's Funds	\$38,121	179	\$4,636,700	1,341	\$560,886	1,428	\$586,255	1,536
Public Health	\$1,592,814	107	\$20,467,246	678	\$16,333,935	709	\$16,560,816	754
Social Work	\$88,265	62	\$2,791,338	867	\$3,614,972	784	\$3,641,796	832
Student Life	\$96,071	596	\$4,634,456	2,978	\$5,066,743	2,621	\$5,341,443	2,802
Undergraduate Academic Affairs	\$8,945	62	\$2,162,130	527	\$666,090	626	\$688,975	640
University Press	\$1,000	6	\$1,490,150	204	\$250,990	132	\$292,500	169
UW Alumni Association	\$136,768	2,607	\$829,308	15,941	\$778,647	16,487	\$894,199	18,266
UW Bothell	\$40,254	200	\$1,700,915	678	\$1,389,964	570	\$1,556,176	630
UW Tacoma	\$45,868	145	\$4,170,156	742	\$1,853,610	741	\$3,009,562	827
Other University Support	\$50,731	153	\$2,300,538	1,937	\$5,367,056	2,369	\$5,482,304	2,729
<b>Total<sup>1</sup></b>	<b>\$18,942,637</b>	<b>11,542</b>	<b>\$279,852,900</b>	<b>90,503</b>	<b>\$262,424,112</b>	<b>93,698</b>	<b>\$286,628,819</b>	<b>113,746</b>

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

### FISCAL YEAR COMPARISON OF TOTAL CONTRIBUTIONS



Fiscal Year	Complete Fiscal Year				Year to Date			
	Gifts	Private Grants	Total	Donors	Gifts	Private Grants	Total	Donors
2010-2011	\$133,171,229	\$146,681,671	\$279,852,900	90,503	\$133,171,229	\$146,681,671	\$279,852,900	90,503
2009-2010	\$135,813,022	\$150,815,796	\$286,628,819	113,746	\$120,807,986	\$141,616,127	\$262,424,112	93,698
2008-2009	\$148,364,809	\$175,713,667	\$324,078,477	109,083	\$133,003,668	\$145,718,463	\$278,722,132	95,658
2007-2008	\$180,735,444	\$124,224,214	\$304,959,657	121,447	\$149,374,507	\$113,154,591	\$262,529,098	102,555
2006-2007	\$176,490,215	\$126,399,369	\$302,889,584	105,353	\$148,440,970	\$107,907,490	\$256,348,460	91,213
2005-2006	\$207,744,231	\$115,261,186	\$323,005,417	97,876	\$190,107,545	\$96,947,162	\$287,054,707	83,616
2004-2005	\$151,969,925	\$108,802,371	\$260,772,296	95,227	\$130,236,981	\$85,036,054	\$215,273,035	81,488
2003-2004	\$128,174,367	\$71,603,323	\$199,777,690	91,903	\$110,607,045	\$65,698,478	\$176,305,523	79,741
2002-2003	\$192,573,183	\$118,677,722	\$311,250,905	88,259	\$176,755,934	\$111,251,784	\$288,007,718	82,892
2001-2002	\$137,959,340	\$100,820,547	\$238,779,887	70,560	\$118,125,206	\$82,636,715	\$200,761,921	63,450



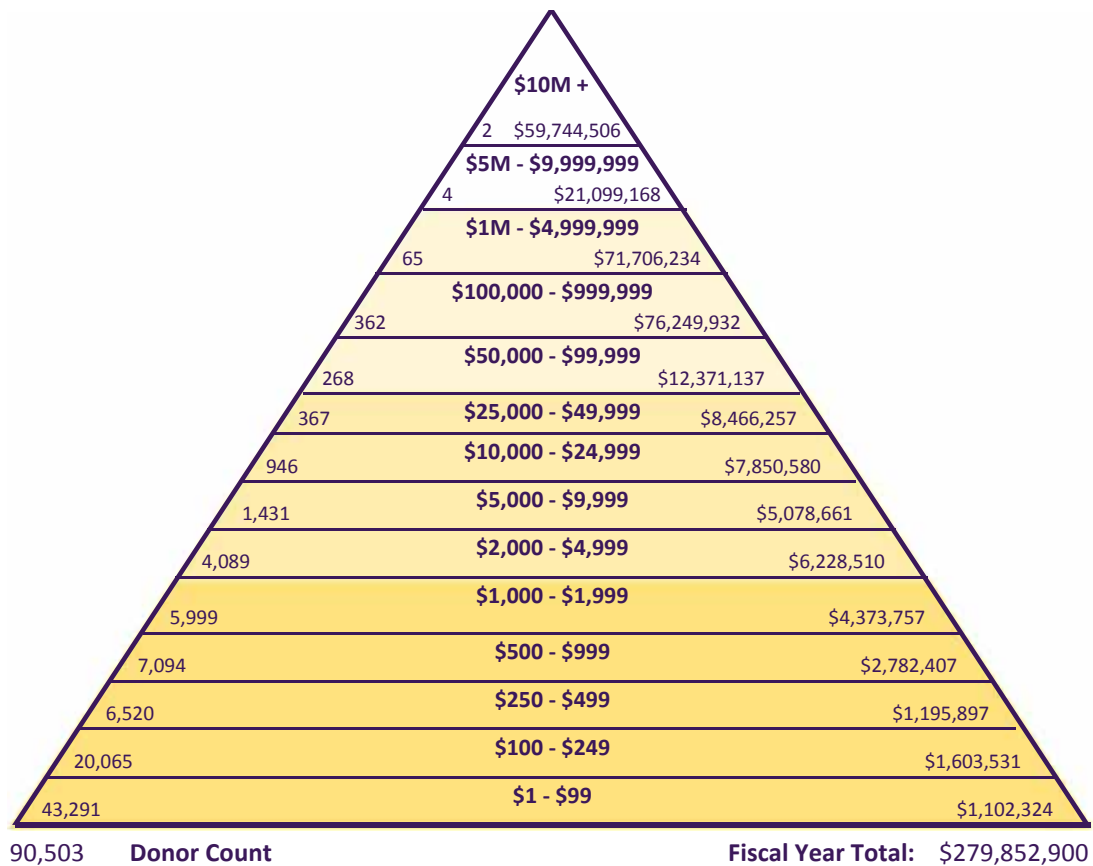
### ANNUAL FUNDING THEME PROGRESS

Theme	Year to Date		
	Current Use	Endowment	Total
Student Support	\$8,582,040	\$13,300,173	\$21,882,213
Faculty Support	\$8,011,638	\$7,665,085	\$15,676,723
Program Support for Faculty and Students	\$184,423,188	\$15,745,404	\$200,168,593
Capital	\$15,894,257	\$722	\$15,894,979
Excellence Funds	\$24,217,393	\$2,013,000	\$26,230,393
<b>Total</b>	<b>\$241,128,516</b>	<b>\$38,724,384</b>	<b>\$279,852,900</b>

### DEVELOPMENT ACTIVITY BY DONOR TYPE

Donor Type	Year to Date		Prior Year to Date		Prior Fiscal Year	
	Donors	Total	Donors <sup>1</sup>	Total	Donors	Total
Alumni	42,005	\$41,860,843	44,386	\$30,439,878	50,992	\$35,117,094
Corporations	2,248	\$43,442,584	2,441	\$37,824,900	2,832	\$43,318,033
Family Foundations	155	\$13,159,892	165	\$11,340,487	171	\$13,713,745
Foundations	406	\$87,652,903	404	\$86,648,984	433	\$89,376,760
Non-Alumni	45,132	\$25,588,904	45,770	\$32,785,174	58,737	\$35,745,608
Organizations	557	\$68,147,775	532	\$63,384,689	581	\$69,357,578
<b>Total</b>	<b>90,503</b>	<b>\$279,852,900</b>	<b>93,698</b>	<b>\$262,424,112</b>	<b>113,746</b>	<b>\$286,628,819</b>

### DEVELOPMENT ACTIVITY PYRAMID



<sup>1</sup> Prior Fiscal Year to Date numbers reflect the number of alumni for the reported period based on the state of the data at the end of the prior fiscal year.



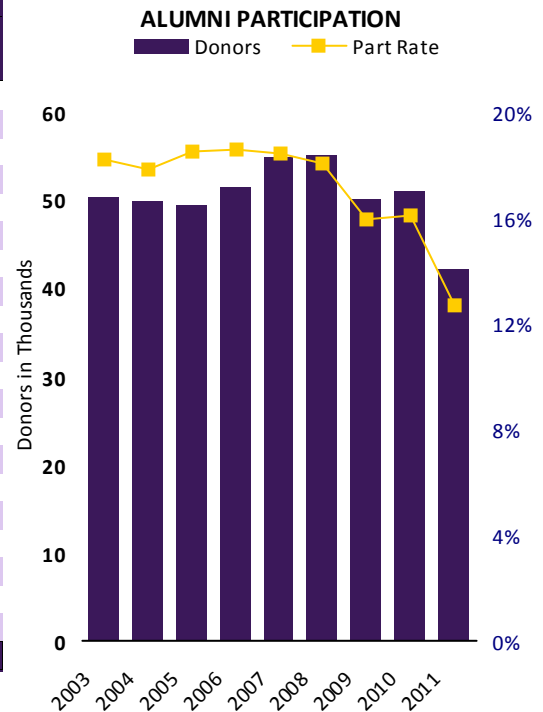
**ANNUAL PROGRESS BY GIVING LEVEL**

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +					\$39,202,744	\$20,541,762	\$59,744,506
\$5M - \$9,999,999	\$6,402,129				\$5,487,827	\$9,209,212	\$21,099,168
\$1M - \$4,999,999	\$10,027,763	\$304,020	\$7,000,500	\$19,211,410	\$20,958,575	\$14,203,965	\$71,706,234
\$100,000 - \$999,999	\$8,486,331	\$11,992,282	\$4,298,653	\$13,848,012	\$17,661,661	\$19,962,992	\$76,249,932
\$50,000 - \$99,999	\$2,086,438	\$2,179,623	\$859,655	\$3,407,283	\$2,006,704	\$1,831,435	\$12,371,137
\$25,000 - \$49,999	\$1,583,368	\$1,601,719	\$427,943	\$2,677,656	\$1,075,931	\$1,099,640	\$8,466,257
\$10,000 - \$24,999	\$2,097,504	\$1,920,325	\$347,563	\$2,016,355	\$777,504	\$691,329	\$7,850,580
\$5,000 - \$9,999	\$2,151,395	\$1,281,462	\$125,400	\$944,817	\$267,478	\$308,108	\$5,078,661
\$2,000 - \$4,999	\$3,098,719	\$2,023,406	\$74,070	\$688,847	\$145,095	\$198,374	\$6,228,510
\$1,000 - \$1,999	\$2,115,314	\$1,752,526	\$22,257	\$376,502	\$51,430	\$55,727	\$4,373,757
\$500 - \$999	\$1,509,749	\$1,065,870	\$2,950	\$167,944	\$9,576	\$26,318	\$2,782,407
\$250 - \$499	\$697,776	\$437,875	\$500	\$47,156	\$3,437	\$9,153	\$1,195,897
\$100 - \$249	\$934,283	\$612,719	\$400	\$44,445	\$4,206	\$7,478	\$1,603,531
\$1 - \$99	\$670,074	\$417,075	\$0	\$12,158	\$735	\$2,282	\$1,102,324
<b>Total</b>	<b>\$41,860,843</b>	<b>\$25,588,904</b>	<b>\$13,159,892</b>	<b>\$43,442,584</b>	<b>\$87,652,903</b>	<b>\$68,147,775</b>	<b>\$279,852,900</b>

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +					1	1	2
\$5M - \$9,999,999	2				1	1	4
\$1M - \$4,999,999	12	13	3	14	14	9	65
\$100,000 - \$999,999	66	104	19	57	60	56	362
\$50,000 - \$99,999	51	91	15	53	31	27	268
\$25,000 - \$49,999	88	117	13	83	33	33	367
\$10,000 - \$24,999	289	384	28	147	53	45	946
\$5,000 - \$9,999	577	563	22	169	46	54	1,431
\$2,000 - \$4,999	1,888	1,786	25	271	49	70	4,089
\$1,000 - \$1,999	2,646	2,921	20	317	44	51	5,999
\$500 - \$999	3,394	3,340	5	292	16	47	7,094
\$250 - \$499	3,103	3,208	2	164	12	31	6,520
\$100 - \$249	9,348	10,278	3	347	29	60	20,065
\$1 - \$99	20,541	22,327	0	334	17	72	43,291
<b>Total</b>	<b>42,005</b>	<b>45,132</b>	<b>155</b>	<b>2,248</b>	<b>406</b>	<b>557</b>	<b>90,503</b>

### ALUMNI PARTICIPATION BY CONSTITUENCY (CURRENT FISCAL YEAR)

Area	Solicitable	To UW		To Unit	
		Year to Date	Part Rate	Year to Date	Part Rate
UW Medicine	19,185	3,229	16.83%	2,190	11.42%
Arts and Sciences	151,787	17,422	11.48%	5,342	3.52%
Business School	39,725	6,179	15.55%	2,156	5.43%
Built Environments	8,496	1,146	13.49%	503	5.92%
Dentistry	4,650	999	21.48%	572	12.30%
Education	18,092	2,734	15.11%	538	2.97%
Engineering	33,868	4,247	12.54%	2,155	6.36%
Environment	11,635	1,478	12.70%	733	6.30%
Evans School of Public Affairs	2,747	481	17.51%	185	6.73%
Interdisc. Grad. Programs	2,200	280	12.73%		
Interschool Programs	2,459	435	17.69%		
Information School	4,950	907	18.32%	456	9.21%
Law	8,186	1,469	17.95%	818	9.99%
School of Nursing	8,909	1,548	17.38%	867	9.73%
Pharmacy	3,690	844	22.87%	674	18.27%
Public Health	4,683	667	14.24%	234	5.00%
Social Work	6,753	883	13.08%	450	6.66%
UW Bothell	8,069	665	8.24%	220	2.73%
UW Tacoma	9,452	663	7.01%	375	3.97%
Unspecified	9,472	1,261	13.31%		
<b>ALL UW TOTAL</b>	<b>330,521</b>	<b>42,005</b>	<b>12.71%</b>		



### ALUMNI PARTICIPATION BY CONSTITUENCY (PREVIOUS FISCAL YEAR)

Area	Solicitable	To UW				To Unit			
		Year to Date		FY Total		Year to Date		FY Total	
		Donors <sup>1</sup>	Part Rate	Donors	Part Rate	Donors	Part Rate	Donors	PFY Final
UW Medicine	19,127	3,220	16.83%	3,647	19.07%	2,174	11.37%	2,277	11.90%
Arts and Sciences	146,824	17,357	11.82%	21,644	14.74%	5,632	3.84%	5,915	4.03%
Business School	38,262	6,203	16.21%	7,650	19.99%	2,138	5.59%	2,283	5.97%
Built Environments	8,184	1,156	14.13%	1,430	17.47%	519	6.34%	567	6.93%
Dentistry	4,540	1,002	22.07%	1,116	24.58%	556	12.25%	586	12.91%
Education	18,841	2,698	14.32%	3,221	17.10%	512	2.72%	548	2.91%
Engineering	32,965	4,334	13.15%	5,082	15.42%	2,297	6.97%	2,382	7.23%
Environment	17,376	1,071	6.16%	1,310	7.54%	532	3.06%	616	3.55%
Evans School of Public Affairs	2,496	474	18.99%	602	24.12%	192	7.69%	207	8.29%
Interdisc. Grad. Programs	1,817	240	13.21%	334	18.38%				
Interdisc. Undergrad. Programs	258	21	8.14%	29	11.24%				
Interschool Programs	520	58	11.15%	528	101.54%				
Information School	4,614	861	18.66%	1,009	21.87%	419	9.08%	436	9.45%
Law	7,905	1,505	19.04%	1,892	23.93%	874	11.06%	1,031	13.04%
School of Nursing	8,644	1,599	18.50%	1,820	21.06%	915	10.59%	950	10.99%
Pharmacy	3,547	778	21.93%	891	25.12%	535	15.08%	562	15.84%
Public Health	4,580	690	15.07%	776	16.94%	254	5.55%	268	5.85%
Social Work	6,522	829	12.71%	990	15.18%	390	5.98%	416	6.38%
UW Bothell	6,995	678	9.69%	1,003	14.34%	205	2.93%	216	3.09%
UW Tacoma	8,050	632	7.85%	901	11.19%	269	3.34%	306	3.80%
Unspecified	11,600	1,735	14.96%	1,653	14.25%				
<b>ALL UW TOTAL</b>	<b>317,522</b>	<b>41,640</b>	<b>13.11%</b>	<b>50,992</b>	<b>16.06%</b>				

<sup>1</sup> Prior Fiscal Year to Date numbers reflect the number of alumni for the reported period based on the state of the data on the date this report was run in the prior fiscal year.



The University of Washington Alumni Association is the broad-based engagement vehicle for University Advancement and the University of Washington. Through its strategically designed programs, the UW Alumni Association invites alumni, donors and friends to engage in the life of the UW. Research indicates that engaged alumni and friends are more inclined to support the University and its students. The UW Alumni Association is proud to develop a solid base of support for the University of Washington.



## UWAA Member Giving by Constituency

School	Solicitable Alumni	Member		Alumni Giving	
		Members <sup>1</sup>	Donors	Members	Non Members
UW Medicine	19,185	1,923	915	47.58%	11.60%
Arts and Sciences	151,787	19,077	5,764	30.21%	5.74%
Business School	39,725	7,251	2,585	35.65%	7.37%
Built Environments	8,496	1,140	369	32.37%	7.69%
Dentistry	4,650	1,018	468	45.97%	10.46%
Education	18,092	2,851	968	33.95%	7.91%
Engineering	33,868	4,519	1,433	31.71%	6.92%
Environment	11,635	1,424	438	30.76%	7.55%
Evans School of Public Affairs	2,747	332	108	32.53%	11.01%
Interdisc. Grad. Programs	2,200	197	61	30.96%	7.69%
Interdisc. Undergrad. Progra					
Interscholar Programs	2,459	554	198	35.74%	8.50%
Information School	4,950	760	280	36.84%	11.86%
Law	8,186	1,044	494	47.32%	11.50%
School of Nursing	8,909	1,321	507	38.38%	10.64%
Pharmacy	3,690	620	318	51.29%	15.08%
Public Health	4,683	408	156	38.24%	9.50%
Social Work	6,753	608	194	31.91%	8.82%
UW Bothell	8,069	829	148	17.85%	3.40%
UW Tacoma	9,452	746	149	19.97%	2.66%
Unspecified	9,472	1,917	587	30.62%	4.87%
Non-Alumni		9,513	5,324	55.97%	
<b>Total</b>	<b>330,521</b>	<b>54,877</b>	<b>19,586</b>	<b>35.69%</b>	

## Alumni Activity

<b>1 in 3.5 registrants at 2010 UW events were UWAA members</b>
<b>1 in 25 registrants at 2010 UW events were UW donors</b>
<b>3 in 4 registrants at 2010 UW events were Solicitable Alumni</b>
<b>1 in 25 UWAA members attended a 2010 UW event</b>
<b>1 in 3 2009-2010 Football/Basketball season ticket holders were UWAA members</b>
<b>1 in 7 UWAA members were 2009-2010 Football/Basketball season ticket holders</b>

## Top 10 Membership by Class Year

Class Year	Part. Rate	Class Year	Population
1955	23.02%	2010	1,903
1954	21.93%	1971	1,108
1953	21.84%	1973	1,086
1946	21.81%	1974	1,076
1959	21.79%	1970	1,037
1956	21.33%	1972	1,036
1958	20.64%	1976	1,011
1952	20.51%	1975	1,002
1950	20.44%	1977	946
1960	20.43%	1968	912

## Activity Participation - Rolling 3 Year Total<sup>3</sup>

School <sup>2</sup>	Participants	Part. Donors	% Donors	Alum Non-Part.	Alum Non-Par Donor	% Non-Part Donor
Intercollegiate Athletics	1,969	1,928	97.92%			
UW Medicine	4,741	3,632	76.61%	20,728	3,453	16.66%
Arts and Sciences	15,649	3,684	23.54%	135,934	8,193	6.03%
Built Environments	1,760	764	43.41%	7,257	768	10.58%
Business School	6,867	1,885	27.45%	33,697	3,278	9.73%
Dentistry	1,980	816	41.21%	2,910	418	14.36%
Education	2,040	432	21.18%	16,230	1,003	6.18%
Engineering	3,085	1,044	33.84%	31,333	3,347	10.68%
Environment	1,459	690	47.29%	10,745	1,103	10.27%
Evans School of Public Affairs	907	344	37.93%	2,089	301	14.41%
Graduate School	454	234	51.54%	2,068	5	0.24%
Information School	781	244	31.24%	4,342	629	14.49%
Law	2,214	963	43.50%	6,388	1,128	17.66%
Libraries	1,307	1,260	96.40%			
Nursing	1,054	463	43.93%	8,118	1,390	17.12%
Pharmacy	402	248	61.69%	3,530	947	26.83%
Public Health	661	228	34.49%	3,916	399	10.19%
Social Work	885	309	34.92%	5,999	738	12.30%
UW Bothell	871	288	33.07%	7,721	649	8.41%
UW Tacoma	594	265	44.61%	9,134	911	9.97%

<sup>1</sup> Members include paid Annual Members, Lifetime Members, and TPC Level Donors

<sup>2</sup> Activity is based on a unit affiliated Alumni or Donor being labeled as a positive RSVP, host, speaker, or participant at any tracked UW activity.

<sup>3</sup> 3-Years consists of any activity since 7/1/2006

Source: University of Washington Alumni Association



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Grant and Contract Awards Summary – April and May, 2011

RECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents accept the Grant and Contract Awards of \$1,000,000 or more as presented in the attached reports.

*Attachments*

1. Grant and Contract Awards Summary for April 2011
2. Grant and Contract Awards Summary for May 2011



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# **Grant and Contract Awards Summary**

**to**

**The Board of Regents**

**of the**

**University of Washington**

**for**

**April 2011**

**Office of Research**

**Office of Sponsored Programs**

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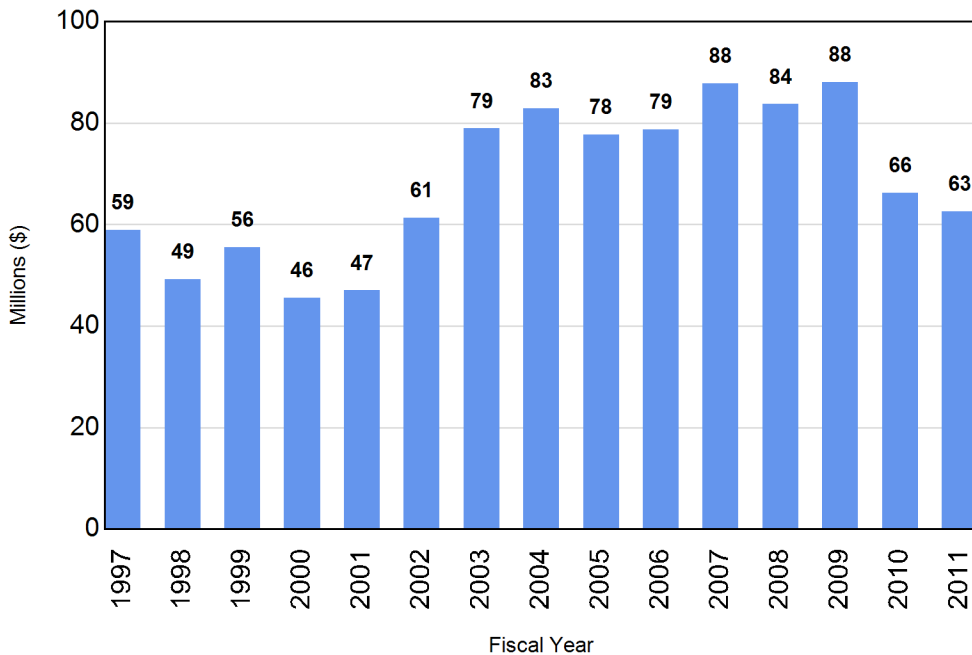
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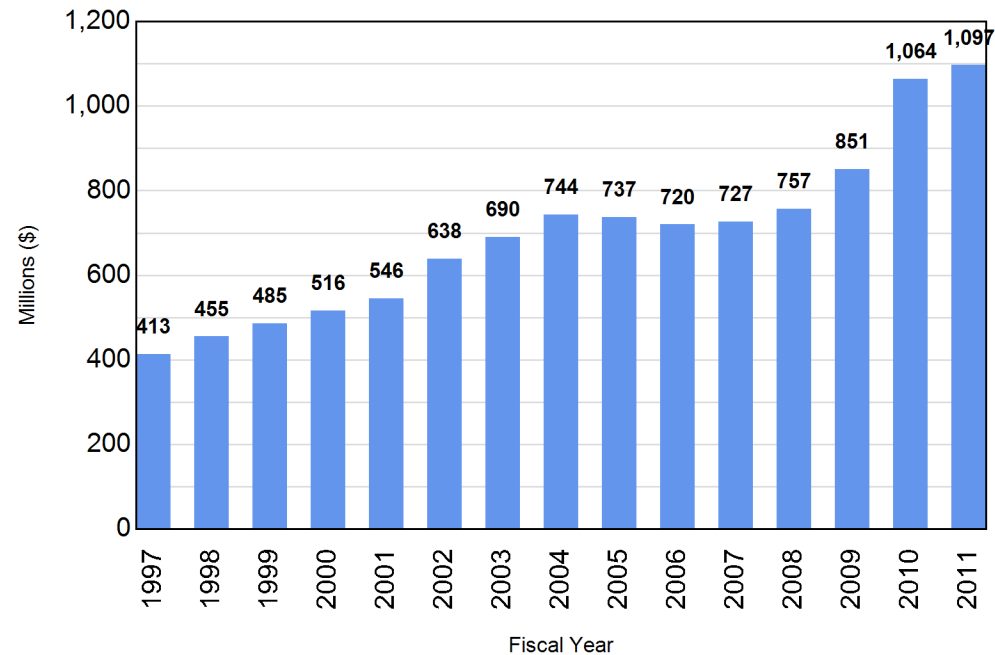
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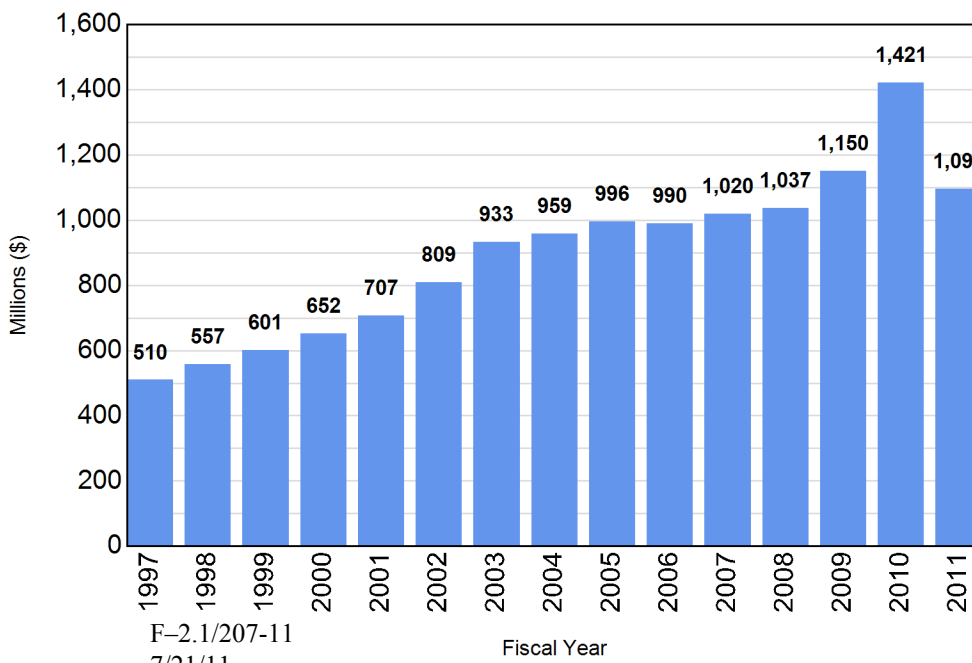
**April Only**  
**Comparison of Grant & Contract Awards**



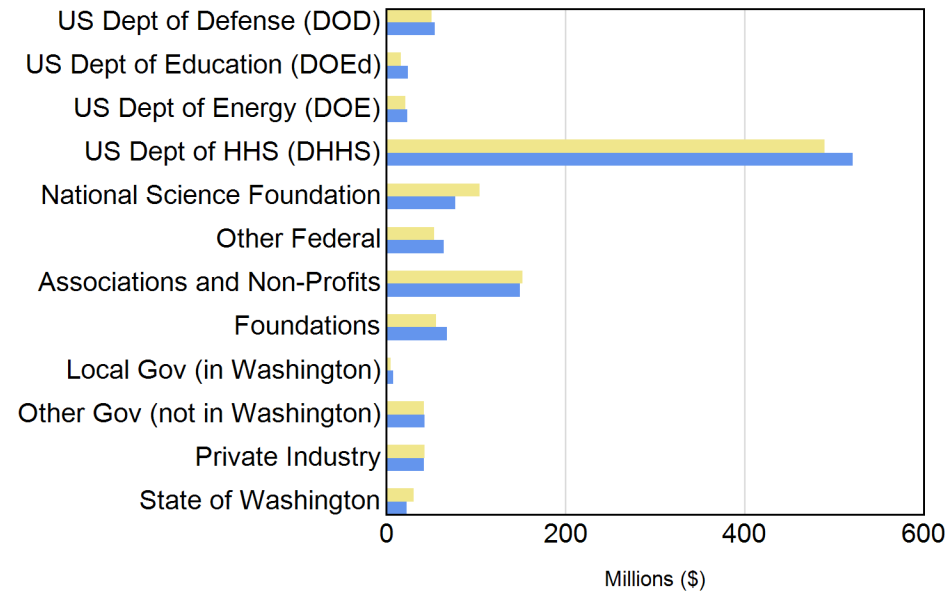
**Fiscal Year to Date**  
**Comparison of Grant & Contract Awards**



**Complete Fiscal Year**  
**Comparison of Grant & Contract Awards**



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



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**Summary of Grant and Contract Awards**Fiscal Year 2010-2011

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Month	RESEARCH AND OTHER		TRAINING		Total Grants and Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 116,733,700	\$ 35,329,850	\$ 15,457,740	\$ 2,100,929	\$ 169,622,200
August	\$ 134,331,600	\$ 29,923,070	\$ 11,027,470	\$ 547,136	\$ 175,829,200
September	\$ 163,760,900	\$ 43,728,850	\$ 46,816,820	\$ 5,296,927	\$ 259,603,500
October	\$ 51,765,760	\$ 29,066,660	\$ 4,078,383	\$ 318,448	\$ 85,229,260
November	\$ 24,811,640	\$ 25,350,030	\$ 377,023	\$ 2,265,686	\$ 52,804,390
December	\$ 30,371,510	\$ 69,486,650	\$ 903,062	\$ 2,025,040	\$ 102,786,300
January	\$ 21,149,220	\$ 22,518,720	\$ 313,312	\$ 1,315,247	\$ 45,296,500
February	\$ 29,168,220	\$ 20,090,680	\$ 1,804,443	\$ 81,596	\$ 51,144,950
March	\$ 65,970,380	\$ 21,952,730	\$ 3,130,270	\$ 894,849	\$ 91,948,230
April	\$ 38,073,120	\$ 18,811,350	\$ 4,815,925	\$ 947,001	\$ 62,647,400
<b>FY11 to Date</b>	<b>\$676,135,961</b>	<b>\$316,258,610</b>	<b>\$88,724,449</b>	<b>\$15,792,858</b>	<b>\$1,096,911,878</b>
<b>FY10 to Date</b>	<b>\$643,247,198</b>	<b>\$318,575,681</b>	<b>\$92,020,858</b>	<b>\$9,838,451</b>	<b>\$1,063,682,189</b>
<b>Over (Under) Previous Year</b>	<b>\$32,888,763</b>	<b>(\$1,715,377)</b>	<b>(\$3,296,409)</b>	<b>\$5,954,407</b>	<b>\$33,831,383</b>

*Assuming acceptance of all awards by the Board of Regents*

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**Comparison of Grant and Contract Awards by Agency****Fiscal Years 2009-2010 and 2010-2011**

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<b>Agency</b>	<b>Jul-Apr FY10</b>	<b>Jul-Apr FY11</b>
US Department of Defense (DOD)	\$ 50,657,449	\$ 54,205,034
US Department of Education (DOEd)	\$ 16,413,667	\$ 24,371,884
US Department of Energy (DOE)	\$ 21,015,271	\$ 23,549,601
US Department of Health and Human Services (DHHS)	\$ 489,430,642	\$ 520,769,850
National Science Foundation (NSF)	\$ 104,459,051	\$ 77,408,992
Other Federal	\$ 53,291,976	\$ 64,555,049
<b>Subtotal for Federal :</b>	<b>\$ 735,268,056</b>	<b>\$ 764,860,410</b>
Associations and Non-Profits	\$ 152,164,123	\$ 149,228,261
Foundations	\$ 55,636,527	\$ 67,557,126
Local Government (in Washington)	\$ 4,852,738	\$ 7,870,500
Other Government (not in Washington)	\$ 42,317,210	\$ 42,548,217
Private Industry	\$ 42,529,921	\$ 42,151,217
State of Washington	\$ 30,913,614	\$ 22,696,147
<b>Subtotal for Non-Federal :</b>	<b>\$ 328,414,133</b>	<b>\$ 332,051,468</b>
<b>Grand Total :</b>	<b>\$ 1,063,682,189</b>	<b>\$ 1,096,911,878</b>
<b>Amount of Increase (Decrease) :</b>		<b>\$ 33,229,689</b>
<b>Percent of Increase (Decrease) :</b>		<b>3.1 %</b>

*Assuming acceptance of all awards by the Board of Regents*

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**Comparison of Grant and Contract Awards by School/College**Fiscal Years 2009-2010 and 2010-2011

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School/College	Jul-Apr FY10	Jul-Apr FY11
<b>Upper Campus</b>		
Architecture and Urban Planning	\$ 1,644,257	\$ 3,380,510
Arts and Sciences	\$ 87,767,308	\$ 75,817,749
Center for Commercialization		\$ 291,264
College of the Environment	\$ 31,503,958	\$ 82,507,696
Director of Libraries	\$ 1,663,292	\$ 282,381
Education	\$ 4,600,135	\$ 19,769,303
Educational Outreach	\$ 123,000	\$ 212,500
Engineering	\$ 81,920,932	\$ 86,719,327
Evans School of Public Affairs	\$ 1,215,938	\$ 1,637,417
Executive Vice President		\$ 236,340
Forest Resources	\$ 2,154,813	\$ 360,234
Foster School of Business	\$ 1,072,257	\$ 1,150,823
Graduate School	\$ 3,852,291	\$ 2,029,500
Information School	\$ 6,677,009	\$ 2,030,267
Law	\$ 1,445,814	\$ 2,000,588
Ocean and Fishery Sciences	\$ 89,021,139	\$ 21,288,209
Office of Research	\$ 40,310,532	\$ 48,752,464
Provost	\$ 35,000	
Social Work	\$ 20,051,681	\$ 18,026,207
Undergraduate Education	\$ 213,373	\$ 1,584,769
VP Minority Affairs	\$ 5,410,124	\$ 7,373,431
VP Student Affairs	\$ 280,137	
VP Student Life	\$ 20,715	\$ 20,715
<b>Subtotal :</b>	<b>\$ 380,983,705</b>	<b>\$ 375,471,694</b>
<b>Health Sciences</b>		
Dentistry	\$ 8,713,823	\$ 5,711,872
Medicine	\$ 559,878,633	\$ 568,393,110
Nursing	\$ 14,480,963	\$ 13,822,001
Pharmacy	\$ 13,523,440	\$ 13,507,745
Public Health	\$ 64,575,457	\$ 95,151,410
<b>Subtotal :</b>	<b>\$ 661,172,316</b>	<b>\$ 696,586,137</b>
<b>Special Programs</b>		
Alcohol and Drug Abuse Institute	\$ 3,528,875	\$ 3,684,597
CHDD Administration	\$ 5,960,764	\$ 4,536,089
Hall Health Primary Care Center		\$ 283,155
Regional Primate Center	\$ 9,502,792	\$ 7,075,612
<b>Subtotal :</b>	<b>\$ 18,992,431</b>	<b>\$ 15,579,453</b>

School/College	Jul-Apr FY10	Jul-Apr FY11
<b>Other UW Campuses</b>		
Bothell	\$ 2,074,457	\$ 2,989,980
Tacoma	\$ 459,280	\$ 6,284,614
<b>Subtotal :</b>	<b>\$ 2,533,737</b>	<b>\$ 9,274,594</b>
<b>Grand Total :</b>	<b>\$ 1,063,682,189</b>	<b>\$ 1,096,911,878</b>

**Note:** Effective with the 2011 fiscal year, awards in the College of the Environment include awards previously included in Forest Resources, Ocean and Fishery Sciences, and the Office of Research. As a result, comparisons between 2010 and 2011 are affected.

*Assuming acceptance of all awards by the Board of Regents*

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**Summary of Grant Awards****Fiscal Year 2010-2011***Excluding private awards from Foundations, Industry, Associations and Others*

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Grants</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 110,707,300	\$ 3,759,472	\$ 15,393,240	\$ 1,192,557	\$ 131,052,500
August	\$ 130,080,400	\$ 3,781,791	\$ 11,027,470	\$ 202,523	\$ 145,092,100
September	\$ 160,838,900	\$ 11,810,130	\$ 46,627,480	\$ 4,129,317	\$ 223,405,800
October	\$ 39,992,300	\$ 6,303,664	\$ 4,078,383	\$ 70,000	\$ 50,444,340
November	\$ 19,016,630	\$ 5,976,814	\$ 295,100	\$ 272,797	\$ 25,561,340
December	\$ 29,895,950	\$ 5,642,230	\$ 903,062	\$ 450,000	\$ 36,891,240
January	\$ 18,002,730	\$ 3,825,736	\$ 313,312	\$ 379,061	\$ 22,520,840
February	\$ 27,714,370	\$ 2,549,086	\$ 1,804,443	\$ 0	\$ 32,067,900
March	\$ 63,770,480	\$ 2,377,294	\$ 3,130,270	\$ 0	\$ 69,278,040
April	\$ 33,732,260	\$ 2,894,920	\$ 4,815,925	\$ 63,500	\$ 41,506,600
<b>Year to Date</b>	<b>\$ 633,751,200</b>	<b>\$ 48,921,130</b>	<b>\$ 88,388,680</b>	<b>\$ 6,759,755</b>	<b>\$ 777,820,800</b>

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*Assuming acceptance of all awards by the Board of Regents*



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**Summary of Grant Awards****Fiscal Year 2010-2011***Private awards from Foundations, Industry, Associations and Others*

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<b>Month</b>	<b>RESEARCH AND OTHER</b>	<b>TRAINING</b>	<b>Total Grants</b>
July	\$ 24,991,310	\$ 369,153	\$ 25,360,460
August	\$ 22,428,710	\$ 121,830	\$ 22,550,540
September	\$ 27,554,490	\$ 573,762	\$ 28,128,250
October	\$ 15,102,430	\$ 237,448	\$ 15,339,870
November	\$ 17,563,950	\$ 752,796	\$ 18,316,740
December	\$ 56,292,190	\$ 1,182,000	\$ 57,474,190
January	\$ 11,999,310	\$ 878,186	\$ 12,877,490
February	\$ 14,473,530	\$ 31,596	\$ 14,505,130
March	\$ 10,644,340	\$ 460,021	\$ 11,104,360
April	\$ 9,619,525	\$ 534,641	\$ 10,154,170
<b>Year to Date</b>	<b>\$ 210,669,800</b>	<b>\$ 5,141,432</b>	<b>\$ 215,811,200</b>

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*Assuming acceptance of all awards by the Board of Regents*

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**Summary of Contract Awards****Fiscal Year 2010-2011**

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Contracts</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 6,026,372	\$ 6,579,072	\$ 64,500	\$ 539,219	\$ 13,209,160
August	\$ 4,251,216	\$ 3,712,571	\$ 0	\$ 222,783	\$ 8,186,570
September	\$ 2,921,990	\$ 4,364,239	\$ 189,348	\$ 593,848	\$ 8,069,425
October	\$ 11,773,470	\$ 7,660,575	\$ 0	\$ 11,000	\$ 19,445,040
November	\$ 5,795,018	\$ 1,809,275	\$ 81,923	\$ 1,240,093	\$ 8,926,309
December	\$ 475,560	\$ 7,552,227	\$ 0	\$ 393,040	\$ 8,420,827
January	\$ 3,146,495	\$ 6,693,681	\$ 0	\$ 58,000	\$ 9,898,176
February	\$ 1,453,857	\$ 3,068,064	\$ 0	\$ 50,000	\$ 4,571,921
March	\$ 2,199,904	\$ 8,931,102	\$ 0	\$ 434,828	\$ 11,565,830
April	\$ 4,340,862	\$ 6,296,907	\$ 0	\$ 348,860	\$ 10,986,630
<b>Year to Date</b>	<b>\$ 42,384,740</b>	<b>\$ 56,667,710</b>	<b>\$ 335,771</b>	<b>\$ 3,891,671</b>	<b>\$ 103,279,900</b>

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*Assuming acceptance of all awards by the Board of Regents*

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

**April 2011**

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

**Office of Research  
Office of Sponsored Programs**

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**Detail of Public Grant Awards**

**Federal**

**US Department of Health and Human Services (DHHS)**

**National Institutes of Health (NIH)**

To:	Gerald Van Belle, Professor Emeritus Biostatistics	\$ 1,450,000
For:	Resuscitation Outcomes Consortium (ROC) Data Coordinating Center	
Eff:	1/1/2011	Classified: No
To:	Stanley C Froehner, Professor Physiology & Biophysic	\$ 1,142,057
For:	Molecular and Cellular Therapies for Muscular Dystrophy	
Eff:	4/1/2011	Classified: No
To:	Timothy De Rouen, Professor Dental Pub Health Scis	\$ 1,141,120
For:	Network Chair for the Pacific Northwest DPBRN	
Eff:	4/1/2011	Classified: No
To:	Brian Leroux, Assoc Professor Dental Pub Health Scis	\$ 1,242,057
For:	Data Coordinating Center for the Pacific Northwest DPBRN	
Eff:	4/1/2011	Classified: No

*National Human Genome Research Institute (NHGRI)*

To:	Robert H Waterston, Professor Genome Sciences	\$ 1,166,694
For:	Global Identification of transcribed elements in the C. elegans	
Eff:	4/1/2011	Classified: No

*Total for National Human Genome Research Institute (NHGRI):* \$ 1,166,694

*National Institute of Environmental Health and Science (NIEHS)*

To:	Harvey Checkoway, Professor Enviro & Occup Health	\$ 2,327,099
For:	Effects-Related Biomarkers of Environmental Neurotoxic Exposures	
Eff:	4/7/2011	Classified: No

*Total for National Institute of Environmental Health and Science (NIEHS):* \$ 2,327,099

**Total for National Institutes of Health (NIH):** \$ 8,469,027

**Total for US Department of Health and Human Services (DHHS):** \$ 8,469,027

**National Science Foundation (NSF)**

**National Science Foundation (NSF)**

To:	William Wilcock, Professor Oceanography	\$ 1,000,000
For:	R/V Thomas G. Thompson Ship Operations 2005-2009	
Eff:	3/1/2005	Classified: No

**Total for National Science Foundation (NSF):** \$ 1,000,000

**Total for National Science Foundation (NSF):** \$ 1,000,000

Detail of Public Grant Awards

Federal

Other Federal

National Aeronautics and Space Administration (NASA)

To: Stephen Riser, Professor Oceanography \$ 1,000,000
For: Near-Surface Measurements and Analysis of Temperature, Salinity, Wind Speed, and Rainfall in SPURS: the Maintenance of Subtropical Salinity Maximum
Eff: 3/1/2011 Classified: No

Total for National Aeronautics and Space Administration (NASA): \$ 1,000,000

Total for Other Federal: \$ 1,000,000

Total for Federal: \$ 10,469,027

Total Public Grants: \$ 10,469,027

Detail of Private Grant Awards

Foundations

The Simons Foundation

To: Evan Eichler, Professor Genome Sciences \$ 1,053,627
For: Exome Sequencing of Simons Simplex Collection Trios
Eff: 12/1/2010 Classified: No

Total for The Simons Foundation: \$ 1,053,627

Total for Foundations: \$ 1,053,627

Total Private Grants: \$ 1,053,627

Detail of Contract Awards

Federal

US Department of Health and Human Services (DHHS)

National Institutes of Health (NIH)

National Institute of Allergy and Infectious Diseases (NIAID)

To: Michael Gerald Katze, Professor Microbiology \$ 3,497,563
For: A Systems Biology Approach to Emerging Respiratory Viral Diseases
Eff: 3/4/2011 Classified: No

Total for National Institute of Allergy and Infectious Diseases (NIAID): \$ 3,497,563

Total for National Institutes of Health (NIH): \$ 3,497,563

Total for US Department of Health and Human Services (DHHS): \$ 3,497,563

Total for Federal: \$ 3,497,563

Total Contracts: \$ 3,497,563

Grand Total for all Awards \$ 15,020,217

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# **Grant and Contract Awards Summary**

**to**

**The Board of Regents**

**of the**

**University of Washington**

**for**

**May 2011**

**Office of Research**

**Office of Sponsored Programs**

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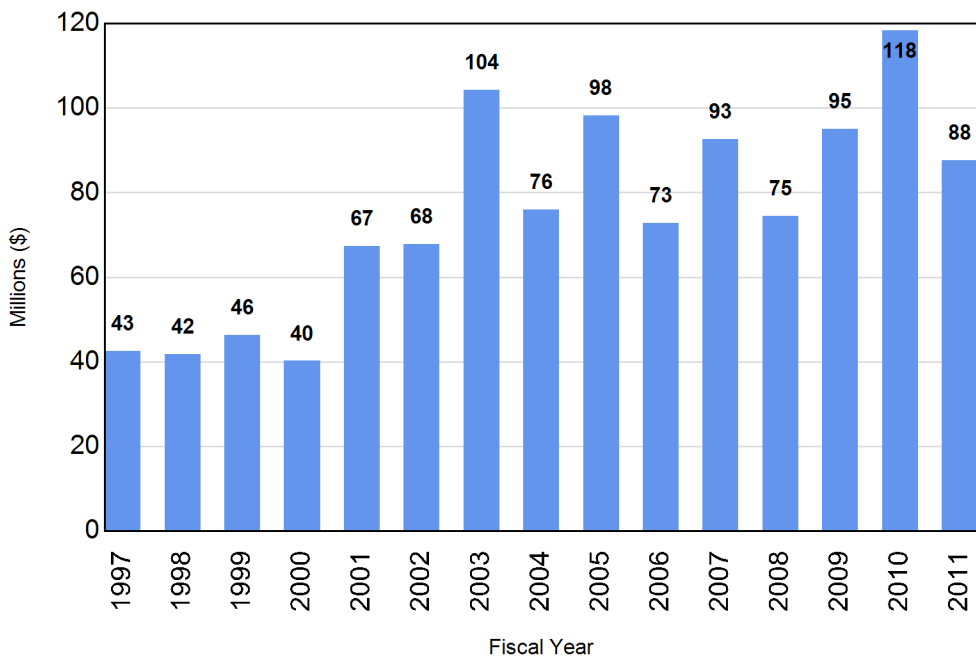
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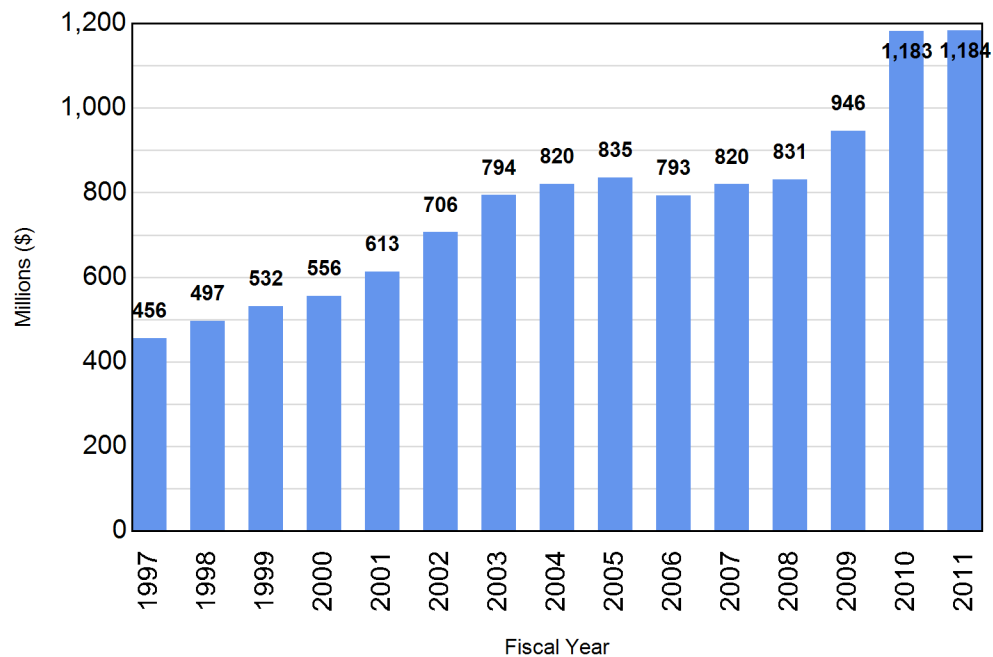
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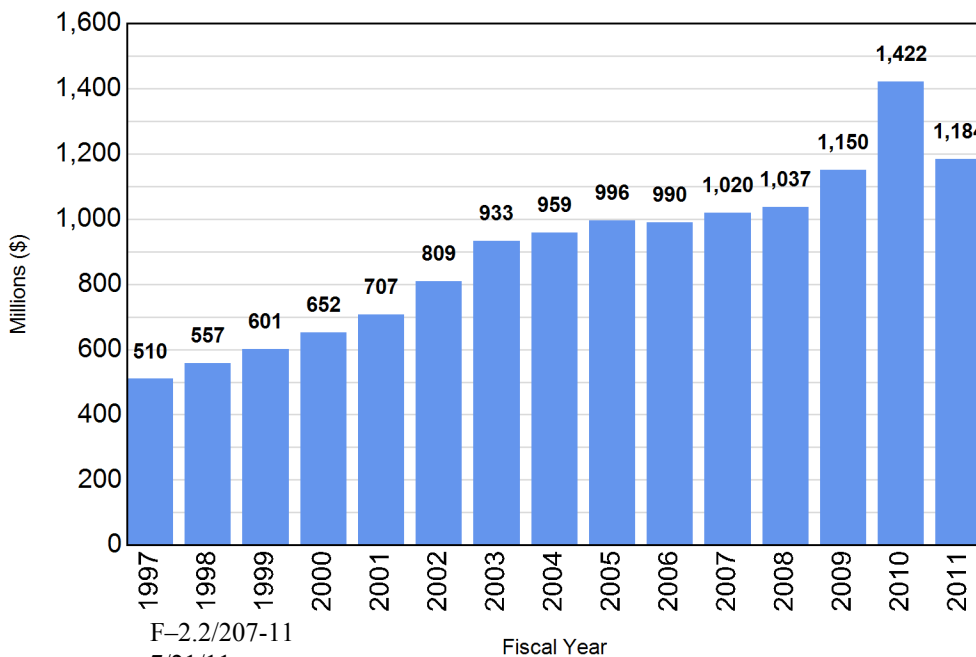
**May Only**  
**Comparison of Grant & Contract Awards**



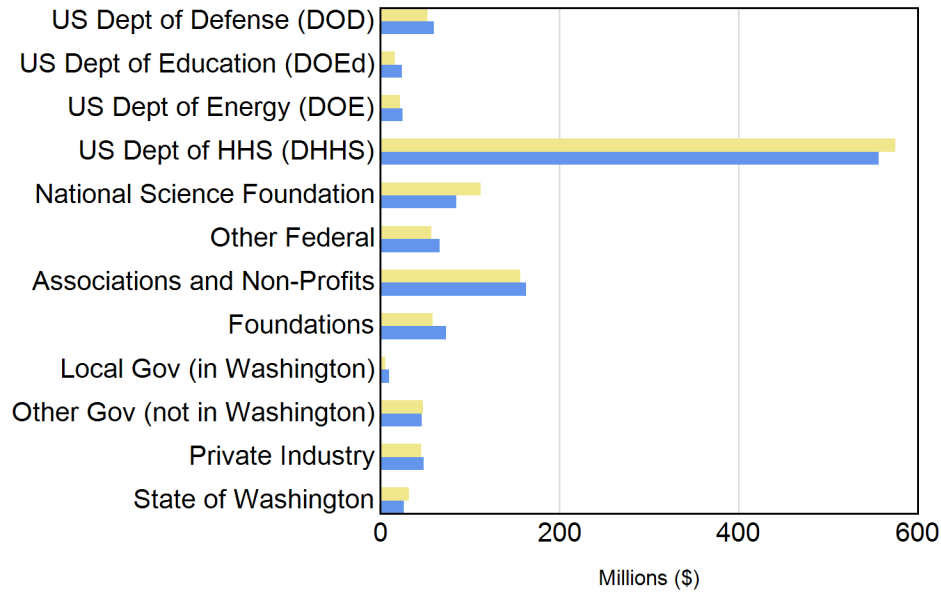
**Fiscal Year to Date**  
**Comparison of Grant & Contract Awards**



**Complete Fiscal Year**  
**Comparison of Grant & Contract Awards**



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





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**Summary of Grant and Contract Awards**Fiscal Year 2010-2011

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Month	RESEARCH AND OTHER		TRAINING		Total Grants and Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 116,733,700	\$ 35,329,350	\$ 15,457,740	\$ 2,100,929	\$ 169,621,700
August	\$ 134,331,600	\$ 29,923,070	\$ 11,027,470	\$ 547,136	\$ 175,829,200
September	\$ 163,760,900	\$ 43,428,850	\$ 46,816,820	\$ 5,296,927	\$ 259,303,500
October	\$ 51,765,760	\$ 29,066,660	\$ 4,078,383	\$ 318,448	\$ 85,229,260
November	\$ 24,811,640	\$ 25,350,030	\$ 377,023	\$ 2,265,686	\$ 52,804,390
December	\$ 30,371,510	\$ 69,486,650	\$ 903,062	\$ 2,025,040	\$ 102,786,300
January	\$ 21,149,220	\$ 22,518,720	\$ 313,312	\$ 1,315,247	\$ 45,296,500
February	\$ 29,168,220	\$ 20,090,680	\$ 1,804,443	\$ 81,596	\$ 51,144,950
March	\$ 65,970,380	\$ 21,952,730	\$ 3,130,270	\$ 894,849	\$ 91,948,230
April	\$ 38,073,120	\$ 18,783,310	\$ 4,815,925	\$ 947,001	\$ 62,619,360
May	\$ 32,014,120	\$ 33,050,660	\$ 21,069,090	\$ 1,594,313	\$ 87,728,180
<b>FY11 to Date</b>	<b>\$708,150,086</b>	<b>\$348,980,735</b>	<b>\$109,793,539</b>	<b>\$17,387,171</b>	<b>\$1,184,311,530</b>
<b>FY10 to Date</b>	<b>\$721,631,925</b>	<b>\$335,594,996</b>	<b>\$114,626,330</b>	<b>\$10,700,389</b>	<b>\$1,182,553,641</b>
<b>Over (Under) Previous Year</b>	<b>(\$13,481,839)</b>	<b>\$14,132,273</b>	<b>(\$4,832,791)</b>	<b>\$6,686,782</b>	<b>\$2,504,424</b>

*Assuming acceptance of all awards by the Board of Regents*

**Comparison of Grant and Contract Awards by Agency**

**Fiscal Years 2009-2010 and 2010-2011**

<b>Agency</b>	<b>Jul-May FY10</b>	<b>Jul-May FY11</b>
US Department of Defense (DOD)	\$ 52,679,391	\$ 60,112,338
US Department of Education (DOEd)	\$ 16,413,667	\$ 24,455,384
US Department of Energy (DOE)	\$ 22,427,328	\$ 25,122,291
US Department of Health and Human Services (DHHS)	\$ 575,043,230	\$ 556,350,058
National Science Foundation (NSF)	\$ 112,349,882	\$ 85,210,216
Other Federal	\$ 57,344,756	\$ 66,693,338
<b>Subtotal for Federal :</b>	<b>\$ 836,258,255</b>	<b>\$ 817,943,625</b>
Associations and Non-Profits	\$ 156,665,725	\$ 162,626,300
Foundations	\$ 58,772,868	\$ 73,233,803
Local Government (in Washington)	\$ 5,417,913	\$ 9,765,658
Other Government (not in Washington)	\$ 47,883,842	\$ 46,316,034
Private Industry	\$ 45,558,022	\$ 48,263,525
State of Washington	\$ 31,997,015	\$ 26,162,586
<b>Subtotal for Non-Federal :</b>	<b>\$ 346,295,386</b>	<b>\$ 366,367,906</b>
<b>Grand Total :</b>	<b>\$ 1,182,553,641</b>	<b>\$ 1,184,311,530</b>
<b>Amount of Increase (Decrease) :</b>		<b>\$ 1,757,889</b>
<b>Percent of Increase (Decrease) :</b>		<b>0.1 %</b>

*Assuming acceptance of all awards by the Board of Regents*

**Comparison of Grant and Contract Awards by School/College**

Fiscal Years 2009-2010 and 2010-2011

School/College	Jul-May FY10	Jul-May FY11
<b>Upper Campus</b>		
Architecture and Urban Planning	\$ 1,748,857	\$ 3,380,510
Arts and Sciences	\$ 97,360,808	\$ 81,284,111
Center for Commercialization		\$ 291,264
College of the Environment	\$ 34,768,918	\$ 116,186,275
Director of Libraries	\$ 1,663,292	\$ 794,054
Education	\$ 4,716,415	\$ 19,612,556
Educational Outreach	\$ 123,000	\$ 212,500
Engineering	\$ 86,933,448	\$ 92,207,097
Evans School of Public Affairs	\$ 1,235,914	\$ 1,637,417
Executive Vice President		\$ 2,446,340
External Affairs		\$ 52,018
Forest Resources	\$ 2,289,585	
Foster School of Business	\$ 1,072,257	\$ 1,150,823
Graduate School	\$ 7,747,699	\$ 3,993,306
Information School	\$ 6,849,639	\$ 2,217,074
Law	\$ 1,461,814	\$ 2,484,112
Ocean and Fishery Sciences	\$ 90,472,268	\$ 8,473,432
Office of Research	\$ 43,574,539	\$ 48,804,908
Provost	\$ 35,000	\$ 60,480
Social Work	\$ 20,251,321	\$ 18,749,493
Undergraduate Education	\$ 213,373	\$ 1,584,769
VP Minority Affairs	\$ 5,410,124	\$ 8,066,690
VP Student Life	\$ 300,852	\$ 20,715
<b>Subtotal :</b>	<b>\$ 408,229,123</b>	<b>\$ 413,709,943</b>
<b>Health Sciences</b>		
Dentistry	\$ 10,994,759	\$ 5,993,762
Medicine	\$ 630,925,855	\$ 613,989,220
Nursing	\$ 16,254,620	\$ 13,880,730
Pharmacy	\$ 14,843,736	\$ 13,747,969
Public Health	\$ 78,449,145	\$ 97,302,830
<b>Subtotal :</b>	<b>\$ 751,468,115</b>	<b>\$ 744,914,511</b>
<b>Special Programs</b>		
Alcohol and Drug Abuse Institute	\$ 3,611,505	\$ 3,684,597
CHDD Administration	\$ 5,960,764	\$ 4,536,089
Hall Health Primary Care Center		\$ 283,155
Regional Primate Center	\$ 10,695,397	\$ 7,268,246
<b>Subtotal :</b>	<b>\$ 20,267,666</b>	<b>\$ 15,772,087</b>

School/College	Jul-May FY10	Jul-May FY11
<b>Other UW Campuses</b>		
Bothell	\$ 2,129,457	\$ 3,630,375
Tacoma	\$ 459,280	\$ 6,284,614
<b>Subtotal :</b>	\$ 2,588,737	\$ 9,914,989
<b>Grand Total :</b>	\$ 1,182,553,641	\$ 1,184,311,530

**Note:** Effective with the 2011 fiscal year, awards in the College of the Environment include awards previously included in Forest Resources, Ocean and Fishery Sciences, and the Office of Research. As a result, comparisons between 2010 and 2011 are affected.

*Assuming acceptance of all awards by the Board of Regents*

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**Summary of Grant Awards****Fiscal Year 2010-2011***Excluding private awards from Foundations, Industry, Associations and Others*

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Grants</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 110,707,300	\$ 3,759,472	\$ 15,393,240	\$ 1,192,557	\$ 131,052,500
August	\$ 130,080,400	\$ 3,781,791	\$ 11,027,470	\$ 202,523	\$ 145,092,100
September	\$ 160,838,900	\$ 11,810,130	\$ 46,627,480	\$ 4,129,317	\$ 223,405,800
October	\$ 39,992,300	\$ 6,303,664	\$ 4,078,383	\$ 70,000	\$ 50,444,340
November	\$ 19,016,630	\$ 5,976,814	\$ 295,100	\$ 272,797	\$ 25,561,340
December	\$ 29,895,950	\$ 5,642,230	\$ 903,062	\$ 450,000	\$ 36,891,240
January	\$ 18,002,730	\$ 3,825,736	\$ 313,312	\$ 379,061	\$ 22,520,840
February	\$ 27,714,370	\$ 2,549,086	\$ 1,804,443	\$ 0	\$ 32,067,900
March	\$ 63,770,480	\$ 2,377,294	\$ 3,130,270	\$ 0	\$ 69,278,040
April	\$ 33,732,260	\$ 2,894,920	\$ 4,815,925	\$ 63,500	\$ 41,506,600
May	\$ 29,220,120	\$ 5,242,884	\$ 21,069,090	\$ 79,095	\$ 55,611,190
<b>Year to Date</b>	<b>\$ 662,971,300</b>	<b>\$ 54,164,020</b>	<b>\$ 109,457,800</b>	<b>\$ 6,838,850</b>	<b>\$ 833,432,000</b>

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*Assuming acceptance of all awards by the Board of Regents*

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**Summary of Grant Awards****Fiscal Year 2010-2011***Private awards from Foundations, Industry, Associations and Others*

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<b>Month</b>	<b>RESEARCH AND OTHER</b>	<b>TRAINING</b>	<b>Total Grants</b>
July	\$ 24,990,810	\$ 369,153	\$ 25,359,960
August	\$ 22,428,710	\$ 121,830	\$ 22,550,540
September	\$ 27,254,490	\$ 573,762	\$ 27,828,250
October	\$ 15,102,430	\$ 237,448	\$ 15,339,870
November	\$ 17,563,950	\$ 752,796	\$ 18,316,740
December	\$ 56,292,190	\$ 1,182,000	\$ 57,474,190
January	\$ 11,999,310	\$ 878,186	\$ 12,877,490
February	\$ 14,473,530	\$ 31,596	\$ 14,505,130
March	\$ 10,644,340	\$ 460,021	\$ 11,104,360
April	\$ 9,591,487	\$ 534,641	\$ 10,126,130
May	\$ 19,814,630	\$ 495,875	\$ 20,310,500
<b>Year to Date</b>	<b>\$ 230,155,900</b>	<b>\$ 5,637,307</b>	<b>\$ 235,793,200</b>

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*Assuming acceptance of all awards by the Board of Regents*

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**Summary of Contract Awards****Fiscal Year 2010-2011**

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Contracts</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 6,026,372	\$ 6,579,072	\$ 64,500	\$ 539,219	\$ 13,209,160
August	\$ 4,251,216	\$ 3,712,571	\$ 0	\$ 222,783	\$ 8,186,570
September	\$ 2,921,990	\$ 4,364,239	\$ 189,348	\$ 593,848	\$ 8,069,425
October	\$ 11,773,470	\$ 7,660,575	\$ 0	\$ 11,000	\$ 19,445,040
November	\$ 5,795,018	\$ 1,809,275	\$ 81,923	\$ 1,240,093	\$ 8,926,309
December	\$ 475,560	\$ 7,552,227	\$ 0	\$ 393,040	\$ 8,420,827
January	\$ 3,146,495	\$ 6,693,681	\$ 0	\$ 58,000	\$ 9,898,176
February	\$ 1,453,857	\$ 3,068,064	\$ 0	\$ 50,000	\$ 4,571,921
March	\$ 2,199,904	\$ 8,931,102	\$ 0	\$ 434,828	\$ 11,565,830
April	\$ 4,340,862	\$ 6,296,907	\$ 0	\$ 348,860	\$ 10,986,630
May	\$ 2,793,998	\$ 7,993,151	\$ 0	\$ 1,019,343	\$ 11,806,490
<b>Year to Date</b>	<b>\$ 45,178,740</b>	<b>\$ 64,660,860</b>	<b>\$ 335,771</b>	<b>\$ 4,911,014</b>	<b>\$ 115,086,400</b>

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*Assuming acceptance of all awards by the Board of Regents*

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

**May 2011**

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

**Office of Research  
Office of Sponsored Programs**

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**Detail of Public Grant Awards**

**Federal**

**US Department of Energy (DOE)**

**US Department of Energy (DOE)**

To: Richard Gustafson, Professor \$ 1,000,000  
 Sch/Forest Resources  
 For: Washington State Biofuels Industry Development  
 Eff: 12/1/2010 Classified: No

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

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

**US Department of Health and Human Services (DHHS)**

**Health Resources and Services Administration (HRSA)**

To: King Holmes, Professor \$ 18,896,946  
 Global Health  
 For: Building Sustainable Human and Institutional Capacity for HIV Care  
 Eff: 4/1/2011 Classified: No

**Total for Health Resources and Services Administration (HRSA): \$ 18,896,946**

**National Institutes of Health (NIH)**

To: Michael Gale, Professor \$ 1,977,455  
 Immunology  
 For: Immune Control of Flavivirus Infection  
 Eff: 5/1/2011 Classified: No

*National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK)*

To: Jerry P Palmer, Professor \$ 1,172,760  
 Department Of Medicine  
 For: Diabetes Endocrinology Research Center  
 Eff: 12/1/2010 Classified: No

*Total for National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK): \$ 1,172,760*

**Total for National Institutes of Health (NIH): \$ 3,150,215**

**Total for US Department of Health and Human Services (DHHS): \$ 22,047,161**

**National Science Foundation (NSF)**

**National Science Foundation (NSF)**

To: Gerald Baldasty, Dean \$ 1,778,834  
 Dean's Office  
 For: 2010-2012 Graduate Research Fellowship  
 Eff: 4/5/2011 Classified: No

**Total for National Science Foundation (NSF): \$ 1,778,834**

**Total for National Science Foundation (NSF): \$ 1,778,834**

**Total for Federal: \$ 24,825,995**

Detail of Public Grant Awards

State of Washington

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**Washington State Department of Commerce**

To: John Chapman, Director \$ 2,210,000  
Campus Operations  
For: Odegaard Library and Loew Hall Energy Conservation, and Power  
Plant Photovoltaic System Demonstration Projects  
Eff: 5/4/2010 Classified: No

**Total for Washington State Department of Commerce: \$ 2,210,000**

**Total for State of Washington: \$ 2,210,000**

**Total Public Grants: \$ 27,035,995**

**Detail of Private Grant Awards**

**Foundations**

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**Bill and Melinda Gates Foundation**

To: Christopher J Murray, Professor \$ 1,422,099  
Global Health  
For: Disease Control Priorities Network  
Eff: 4/1/2009 Classified: No

**Total for Bill and Melinda Gates Foundation: \$ 1,422,099**

**James S. McDonnell Foundation**

To: Kristin Swanson, Research Associate Professor \$ 1,590,000  
Pathology  
For: Predicting and controlling glioma recurrence: The role of  
heterogeneity and microenvironment  
Eff: 6/1/2011 Classified: No

**Total for James S. McDonnell Foundation: \$ 1,590,000**

**Total for Foundations: \$ 3,012,099**

**Total Private Grants: \$ 3,012,099**

**Detail of Contract Awards**

**Associations and Non-Profits**

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**Consortium for Ocean Leadership, Inc.**

To: John R. Delaney, Professor \$ 8,162,294  
School Of Oceanography  
For: Ocean Observatories Initiative: Regional Scale Nodes  
Eff: 9/1/2009 Classified: No

**Total for Consortium for Ocean Leadership, Inc.: \$ 8,162,294**

**Total for Associations and Non-Profits: \$ 8,162,294**

**Total Contracts: \$ 8,162,294**

**Grand Total for all Awards \$ 38,210,388**

## VII. STANDING COMMITTEES

## B. Finance, Audit, and Facilities Committee

Update of the Banking Depository Delegation and Amendment of Standing OrdersRECOMMENDATION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents amend the Board of Regents' Standing Orders, Chapter 1 "Delegation of Authority," Section 6 "Execution of Instruments, Business Affairs, and Operations" to change the current delegation related to depository relationships.

BACKGROUND:

Under the current Standing Orders, Chapter 1, Section 6, the Board has reserved for itself the ability to execute and administer certain instruments related to the general business and financial affairs of the University, specifically Section 6(D), the "selection of depositories other than national or state-chartered institutions." The recommended action would remove this from the exception list of authorities delegated to the President, thus giving authority to sign depository relationships to the President.

**6. Execution of Instruments, Business Affairs, and Operations**

The President of the University or the President's designee is authorized to act for the Board of Regents regarding the execution and administration of instruments and the general business and financial affairs of the University which occur in the usual course of business except the following:

~~D. ; The selection of depositories other than national or state chartered institutions;~~

Current specific delegations to the President for banking relationships, specifically, depositories, were established many years ago when state and federal statutes and other regulations limited depository relationships to state and federally chartered banking institutions only. In recent years, external regulations at both the state and federal levels have been modified to permit the establishment of bank accounts globally. Further, the Board of Regents, in 2010, authorized the President to establish UW operations overseas. Thus, this action is to align authorizations to establish bank accounts with prior authority to establish UW operations abroad.

## VII. STANDING COMMITTEES

### B. Finance, Audit, and Facilities Committee

#### Update of the Banking Depository Delegation and Amendment of Standing Orders (continued, p. 2)

The new authority will facilitate establishing regional banks to support the growing foreign operations in countries around the world, primarily to support Department of Global Health sponsored programs. Historically, the University has wired funds directly into local country accounts as needed. The volume of funds sent overseas has grown over the past several years to over \$25M during fiscal year 2011. Establishing regional accounts will reduce foreign exchange costs as well as maintain better control over the funds. In addition, these regional banks typically have US offices, and thus, are subject to the supervision, examination and regulation of a state or federal oversight body.

The selection process for these foreign chartered institutions will include not only an analysis of fees and services, but also consideration of the size and reputation of the institution. In addition, the most recent financial statements for the institution will be reviewed to identify any potential solvency issues.

#### REVIEW AND APPROVALS:

This recommendation has been reviewed and approved by the Interim President, the Senior Vice President and Treasurer, Board of Regents, and the Controller/Associate Vice President, Financial Management.

#### *Attachment*

Proposed Amendments to the Board of Regents Standing Order, Chapter 1, Section 6 “Delegation of Authority”

# Board of Regents Governance

## Standing Orders

### Chapter 1

## Delegation of Authority

### 6. Execution of Instruments, Business Affairs, and Operations

The President of the University or the President's designee is authorized to act for the Board of Regents regarding the execution and administration of instruments and the general business and financial affairs of the University which occur in the usual course of business except the following:

- A.** The naming of University buildings or outdoor areas in recognition of individuals or organizations;
- B.** The execution of instruments relating to real property, including the Metropolitan Tract, where the anticipated cost or value to the University exceeds \$1,000,000;
- C.** The appointment of external auditors; insurance brokers; investment bankers, managers and advisers; and financial custodians;
- ~~**D.** The selection of depositories other than national or state chartered institutions;~~
- ED.** The use of University facilities by individuals or organizations for non-University events that would significantly affect normal campus activities or the surrounding community;
- FE.** Any instrument, prior to its execution, that the President, the Executive Vice President, or any Regent deems appropriate for Regental consideration;
- GF.** When a capital project budget is anticipated to exceed \$1,000,000, approval of that capital project budget, appointment of project architects, award of construction contracts, and single increases to the capital project budget where the increase is greater than 10% of the approved project budget. However, when the anticipated capital project budget exceeds \$1,000,000 and is less than \$5,000,000, the President or the President's designee may approve and execute all instruments related to the capital project and report all such actions to the Board of Regents no less often than quarterly.
- HG.** The execution of any other instruments, including but not limited to instruments related to acquisitions of goods and services, where the anticipated cost or value to the University exceeds \$1,000,000. However, when the cost or value to the University exceeds \$1,000,000 and is less than \$5,000,000, the President or the

President's designee may approve and execute the instruments and report all such actions to the Board of Regents no less often than quarterly. When the ultimate aggregate cost to the University is not known in advance for instruments relating to the acquisition of goods or services on a continuing or intermittent basis (e.g. rental, service, or supply contracts), the amounts set forth in this paragraph shall be calculated on a per month basis.

**H.** Notwithstanding the dollar limits specified in Subsections **B**, **F**, and **G**, the President or the President's designee is authorized to act for the Board of Regents regarding the execution and administration of all instruments, business affairs, and operations relating to:

- 1)** The procurement of utility services;
- 2)** Subcontracts for collaborative research entered into in furtherance of sponsored research programs;
- 3)** The procurement of goods and services made by participating in contracts entered into by nonprofit cooperative hospital group purchasing organizations, or awarded by the state of Washington Department of General Administration and Department of Information Services;
- 4)** The procurement of equipment and furnishings that are included in capital project budgets that have been authorized by the Board of Regents;
- 5)** The procurement of goods and services for sponsored research programs when the source of the goods or services is directed by the sponsor, or the sponsor retains title to the goods acquired;
- 6)** The settlement of claims or lawsuits brought against the University;
- 7)** The procurement of property or casualty insurance;
- 8)** Leases of real property and modifications thereto of up to 20 years;
- 9)** Deferred gift assets;
- 10)** Real property acquired through gift or devise;
- 11)** Actions necessary to protect the University's interests and operations in response to an emergency situation; and
- 12)** The execution of all time-critical instruments and business affairs requiring action between scheduled Board of Regents meetings, provided, that the President of the University or the President's designee secures approval of the Chair or Vice Chair of the appropriate Regents Committee and submits a report of any actions taken pursuant to this delegation to the Board of Regents at its next regularly scheduled meeting.

## VII. STANDING COMMITTEES

## B. Finance, Audit and Facilities Committee

Approve Amendment to University of Washington 401(a) Plan for Selected EmployeesRECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve amendment of the University of Washington 401(a) Plan for Selected Employees (the Plan) effective July 1, 2011.

The Plan was amended and restated effective July 1, 2009. The Plan is intended to be qualified under Internal Revenue Code Section 401(a).

EXPLANATION OF PROPOSED CHANGES

These changes are intended to define eligible compensation in the plan, to define the amount of contributions for the new President, to provide a vesting schedule for the new President, and to incorporate required provisions of the Heroes Earnings Assistance and Relief Tax Act of 2008 (“HEART Act”).

Section 2.7 – Compensation

Section 2.7(a) shall be amended to read in its entirety as follows:

“(a) For purposes of the Section 415 limit in Section 4.6, the sum of (i) the Participant's wages, salaries, bonuses and other amounts received (without regard to whether or not an amount is paid in cash) for personal services actually rendered in the course of employment with the Affiliated Employers to the extent that the amounts are includible in gross income, but not including those items excludable from the definition of compensation under Regulation section 1.415-2(d)(2), and (ii) any amounts described in (i) that would have been received by the individual from the Affiliated Employers and would have been includible in gross income but for an election under Code sections 125, 132(f), 401(k), 402(h), 403(b) or 457(b). Compensation shall include payments of regular pay, leave cashouts and deferred compensation made by the later of 2½ months after severance from employment or the last day of the Plan Year in which such severance from employment occurs, if they are amounts described in Treasury regulation section 1.415(c)-(2)(e)(3)(ii) or (iii) that would have been included as Compensation if paid prior to the severance from employment with the Affiliate Employers. For purposes of

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### Approve Amendment to University of Washington 401(a) Plan for Selected Employees (continued, p. 2)

this Section 2.7(a), effective January 1, 2009, Compensation shall include any differential wage payment (as defined in Code section 414(u)(12)(D)) paid to an individual by the Affiliated Employer to the extent required under Code section 414(u)(12) (and, to the extent required by Code section 414(u)(12)(A)(i), such an individual shall be treated as an Employee). Any payments not described in the preceding sentences shall not be considered Compensation if paid after severance from employment, even if they are paid by the later of 2½ months after the date of severance from employment or the end of the Plan Year that includes the date of severance from employment.”

#### Section 4.1 – Employer Contributions

Section 4.1 shall be amended to read in its entirety as follows:

4.1. **Employer Contributions.** For each Plan Year beginning on or after July 1, 2011, the University will contribute for the President the maximum amount permitted by Sections 401(a)(17) and 415(c) of the Code. ~~each Participant's Compensation for such year, or such other percentage or amount as the University may determine in its sole discretion such contributions to be allocated among the Participants in the proportion that each Participant's Compensation bears to all Participants' Compensation. No Compensation paid to an Eligible Employee prior to the date on which he or she becomes a Participant shall be taken into account for purposes of Employer Contributions under this Section 4.1.~~ Contributions under the Plan must be for the exclusive benefit of employees or their Beneficiaries and substantial and recurring in accordance with Treasury Regulations Sections 1.401-1(a)(3) and 1.401-1(b)(2).

#### Section 4.3 – Vesting Schedule

Section 4.3 shall be amended to read in its entirety as follows:

“4.3. **Vesting in Accounts; Treatment of Forfeitures.** Prior to July 1, 2011, a~~A~~ Participant will be 100% vested in all of his or her Accounts upon the completion of three Years of Service, or, if later, the attainment of age 56 ½. A Participant who remains employed by one or more Affiliated Employers until his or her Normal Retirement Age shall have a 100% vested and non-forfeitable right to his or her Accounts upon attaining such age. A



## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### Approve Amendment to University of Washington 401(a) Plan for Selected Employees (continued, p. 3)

Participant who becomes a Participant on or after July 1, 2011 will be 100% vested in all of his or her Accounts upon the completion of five Years of Service. Unvested amounts will be forfeited upon the Participant's separation from employment. All forfeitures under the Plan shall be applied to reduce the University's contributions for the Plan Year or any succeeding Plan Year.”

#### Section 10.3 – Veteran’s Reemployment and Benefits Rights

Section 10.3 shall be amended to read in its entirety as follows:

“10.3. **Veteran's Reemployment and Benefits Rights.** Notwithstanding any provisions of the Plan to the contrary, contributions, benefits and service credit with respect to qualified military service will be provided in accordance with Code section 414(u). Without limiting the generality of the foregoing, to the extent required under Code section 401(a)(37), in the case of a Participant who dies on or after January 1, 2007 while performing qualified military service, (i) the Participant's survivors are entitled to any additional benefits (other than benefit accruals relating to the period of qualified military service) provided under the Plan had the Participant resumed employment with the Employer in accordance with his or her reemployment rights under the Uniformed Services Employment and Reemployment Rights Act of 1994 and then terminated employment on account of death and (ii) the deceased Participant shall be credited with service for vesting purposes for his or her period of qualified military service.”

#### REVIEWS AND APPROVALS:

The proposed amendment has been reviewed and recommended for approval by the Executive Director, Benefits, the Special Assistant Attorney General for Retirement matters, and the Vice President, Human Resources.

## VII. STANDING COMMITTEES

## B. Finance, Audit and Facilities Committee

University of Washington 403(b) Retirement Program – Approve Changes to EligibilityRECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve changes in section 2.9 of the UW Retirement Plan to reflect recent changes to eligibility passed by the Washington State legislature, which are effective July 1, 2011.

EXPLANATION OF PROPOSED CHANGESSection 2.9 – Eligibility

During the 2011 legislative session Engrossed Substitute House Bill 1989 was passed, modifying RCW 28B.10.400 et seq, and limiting the authority of the state's public college and university Boards of Regents and Trustees to establish eligibility for participation in the higher education retirement plans. The bill specifically prohibits retirees of the state of Washington Department of Retirement Systems retirement plans from participating in any of the higher education retirement plans. The change takes effect July 1, 2011. Accordingly, Section 2.9 of the UW Retirement Plan Document is modified to reflect these changes.

Section 2.9 currently reads as follows:

2.9. **Eligible Employee** means any employee of UW who is employed in an Eligible Position other than an employee who has retired from a position which is covered by RCW 28B.10.400 et seq. and who is not yet contributing to the Plan during the Optional Period.

Accordingly Section 2.9 would be amended to read as follows:

2.9 **Eligible Employee** means any employee of the UW who is employed in an Eligible Position and who is not yet contributing to the Plan during the Optional Period, other than (a) an employee who has retired from a position which is covered by RCW 28B.10.400 et seq., or (b) who has retired from a position which is covered under a Washington State Retirement System and who is receiving benefits as a participant in that system.

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee**On-Call Fire Protection Engineering Master Term Agreement – Select Engineering FirmRECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award an On-Call Fire Protection Engineering Master Term Agreement to Wood Harbinger, Bellevue, Washington, subject to successful negotiation of the engineering and professional services agreement.

In the event of an unsuccessful negotiation with the selected firm it is requested that authority be delegated to open negotiations with Aegis Engineering, Lynnwood, Washington, the firm recommended as first alternate.

BACKGROUND:

The Capital Projects Office intends to select an engineering firm for an On-Call Master Term Agreement for various fire life safety projects for the University of Washington Seattle campus or any of their other locations, including Harborview Medical Center. As individual projects arise, the parties will negotiate the scope of work and fee, and formalize it in a project authorization. Project authorizations under the Master Term Agreement will be executed prior to the expiration of the Master Term Agreement, and will be limited to those with a total project budget (including design, construction, contingency and other costs) of less than \$4 million.

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

In May 2011, the Capital Projects Office advertised for firms interested in providing on-call fire protection engineering services. Three firms responded to

## VII STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### On-Call Fire Protection Engineering Master Term Agreement – Select Engineering Firm (continued p. 2)

the Request for Qualifications, and all three firms were interviewed on May 31, 2011. The three firms interviewed were: Aegis Engineering, Interface Engineering, and Wood Harbinger. It is the interview team's recommendation that Wood Harbinger be awarded the master term agreement for on-call fire protection engineering services.

Wood Harbinger, located in Bellevue, Washington, was founded in 1967. The firm's experience includes extensive work with the University of Washington, including design of the Guggenheim Hall fire protection upgrades and Savery Hall fire protection upgrades. They have a staff of 93 professional engineers, designers and support staff. Wood Harbinger has successfully designed fire protection systems for higher education, medical, military, aviation, municipal, and governmental projects.

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee**On-Call Industrial Mechanical Engineering Master Term Agreement – Select Engineering FirmRECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award an On-Call Industrial Mechanical Engineering Master Term Agreement to Harris Group, subject to successful negotiation of the engineering and professional services agreement.

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

BACKGROUND:

The Capital Projects Office intends to select an engineering firm for an On-Call Master Term Agreement for various industrial mechanical projects located at the University of Washington Seattle campus or any of their other locations, including Harborview Medical Center. As individual projects arise, the parties will negotiate the scope of work and fee, and formalize it in a project authorization. Project authorizations under the Master Term Agreement will be executed prior to the expiration of the Master Term Agreement, and will be limited to those with a total project budget (including design, construction, contingency and other costs) of less than \$4 million.

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

In May 2011, the Capital Projects Office advertised for firms interested in providing on-call industrial mechanical engineering services. Nine firms

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### On-Call Industrial Mechanical Engineering Master Term Agreement – Select Engineering Firm (continued p. 2)

responded to the Request for Qualifications and three firms were interviewed on June 17, 2011. The three firms interviewed were: Hargis Engineering, Inc., Harris Group Inc., and Wood Harbinger. It is the interview team's recommendation that Harris Group Inc. be awarded the term agreement for on-call industrial mechanical engineering services.

Harris Group Inc. is an engineering firm based in Seattle, comprised of over 250 employees nationwide. Their Seattle headquarters office employs nearly 80 staff. Over the past two years, Harris Group has managed over a dozen mechanical-focused on-call projects for the University of Washington on its master term agreement for industrial mechanical projects. In addition, this firm has provided on-call engineering services for a broad range of public and private clients including Boeing, Port of Seattle, and Shell Oil.

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee**Actions Taken Under Delegated Authority

Pursuant to the Standing Orders of the Board of Regents, Delegation of Authority, and to the delegation of authority from the President of the University to the Senior Vice President in Administrative Order No. 1, to take action for projects or contracts that exceed \$1,000,000 in value or cost but are less than \$5,000,000, the Administration may approve and execute all instruments.

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

1. UWMC Operating Room 10, 11, 12 & 14 Power Upgrade, Project No. 203563  
Action Reported: Budget Adjustment

The project budget was originally adopted and reported in the Actions Taken Under Delegated Authority provided to the Regents at its April 14, 2011 meeting. The budget was established at \$1,031,000 and included construction for Operating Rooms 10 & 11. The budget has been increased to \$1,232,000 to include construction work for Operating Rooms 12 & 14.

This project provides updated and redundant electric services per new code requirements for Operating Rooms 10, 11, 12 and 14 on the 2<sup>nd</sup> Floor of the Mulenburg Tower. The work includes upgrades to the finishes and lighting within each room. During the design phase, the client requested the addition of Operating Rooms 12 and 14 to the scope as alternates based upon early estimates of construction costs. The project has bid, and the client has decided to add both operating rooms and increase the budget.

The design was completed in June of 2011; with construction beginning in July, and lasting through December, 2011.

The project funding of \$1,232,000 is from the University of Washington Medical Center. No donor funding is being contemplated nor any naming opportunities envisioned.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 2)

Budget Summary	Original Approved Budget	Current Approved Budget Forecast Cost to Complete
Total Consultant Services	\$160,808	\$264,834
Total Construction Cost*	\$767,380	\$790,537
Other Costs	\$19,931	\$ 75,033
Project Administration	\$82,882	\$101,596
Total Project Budget	\$1,031,001	\$1,232,000

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

2. Mass Notification System Improvements, Project No. 203627  
Action Reported: Adopt Budget

On June 6, 2011, the project budget for the Mass Notification System Improvements project was established as \$1,350,000.

This project involves capital improvements to existing fire alarm systems in select Seattle campus buildings including Kane Hall, Meany Hall, Henderson Hall, and potentially Sieg Hall. The scope of this project includes installation of fire alarm equipment and construction of new and modified fire alarm systems designed under a separate project. This project will expand the coverage of the Mass Notification System (MNS) and improve building fire alarm systems in compliance with local, state and federal requirements.

This project will be funded by a '11-13 UW Building Account allocation.

Budget Summary	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services**	\$40,000	\$40,000
Total Construction Cost*	\$1,141,000	\$1,141,000
Other Costs	\$64,000	\$64,000
Project Administration	\$105,000	\$105,000
Total Project Budget	\$1,350,000	\$1,350,000

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

\*\*Design for this project was completed previously in conjunction with a separate scope of work.



## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### Actions Taken Under Delegated Authority (continued p. 3)

#### REPORT OF ACTIONS TAKEN UNDER GENERAL DELEGATED AUTHORITY – ACQUISITION OF GOODS AND SERVICES

##### 1. Unisys Software License Action Reported: Unisys Software License Extension

Under delegated authority, the Director of Purchasing Services, or his designee, has issued a sole source purchase order for a multiple year license extension agreement to Unisys for the UW Information Technology. The execution of this extension will result in approximately \$1.5 million in discounts with an additional incentive discount of \$235,684

The University operates a Unisys mainframe for its administrative applications. The selection of Unisys (then known as Burroughs) was originally done via a competitive RFP in the early 1980's. Since that time, the existing system has been upgraded and expanded several times on a sole source basis, most recently in 2009. This action extends the existing software license agreement through December 31, 2014.

The extension agreement value is not to exceed \$4,901,290 (includes taxes). A separate RFP will be issued in July 2011 to secure a lease agreement for the total investment cost and the lease will be coterminous with this extension.

Investment approval for this project was secured from WA State ISB/DIS (Investment Approval Request #2011-024) and was reviewed and approved by the Interim VP and Vice Provost for IT.

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee**Red Flag Rules – Identity Theft Compliance Program Annual ReportINFORMATION:

The Fair and Accurate Credit Transaction Act of 2003, and subsequent amendments in 2005, 2007, and 2010, created the Identity Theft Red Flags and Address Discrepancies program to be administered by the Federal Trade Commission (FTC).

This program requires ‘financial institutions’ and ‘creditors,’ which includes the University of Washington due to its role in issuing and collecting loan funds, to create an identity theft reduction program.

This report fulfills the FTC mandated annual reporting requirements to the Board of Regents' Finance, Audit, and Facilities Committee.

PREVIOUS BOARD ACTIONS:

July 2009      Red Flag Rules program and policies approved by Regents

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 is responsible for oversight of the Identity Theft Prevention Program managed by UW Medicine Compliance; the respective Boards for UW Physicians, Children’s University Medical Group, Harborview Medical Center, Northwest Hospital, and Valley Medical Center oversee UW Medicine’s entity-specific programs.

PROGRAM ACCOMPLISHMENTS:

Following the Red Flag Rules annual report in July 2010, a website was 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 resources and a link to Administrative Policy Statement 35.2 – Identity Theft Prevention: Red Flag Rules.

Other accomplishments include the identification of all University offices and units that are required to meet the Red Flag Rules, distribution to those offices of

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

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

FTC publications on how to identify and respond to identity theft, and creation of curriculum and training materials for voluntary training courses offered in April and May 2011.

Our goal for FY2012 is increased participation and attendance at the voluntary training on how to identify and respond to Red Flags.

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee****UW Tacoma Japanese Language School Memorial – Approve Donor Naming Opportunities Plan****RECOMMENDED ACTION:**

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve the attached Japanese Language School Memorial Donor Naming Opportunities Plan dated April 18, 2011.

**PROJECT DESCRIPTION:**

The Japanese Language School Memorial (JLSM), which will be integrated into the development of the Hood Corridor at UW Tacoma, will capture the heritage of the historic Japanese Language School of Tacoma, known as Nihongo Gakko. The JLSM will use a large bronze sculpture, roughly 9 feet in height, landscaping, and plaques set into a retaining wall to tell the story of the Japanese Language School and the Japanese-American community that thrived in Tacoma.

UW Tacoma was forced to demolish the original Japanese Language School (JLS) building in 2004 because it had become a dilapidated public hazard and we are happy to have this opportunity to give the Japanese Language School the community recognition it deserves.

**BACKGROUND:**

The JLS building was purchased with site acquisition funding in 1990. The building was at the far end of the campus footprint, away from active campus development. In 2004, consultants determined the wooden building had deteriorated to the point where it could not be restored with historic integrity and recommended establishing a memorial, thereby ending efforts to find an investor to restore and lease the building. Kenichi Nakano, a prominent landscape architect in Seattle, donated the original design concept for the Japanese Language School Memorial in 2006. Fundraising for construction funds stalled when the lead volunteer, a prominent member of the regional Japanese-American community, passed away. The project was revived last year when the university devised a plan to integrate the memorial into its next phase of campus construction, resulting in a lower project cost. Mr. Nakano and his partner on the project, prominent Seattle sculptor Gerard Ttsutakawa (creator of the bronze mitt sculpture outside Safeco Field), in collaboration with an advisory group of former JLS students, redesigned the memorial for the new location and lower budget.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### UW Tacoma Japanese Language School Memorial – Approve Donor Naming Opportunities Plan (continued p. 2)

The Japanese Language School is an enduring symbol of the power of education to inspire an immigrant community to retain its heritage while embracing the values and culture of its new homeland. Children from throughout the community walked from their public school to the Japanese Language School each day for a few additional hours of instruction in the writing and arts of their native country. Several of the former students who live in Tacoma, now in their 80s and 90s, continue to share with the community their gifts in calligraphy, flower arranging, Sumi and other arts learned at the school. The school, built with funds raised by the leaders of the community, became a central gathering place for meetings and events. It was the cultural and community center of Tacoma's bustling Japan Town. The students also carry with them the memories of lectures by their sensei that called on them to display the highest level of respect and positive behavior in the face of blatant discrimination that was prevalent during that era. No child of the Japanese community was ever disciplined by the law in Tacoma.

The story of the Japanese Language School is inseparable from the experience of internment during World War II. The school was used as a location for the Japanese community to register for transportation to internment camps; former JLS students helped register families for this next stage of their American experience. Many of these same former students are now committed to helping UW Tacoma preserve the heritage of the school.

More Japanese-American men from Tacoma served in Military Intelligence for the U.S. Army than from any other city, in part because of language skills developed at Nihongo Gakko, and in part inspired by the mayor of Tacoma, Harry P. Cane, the only public official to take a public stand against internment.

The Japanese Language School and UW Tacoma share a bond as schools that have played central roles in raising the quality of life and ambitions of their communities. The bustling Japan Town that existed on the Northwestern portion of the campus footprint never returned, a fact also commemorated by the memorial to ensure we never forget lessons from the past.

#### PREVIOUS ACTIONS:

The JLSM will be integrated into the development of the Hood Corridor at UW Tacoma. The Regents approved the consultant for the Hood Corridor project during their June 2011 meeting. This project will transform a former Burlington

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### UW Tacoma Japanese Language School Memorial – Approve Donor Naming Opportunities Plan (continued p. 3)

Northern Santa Fe right-of-way into a landscaped linear park that includes rain gardens, features that will clean storm water, and create plazas and gathering areas for the campus, as well as provide access through and across campus. The Hood Corridor project is being developed in collaboration with the City of Tacoma.

The current design for the JLSM was updated for the new location and to accommodate a lower budget to meet fundraising expectations. The original design, done in 2005, had a construction cost of \$2.5 million. The current project, in collaboration with a previous landscape architect for the Hood Corridor, university staff and an advisory group of former JLS students, has been developed through the schematic design phase. The current status includes sketches to be used for fundraising. All costs for design and construction are included in the lower fundraising goal of \$600,000.

#### PROJECT SCOPE:

The Japanese Language School Memorial will be developed to commemorate the Japanese Language School, its faculty, its students and its historical significance. It will be located along the Hood Corridor which is a linear park along the historic Northern Pacific Railroad terminus that transects the University of Washington Tacoma campus from 17<sup>th</sup> Street and Pacific Avenue southwest to 21<sup>st</sup> Street near Jefferson Street, and a central circulation, gathering and civic space at the heart of the UW Tacoma campus. The Hood Corridor will provide for safe and secure pedestrian access to all campus facilities and create a vibrant, interactive space that responds to the campus mission and master plan and respects the unique railroad heritage of this location, while also safely accommodating the through-circulation of cyclists and pedestrians using the Prairie Line Trail.

#### PROJECT SCHEDULE:

The plan is to complete fundraising for the JLSM in time to integrate the project into the construction timeline for the Hood Corridor project. Forecasted completion dates for the Hood Corridor project:

- Preliminary Design - Complete
- Design – May 2012
- Phase 1 Construction, South Corridor (19<sup>th</sup>-21<sup>st</sup>) – Fall 2012
- Phase 2 Construction, North Lot/Milgard Site – Summer 2013
- Phase 3 Construction, North/South Gateways – Summer 2013

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### UW Tacoma Japanese Language School Memorial – Approve Donor Naming Opportunities Plan (continued p. 4)

- Phase 4 Construction, Plaza/Amphitheater – Spring 2014

#### PROJECT BUDGET AND FUNDING:

The project will be funded with donor funding of \$600,000, which is the total cost for the project. The project budget includes:

Consultant Services	\$205,000
Construction MACC	346,000
Project Administration/other	<u>49,000</u>
Total	\$600,000

#### CURRENT PROJECT STATUS:

The JLSM project will be designed with the Hood Corridor design process as a separate but coordinated element of the larger project. Nakano & Associates, designer of the JLSM, will be hired as a sub-consultant to Atelier Dreiseitl, the Hood Corridor primary consultant approved at the June Regents meeting. With completion of schematic design, and feedback from the former student advisory group during a June 8 meeting, the university is moving forward with fundraising for the project.

#### REVIEW AND APPROVALS:

The Donor Naming Opportunities Plan has been reviewed and approved by the Interim President, the Chancellor, UW Tacoma, and University Advancement.


#### *Attachments*

1. Donor Naming Opportunities Plan (April 18, 2011 memo from Patricia Spakes to Greg Sheridan)
2. Japanese Language School Memorial brochure
3. Summary Project Budget



April 18, 2011

To: Greg Sheridan, Associate Vice President, Constituency Programs

From: Patricia Spakes, Chancellor 

RE: Japanese Language School Memorial Project

The University of Washington Tacoma has created a naming opportunity for the Japanese Language School Memorial, an outdoor sculpture and related landscaping, to represent the heritage of Japanese Language School and the thriving Japan Town that existed within the current footprint of UW Tacoma prior to WWII.

If we acquire the entire \$600,000 cost of the memorial from a single donor, we will name the sculpture and landscaping around it for that donor, to be recognized with a plaque placed near the sculpture.

Should the funding be raised from several donors, we propose the following giving levels to be recognized with a plaque placed near the sculpture. The names of those who give at the higher levels would be represented in larger fonts than those giving at lower levels.

\$250,000 and above

\$100,000 to \$249,000

\$50,000 to \$999,999

\$25,000 to \$49,999

\$5,000 to \$24,999

\$100 to \$4,900

Please let me or Joshua Knudson know if you have any questions or concerns.



A gift of \$600,000 would name the Japanese Language School memorial project and provide a fitting legacy for the Japanese community that once existed where the UW campus now enlivens and sustains Tacoma's downtown. With a gift of this magnitude, the university will be able to construct the project and also support its maintenance in perpetuity. This special place will invite its visitors to reflect on the poignant past, but also to become engaged through the university (and through other institutions such as libraries and museums) with Japan's rich and fascinating arts, history, language and culture. ■



**ABOVE** Former Japanese Language School student Frank Kawasaki, right, shows his handiwork during the Festival of Japanese Culture at UW Tacoma in 2003. The framed calligraphy behind Kawasaki was found on the Language School site in 1993.



**RIGHT** Artist's rendering of the Hood Corridor Trail where the memorial will be located.



## Japanese Language School Memorial

Between 1911 and 1942, a Japanese Language School known as *Nihongo Gakko* served a thriving Japanese community in Tacoma. Near the original Northwest terminus of the transcontinental railroad, the neighborhood above Commencement Bay included hotels, laundries, banks and other businesses. It also included the homes of hundreds of Japanese immigrant families. The children from this community attended public schools, and after school was out each day, came together at *Nihongo Gakko*. Here they learned the language, arts and cultural traditions of Japan, the homeland of their parents and grandparents.



**W** UNIVERSITY of WASHINGTON | TACOMA

**Office of Advancement**  
Campus Box 358432  
1900 Commerce Street  
Tacoma, WA 98402-3100

**253-692-4753**  
tacoma.uw.edu

When Japanese-Americans living on the West Coast were ordered to internment camps after Pearl Harbor, the U.S. government used *Nihongo Gakko*, the heart of the community, as the gathering spot for registration of Tacoma's Japanese-Americans. Most of these spent the duration of the war in camps—with the notable exception of those who served in the U.S. Army (including some recruited to military intelligence because of the language skill they had developed at *Nihongo Gakko*).

**N**one knew then that the site of Tacoma's Japanese Language School would someday lie at the edge of a 46-acre University of Washington campus. None could foresee that the placement of the university in what was once Tacoma's Japan Town would create new opportunities to study and celebrate Japanese history, language, arts and culture. None knew then that it would fall to the University of Washington—with help from its friends and in consultation with former students of the school—to preserve the heritage of *Nihongo Gakko* through sculpture and landscape architecture on a 21st-century urban campus.

For some 40 years the Japanese Language School building stood mostly vacant, eventually coming into the possession of the UW, which found calligraphy charts still hanging on its walls. In 1997, the permanent UW Tacoma campus opened a few blocks down the hill from *Nihongo Gakko*—in readapted historic brick buildings. But the wooden Japanese Language School building had not weathered the passage of time very well, and an architectural consultant determined the building had deteriorated too much to save. On the consultant's recommendation, the University decided not to invest in expensive reconstruction of a building that would ultimately lack historic integrity, but, instead, to put its efforts into preserving the heritage of the school.

To that end, before the building was taken down in 2004, many former JLS students gathered for a special day at UW Tacoma—with tea ceremonies, flower arranging, calligraphy, Iaido, singing and reminiscence. Since then, UW Tacoma has maintained the conversation with *Nihongo Gakko's* former students (now elderly) and some of their descendants. UWT faculty scholars have videotaped oral histories from former students. Historic photographs of the school and those it served—along with the rescued calligraphy charts—are displayed on campus.

**T**he university has promised to commemorate the history of Tacoma's Japanese community with a permanent memorial, but we can accomplish this in a fitting way only with philanthropic support. **The memorial we propose will tell the story of *Nihongo Gakko* through sculpture and landscape architecture and will generate interest in creating new opportunities at UW Tacoma to study and celebrate Japanese history, language, arts and culture.**

The project has been through several design and placement iterations. At this point the commemorative landscape architecture, to include work by sculptor Gerard Tsutukawa, is being designed by Kenichi Nakano, whose mother was a student at *Nihongo Gakko* (former students have been consulted at every design step). The installation will be sited along a beautiful new pathway being created along what is known as the Hood Corridor—where the famous former rail line traverses the campus. This corridor is being converted into a landscaped bicycle-and-pedestrian pathway which will become part of a larger trail system that already includes

a well-loved segment along Tacoma's waterfront. Placing the memorial here will create high visibility, not just within the campus community, but also among families, couples, athletes, tourists and others who will frequent the trail.

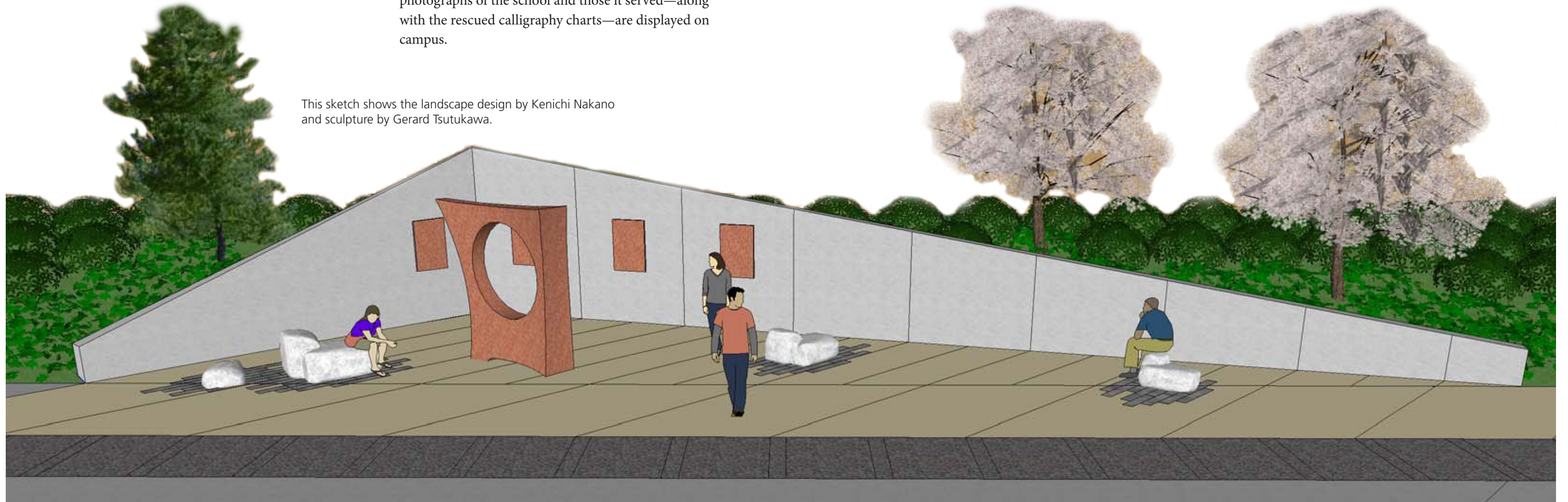
Mr. Nakano is designing the Japanese Language School memorial project to be a place for learning, contemplation and interaction with the Tsutukawa sculpture. Permanent plaques will honor donors and tell the story of the school and its honored principal, Sensei Masato Yamasaki.

**Plantings will include traditional Japanese cherry, black pine and possibly iris.** It is worth noting that the UW's Yoshino cherry trees, now such a signature of spring in Seattle, are the same variety as those sent from Tokyo to Washington DC around the time *Nihongo Gakko* was built.

A future outdoor amphitheater will be near the memorial and provide a natural space for storytelling and performances related to Japanese history, language and culture.

»

This sketch shows the landscape design by Kenichi Nakano and sculpture by Gerard Tsutukawa.



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

PROJECT: UW Tacoma Japanese Language School Memorial

Project Number: 203131

ESTIMATED DATE OF COMPLETION: December 2012

<u>Project Budget</u>	<u>Total Escalated Cost</u>	<u>% of TPC*</u>
Pre-Schematic Design Services	\$ 45,000	7.5%
A/E Basic Design Services	\$ 120,000	20.0%
Extra Services	\$ 34,000	5.7%
Other Services	\$ -	0.0%
Design Services Contingency	\$ 6,000	1.0%
<b>Consultant Services</b>	<b>\$ 205,000</b>	<b>34.2%</b>
Construction Cost	\$ 300,000	50.0%
Other Contracts	\$ -	0.0%
Construction Contingencies	\$ 17,000	2.8%
Sales Tax	\$ 29,000	4.8%
<b>Construction</b>	<b>\$ 346,000</b>	<b>57.7%</b>
Equipment & Furnishings	\$ -	0.0%
Other Costs	\$ 6,000	1.0%
Project Management	\$ 43,000	7.2%
<b>Other</b>	<b>\$ 49,000</b>	<b>8.2%</b>
<b>Total Project Cost (TPC)*</b>	<b>\$ 600,000</b>	<b>100.0%</b>
<b><u>Included in Above:</u></b>		
Escalation not applicable	\$ -	0.0%

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Internal Lending Program Risk Management

INFORMATION:

This will be an oral report for information only. The attached slides will be used during the presentation. They are provided here so that those who want to review them ahead of time have an opportunity to do so.

*Attachment*

Managing Risks in the Internal Lending Program

# **MANAGING RISKS IN THE** **INTERNAL LENDING PROGRAM**

**UW Board of Regents  
Finance, Audit and Facilities Committee**

**July 21, 2011**

# Discussion Outline

- **Executive Summary**
- **Overview**
- **Portfolio Management**
- **Ongoing Monitoring of Internal Loans**

# Executive Summary

- The UW has \$1.65 billion in outstanding debt. The portfolio is 97% fixed rate with an overall rate of 4.4% (3.9% for ILP debt). The high level of fixed rate reflects a long term secular decline in interest rates
- The most significant risks facing the ILP are:
  - The cost of future debt over the next 4 years associated with funding \$675 million in approved projects
  - The increased cost of a potential credit rating downgrade
  - The likelihood of an internal borrower facing declining cash flows and unable to fully service the loan
- The use of variable rate debt within defined policy ranges can lower the University's overall cost of funds
- External interest rates would have to significantly increase next year in order to trigger an increase in the ILP rate
- Robust credit analysis, ongoing monitoring, and regular reporting can provide early warning for borrowers in financial trouble

# Overview:

## ILP Goals & Decision Making

### Program Goals

- Achieve lowest risk-adjusted cost of capital for the institution
- Provide stable and predictable rate for internal borrowers

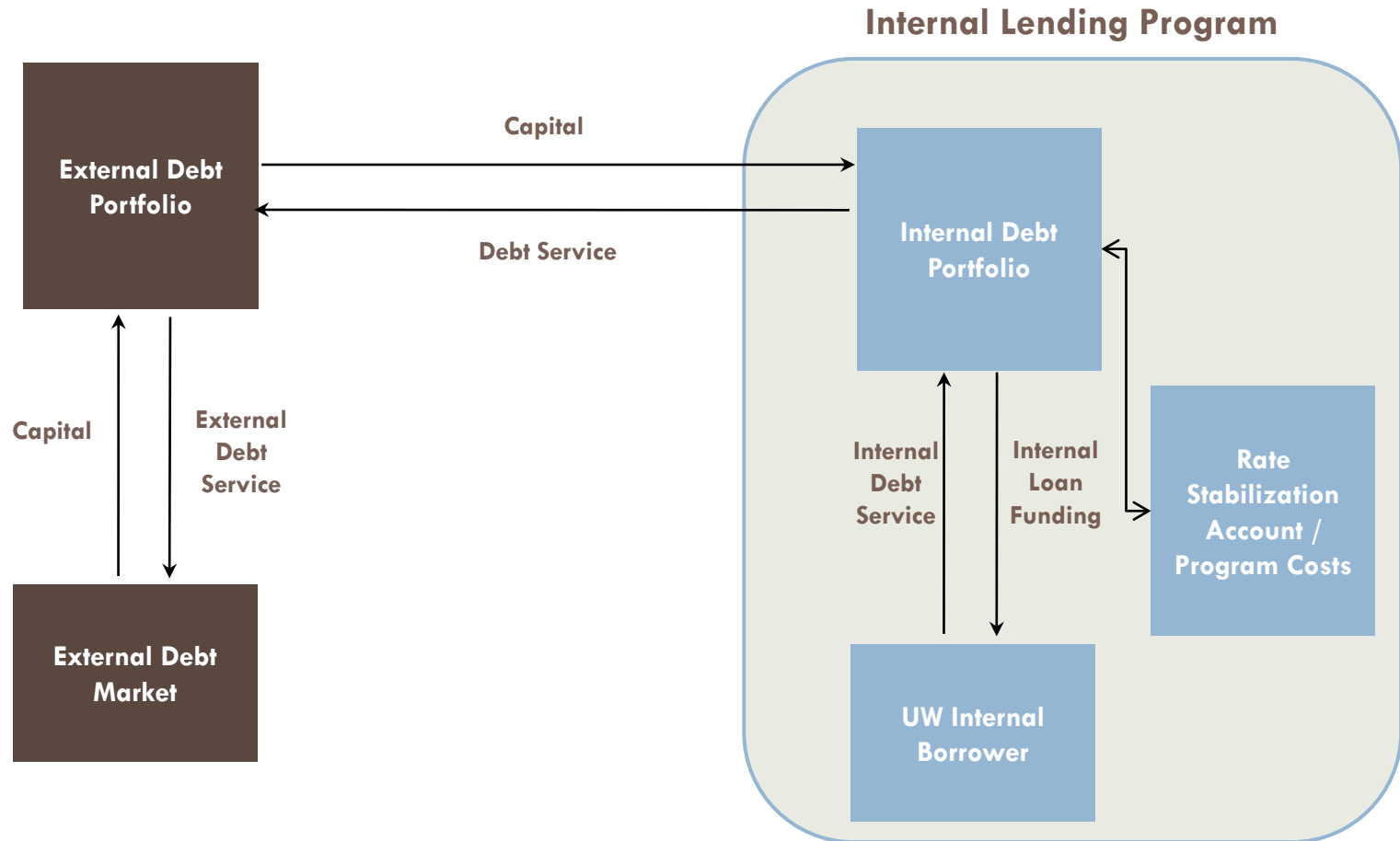
### Decision Making

Debt Advisory Committee meets quarterly

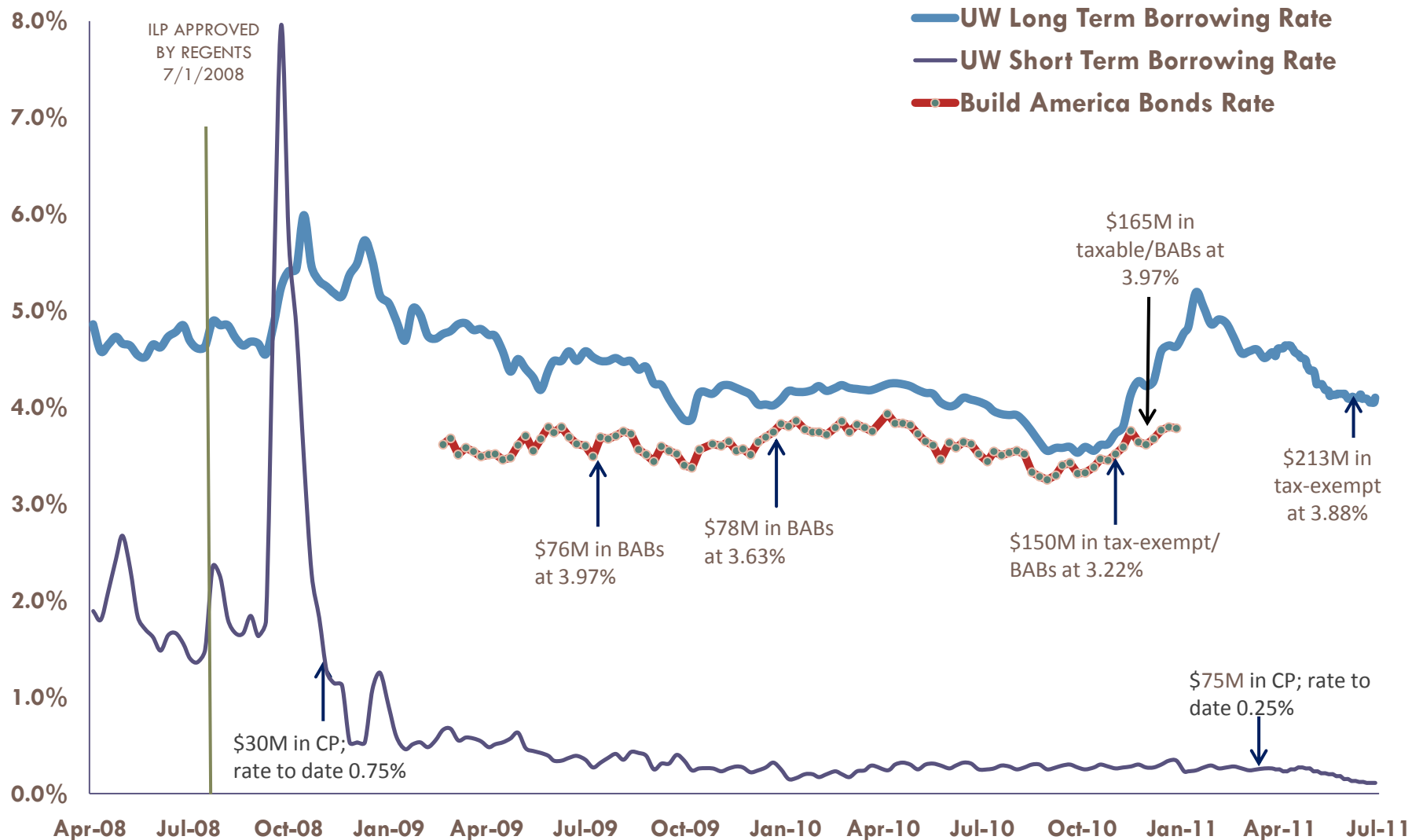
- Reviews credit markets, debt strategy and structure for upcoming bond issues
- Membership includes Washington Deputy State Treasurer, UW's financial advisors, UW Investments team members, and underwriter representatives



# Overview: ILP Structure



# Overview: Historical Borrowing Decisions



# Overview: Risks & Mitigations



**Risk Mitigations**

**Risks**

Project Due Diligence	Debt Portfolio Structuring	Using RSA Balance	ILP Rate Change	Ongoing Loan Monitoring	Central Support	Not Borrowing
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- Market Rate Increase
- Borrower Impairment
- Credit Downgrade
- Tax Law Changes
- Remarketing Failure
- Future Debt Issuance Risk

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# Overview:

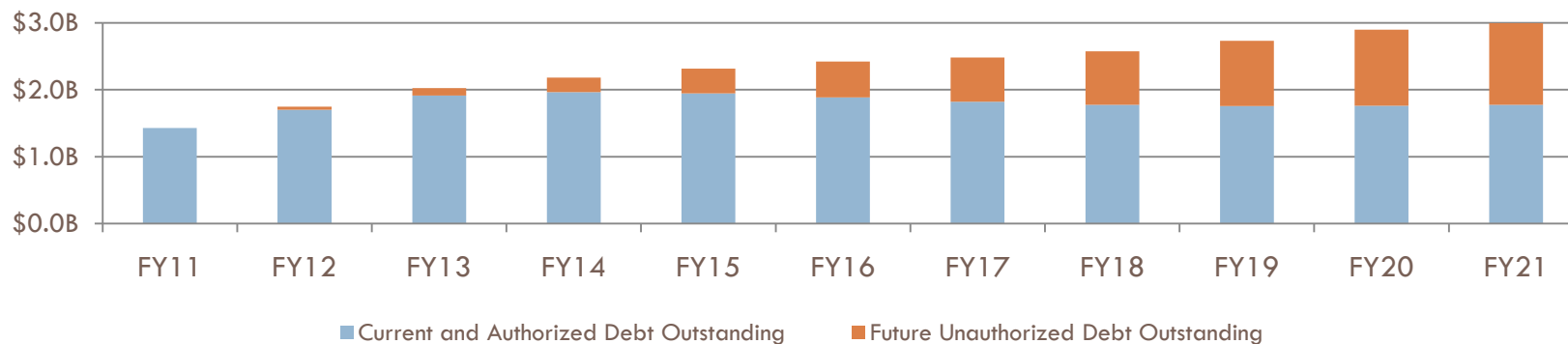
## Future & Outstanding Debt

The ILP rate is vulnerable to market rate risk, with \$675 million in projected borrowing for authorized projects through 2015

**Future Debt Issuance (in millions)**

	<u>FY12</u>	<u>FY13</u>	<u>FY14</u>	<u>FY15</u>	<u>FY16</u>	<u>FY17</u>	<u>FY18</u>	<u>FY19</u>	<u>FY20</u>	<u>FY21</u>
Authorized but Unissued Debt	287	272	119	48	7	0				
One Capital Plan + \$25M/yr	43	70	108	158	169	138	164	239	246	188
<b>Total Debt</b>	<b>330</b>	<b>342</b>	<b>227</b>	<b>207</b>	<b>175</b>	<b>139</b>	<b>164</b>	<b>239</b>	<b>246</b>	<b>188</b>

**Total Debt Outstanding \***



\* Amortization based on 30 year term and 5.5% blended interest rate.

# Portfolio Management: Future Borrowing Rate Sensitivity

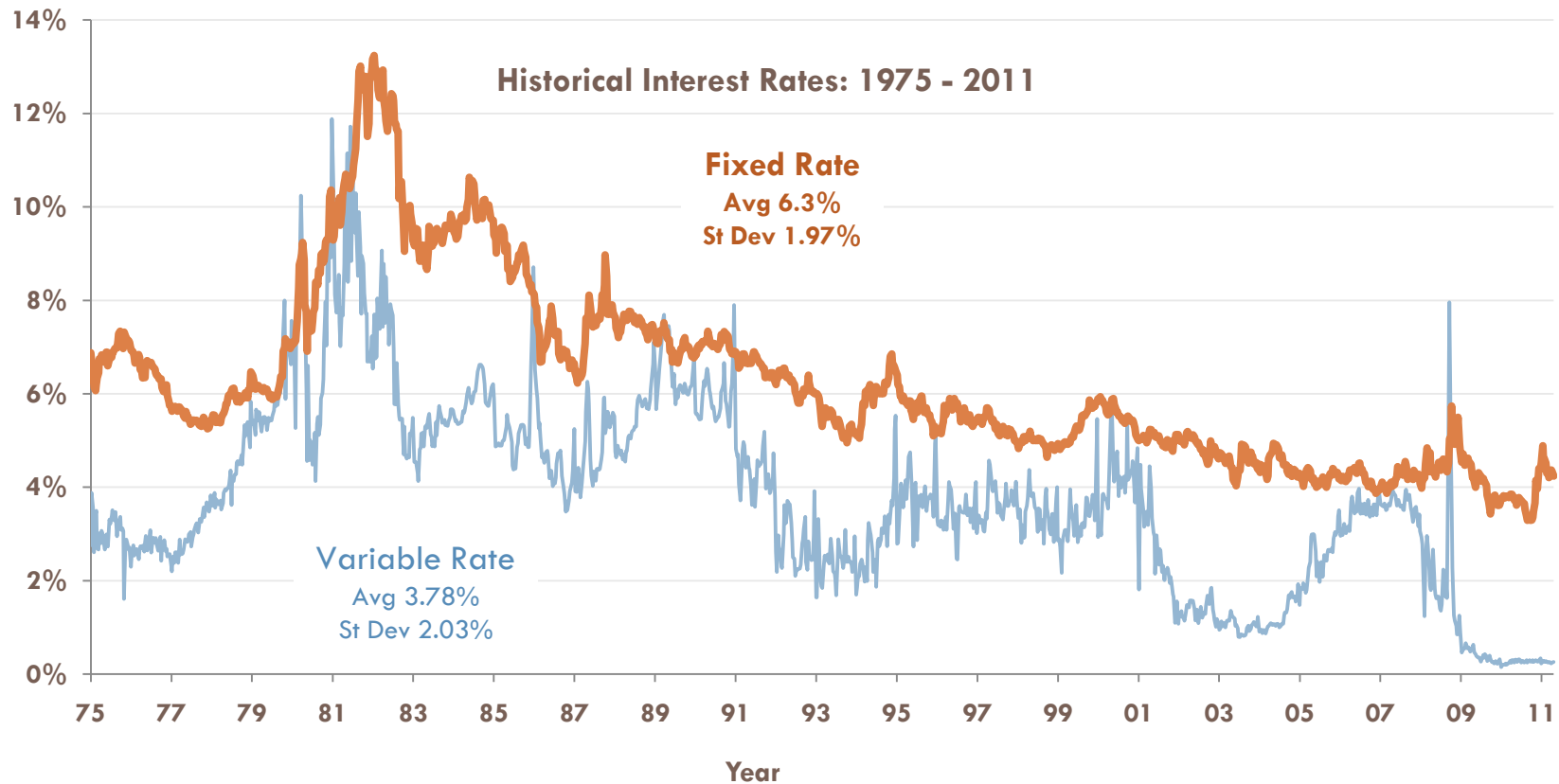
- Expected Borrowing in FY 2012 = \$287 million
- Weighted Average Cost of Funds on current portfolio (including June 2011 Bonds) = 3.9%
- External interest rates would have to increase to nearly 7% in 2012 to increase the weighted average cost of funds to 5%
  - Under this scenario, the Rate Stabilization Account would still be funded
- External interest rates would have to increase to 8.5% in 2012 to increase the weighted average cost of funds to 5.5%
  - Under this scenario, there would be no ongoing funding for the Rate Stabilization Account, but existing balances would remain intact

# Proposed Change To Debt Management Policy

- **Proposal**
  - Amend Debt Policy to set maximum variable rate debt exposure to 20% of debt portfolio (currently no limit on variable rate debt)
- **Risk-reward trade-off**
  - Variable rate debt has lower cost than fixed rate debt, but introduces rate and liquidity risks
- **Rationale for 20% limit**
  - Rating agencies impose higher scrutiny for issuers with more than 20% variable rate debt exposure
  - University's available liquidity support estimated at 25% of market value of cash and liquidity pools (currently \$250 million available)
  - Peer institutions with variable rate debt exposure typically allocate 20% - 25% of debt portfolio to variable rate debt

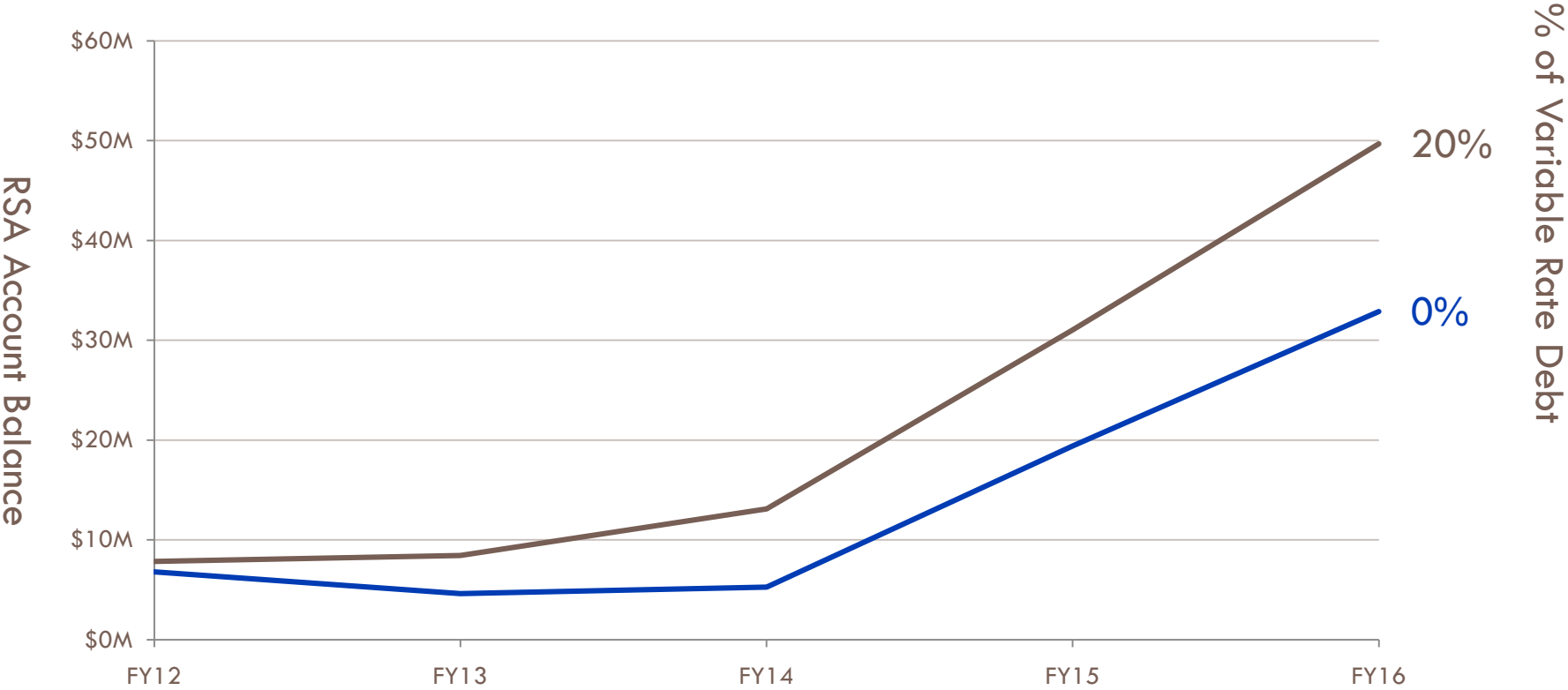
# Portfolio Management: The Role of Variable Rate Debt in Lowering the Overall Cost of Debt

Since 1975, fixed rates have been higher than variable rates with an average spread of 2.50%.



# Portfolio Management: Role of Variable Rate Debt

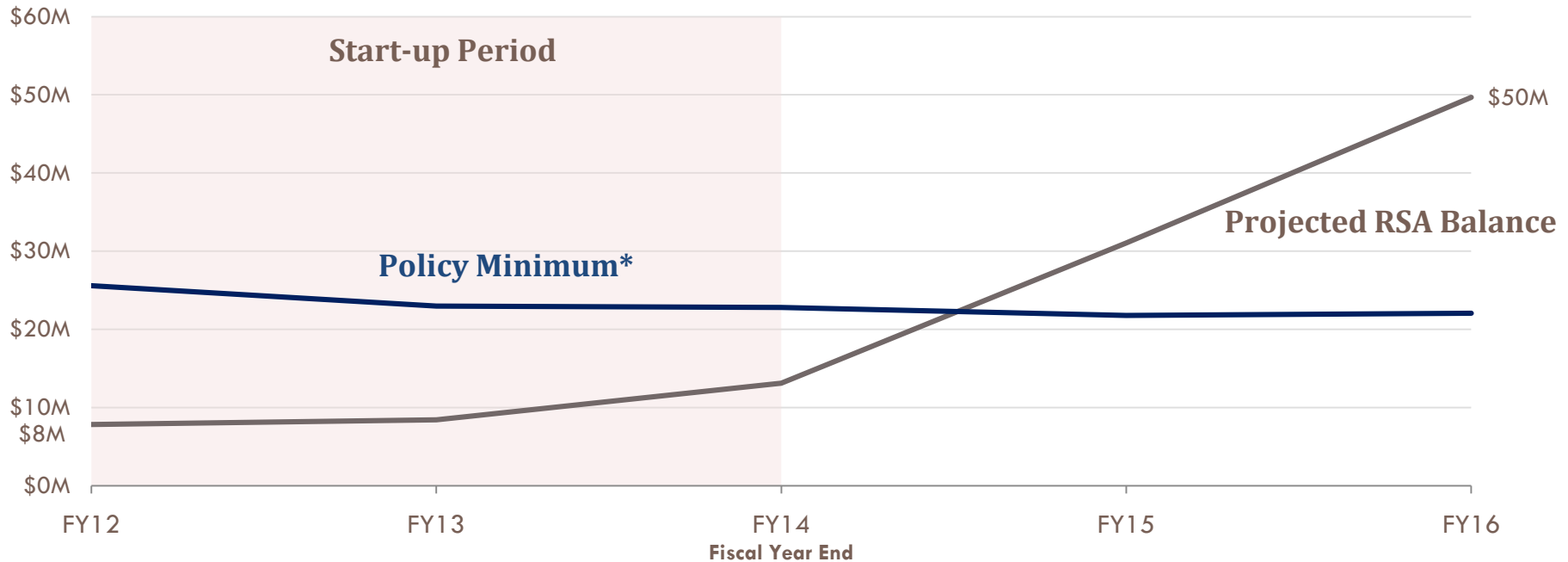
Higher levels of variable rate debt generate higher Rate Stabilization Account balances, but with a greater risk to University liquidity





# Portfolio Management: Rate Stabilization Account Ending Balance Example

All future debt issued as 80% fixed rate/ 20% variable



	<u>FY12</u>	<u>FY13</u>	<u>FY14</u>	<u>FY15</u>	<u>FY16</u>
Rate Stabilization Account					
Ending Balance (in millions)	7.9	7.9	12.8	31.6	49.6
Policy Minimum*	25.6	23.0	22.8	21.8	22.1
Over/(Under) Policy Minimum	(17.7)	(15.1)	(10.0)	9.8	27.6

\* Policy Minimum: The minimum balance of RSA sufficient to buffer against an increase in internal lending rate from a two standard deviation increase over the next two years

# Managing Borrower Risk

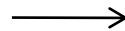
ILP borrower's financial performance is compared to projections to detect potential loan repayment problems

<u>Monitoring</u>	<u>Reporting</u>	<u>Description</u>
1. Construction progress	Regents	Monitor project schedule and budget, ILP construction draws.
2. Financial updates	Regents	Periodic updates (not less frequently than annual reports).
3. Key financial metrics	Regents	Specific borrower financial data required by ILP financing agreements.
4. Proforma variance	Internal	Annual variance review of proforma-vs.-actual financial performance.
5. Minimum reserves	Internal	Semi-annual review of borrower reserves.

# Portfolio Management: Borrower Impairment

## (1) Monitoring

- Borrower is required to report key data annually.
- For major borrower, Treasury requires “early warning” quarterly or semi-annual reporting.



## (2) Mitigation

- Borrower is required to use internal resources to resolve financial issues.
- Internal resources include reserves, cost reductions, operating changes, revenue enhancements.

## (3) Intervention

- If borrower is unable to fully mitigate problem, Provost will provide temporary bridge loan.
- Provost will require borrower’s fullest internal mitigation efforts before providing assistance.



## (4) Restructure

- If borrower is unable to return to normal financial condition, operational and budgetary actions will be imposed.

# Institutional Support

Internal borrower mitigation is undertaken before institutional resources are available

- ILP financing agreements identify institutional backstop if borrowers are unable to make debt service payments.
- Borrowers are required to take internal mitigation action before Provost provides loan backstop.
- Institutional backstop is a temporary bridge loan until normal financial condition is restored.

# Appendix:

## Biographies of Asset Liability Management Advisory Committee Members

### — [Ellen Evans, Deputy State Treasurer - Debt Management, State of Washington](#)

Ms. Evans is responsible for managing all aspects of debt issuance by the State and participates in financial policymaking on a broad range of issues. Trained as an economist, her professional experience has been largely in institutional finance with Seattle-Northwest Securities, Salomon Brothers, the Federal Reserve Bank of New York and the United Nations. Additionally, she has taught at the Graduate School of Business at Columbia University and Seattle University. She earned graduate degrees in economics and international affairs at Columbia, and holds a BA from Middlebury College. She has served on the Board of Gage Academy of Art for eight years after taking a series of drawing classes. Ellen lives in Seattle with her husband Dr. Sandy Melzer and is the mother of two college-aged children.

### — [Dean Torkelson, Senior Vice-President, Seattle-Northwest Securities](#)

Mr. Torkelson joined Seattle-Northwest Securities in 1987 and served as President and CEO for eleven years. Since 1998, Mr. Torkelson has served as financial advisor to some of SNW's larger clients including the State of Washington (State Finance Committee) and the University of Washington. Mr. Torkelson began his finance career in municipal bond sales and trading and has also been active in fixed income portfolio management, public sector investment banking, and strategic planning. Prior to joining SNW, he was manager of the Capital Markets Division of Seattle-First National Bank and Treasurer of the bank and Seafirst Corporation. Mr. Torkelson has served as a Board member for the Municipal Securities Rulemaking Board and as an instructor at the Pacific Coast Banking School. He received his BA in Economics from Willamette University and his MBA from The Wharton School, University of Pennsylvania.

### — [Bill Starkey, Vice-President, Seattle-Northwest Securities](#)

Mr. Starkey has more than 12 years of experience in public finance and has represented Seattle-Northwest Securities as financial advisor to the University of Washington since 2006. His clients include the Oregon University System, the Ports of Portland and Seattle, the State of Washington, the City of Seattle, and King County. Mr. Starkey serves on SNW's credit committee and has worked on over 100 bond issues with a total par amount exceeding \$14 billion. Prior to joining SNW, Mr. Starkey worked for the Washington State Department of Transportation, where he was responsible for debt management and financial planning. He received his Ph.D. degree in economics from the University of Washington and B.A. degrees in economics and psychology from the University of California at Santa Barbara. In addition to having taught college economics, Mr. Starkey is a FINRA Series 52 licensed municipal finance professional.

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee**Approval of a Resolution to Issue and Refund General Revenue BondsRECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve:

1. The attached resolution to allow for the issuance of General Revenue Bonds for the following purposes:
  - a. Capital projects based on expected cash flows and the redemption of outstanding commercial paper for fiscal year 2012 in a total amount not to exceed \$290 million;
  - b. To refund any existing debt that provides an economic benefit.
2. Delegating to 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. As part of this policy, bonds paid from university 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.

Refunding bonds will be issued to capture economic benefit and/or to restructure the debt portfolio to achieve longer-term strategic objectives. Bonds refunded for economic benefit are authorized under this resolution; any refunding for non-economic reasons will require specific Regental approval.

The following is a summary of the capital projects currently expected to be funded with long term General Revenue Bonds issued in fiscal year 2012:

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### Approval of a Resolution to Issue and Refund General Revenue Bonds (continued, p. 2)

<b>Project</b>	<b>Date of Regents Approval</b>	<b>Total Debt Authorized</b>	<b>Previously Borrowed</b>	<b>Estimated 2012 Borrowing</b>
UWMC Expansion	Feb-08	160,000	106,000	49,700
Pediatric Dentistry	Mar-08	12,000	11,000	100
J-Wing	Jul-08	16,000	10,000	800
Housing Phase 1	May-09	164,000	71,000	69,200
Molecular Engineering - ICR only	Jun-09	20,000	-	17,600
ECC Renovation	Jul-09	15,000	1,000	8,100
Hall Health Renovation	Jul-09	8,000	5,000	2,200
HUB Renovation	Jul-09	117,000	28,000	70,900
UW Tacoma Phase 3	May-10	13,450	7,000	2,400
Husky Stadium	Nov-10	250,000	-	51,100
Bothell Housing Acquisition	Feb-11	13,000	12,000	1,000
Housing Phase 2	Feb-11	286,000	3,000	38,800
Subtotal		1,074,450	254,000	311,900
Plus: Outstanding Commercial Paper				125,000
Less: 2011A Bond Proceeds				(150,000)
Total Estimated 2012 Borrowing				<u>286,900</u>

A description of refunding candidates is provided in Schedule A of the attached resolution.

#### FINANCING STRUCTURE:

Under the resolution, the bonds can be issued as fixed rate, variable rate, non-amortizing or some combination of modes. Variable rate debt will only be issued within policy ranges expected to be adopted by the Board of Regents in fall 2011. No variable rate debt will be issued under the resolution until the debt policy is amended. Commercial paper will continue to be issued as needed for cash flow management.

In addition, more than one series of bonds can be issued during the fiscal year. The final structure of the bonds will depend on market conditions at the time of issuance. The structure of any bonds issued will be reported to the Board of Regents at the annual Debt Management Review in February 2012.

The source of repayment for these bonds will be General Revenues, including all auxiliary revenues.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### Approval of a Resolution to Issue and Refund General Revenue Bonds (continued, p. 3)

The total new money borrowing for fiscal year 2012 is not expected to exceed \$290 million and may be less than \$290 million if annual cash needs are less than projected. The maximum borrowing amount in the resolution also allows for paying off outstanding commercial paper of \$125 million with long term debt.

The authority granted in the resolution will terminate on July 31, 2012.

#### REVIEW AND APPROVALS:

The resolution and terms have been recommended by the University's financial advisor and reviewed by bond counsel, the Treasury Office, and the Senior Vice President and Treasurer, Board of Regents.

#### *Attachment*

July 21, 2011 General Revenue Bond Resolution



BOARD OF REGENTS  
UNIVERSITY OF WASHINGTON  
RESOLUTION  
DATED JULY ~~15, 2010~~21, 2011

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Authorizing the issuance and sale of  
UNIVERSITY OF WASHINGTON  
GENERAL REVENUE BONDS, SERIES [~~2010~~-2011-2012] and  
GENERAL REVENUE REFUNDING BONDS, SERIES [~~2010~~-2011-2012]

UNIVERSITY OF WASHINGTON

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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.

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BOARD OF REGENTS  
UNIVERSITY OF WASHINGTON  
RESOLUTION

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 Bonds in the aggregate principal amount not to exceed \$~~308~~290,000,000 for the purpose of financing or refinancing the acquisition of and improvements to University capital facilities and University of Washington General Revenue Refunding Bonds for the purpose of refunding certain outstanding obligations; providing for the date, form, terms, maturities and redemption of the bonds; providing for the payment of and establishing the security for such bonds; providing for the redemption of the outstanding bonds to be refunded; delegating authority to an authorized representative of the University to make certain determinations and appointments with respect to the bonds of this issue from time to time; and authorizing the execution of documents in connection with the issuance and sale of such bonds.

WHEREAS, the Legislature, pursuant to the Bond Act (as hereinafter defined) has authorized the Board of Regents to sell and issue revenue bonds to finance or refinance the acquisition, construction, and equipping of University facilities; and

WHEREAS, the University has outstanding those bonds described on Exhibit A attached hereto, each of which are subject to optional redemption prior to their respective maturities as shown on Exhibit A; and

WHEREAS, the University has been advised that debt service savings or more beneficial terms may be obtained by refunding some or all of the Refunding Candidates through the issuance of one or more series of general revenue refunding bonds (the "~~2010/2011/2012~~ Refunding Bonds"); and

WHEREAS, the University has also determined to issue one or more series of general revenue bonds in the aggregate principal amount not to exceed \$~~308~~290,000,000 (the "~~2010/2011/2012~~ New Money Bonds") for the purpose of financing or refinancing certain University capital facilities as described herein; ~~and~~

~~WHEREAS, pursuant to RCW 28B.20.700 .740., as amended by Chapter 499, Wash. Laws 2009, and pursuant to Sec. 5010 and 5016, Chapter 36, Wash. Laws 2010, the University is authorized to issue up to \$42,800,000 in building fee revenue bonds to pay costs of~~

~~reconstructing Balmer Hall and up to \$7,450,000 in building fee revenue bonds to pay costs of constructing facilities at UW Tacoma, and is authorized to pledge its General Revenues, as defined herein, as an additional source of payment for such bonds;~~

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 of additional obligations of the University payable from General Revenues.

***Authorized Denominations*** means:

(a) with respect to ~~2010/2011/2012~~ Bonds in the Fixed Rate Mode or Term Mode, \$5,000 and any integral multiple thereof within a series and maturity, and

(b) with respect to ~~2010/2011/2012~~ Bonds in the Daily Mode, the Weekly Mode, or the Commercial Paper Mode, \$100,000 and any integral multiple of \$5,000 in excess thereof within a series and maturity.

***Authorized Representative of the University*** means the President of the University or the designee(s) of the President or his or her designee for the purposes of one or more duties of the Authorized Representative under this resolution.

***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 ~~2010/2011/2012~~ Bonds (including persons holding ~~2010/2011/2012~~ 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, ~~2010~~2011/2012.

**Bond Purchase Contract** means the Bond Purchase Contract(s) between the University and the underwriter(s) for each series of the ~~2010/2011~~2012 Bonds pertaining to the initial sale and purchase of the ~~2010/2011~~2012 Bonds.

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

**Bond Year** means each one-year period that ends on the date selected by the University. The first and last Bond Years may be short periods. If no day is selected by the University before the earlier of the final maturity date of the ~~2010/2011~~2012 Bonds or the date that is five years after the date of issuance of the ~~2010/2011~~2012 Bonds, Bond Years end on each anniversary of the date of issue and on the final maturity date of the ~~2010/2011~~2012 Bonds.

**Bonds** mean the University of Washington General Revenue Bonds, 2007, currently outstanding in the principal amount of \$138,405,000, General Revenue Refunding Bonds, 2008, currently outstanding in the principal amount of ~~\$80,830~~75,290,000, General Revenue Bonds, 2009 Taxable (Build America Bonds – Direct Payment), currently outstanding in the principal amount of \$75,835,000, General Revenue Bonds, 2009B Taxable (Build America Bonds – Direct Payment), currently outstanding in the principal amount of \$77,710,000, General Revenue and Refunding Bonds, 2010A, currently outstanding in the ~~2010~~ principal amount of \$20,265,000, General Revenue Bonds, 2010B Taxable (Build America Bonds – Direct Payment), currently outstanding in the principal amount of \$144,740,000, the ~~2011/2012~~ Bonds, and any Additional 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 Fee Revenue Bond Project** means the design and reconstruction of Balmer Hall as described in Section 5009, Chapter 36, Wash. Laws 2010, and the design and construction of facilities at UW Tacoma as described in Section 5016, Chapter 36, Wash. Laws 2010, all as permitted by the Building Fee Revenue Bond Act.~~

~~———— **Building Fee Revenue Bonds** means bonds, including a portion of the 2010/2011 Bonds, issued pursuant to the Building Fee Revenue Bond Act to pay costs of the Building Fee Revenue Bond Project.~~

**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 or required to remain closed and (b) on which the New York Stock Exchange is not closed.

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

**Closing Date** means each date on which a series of ~~2010/2011/2012~~ Bonds are issued and delivered in return for payment of the full purchase price therefor.

**Code** means the Internal Revenue Code of 1986, as heretofore or hereafter amended, together with all corresponding and applicable final, temporary or proposed regulations and revenue rulings as issued or amended with respect thereto by the United States Treasury Department or the Internal Revenue Service to the extent applicable to the ~~2010/2011/2012~~ Bonds.

**Commercial Paper Mode** means the Mode during which the ~~2010/2011/2012~~ Bonds bear interest at a Commercial Paper Rate or Rates.

**Commercial Paper Rate** means the interest rate (per annum) on any ~~2010/2011/2012~~ Bond in the Commercial Paper Mode determined pursuant to the applicable Remarketing Agreement or Trust Agreement for such ~~2010/2011/2012~~ 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 underwriters for the ~~2010/2011/2012~~ Bonds of any series 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 series of the ~~2010/2011/2012~~ Bonds, including but not limited to payment of the scheduled principal of and interest on ~~2010/2011/2012~~ Bonds. There may be more than one Credit Facility for a series of ~~2010/2011/2012~~ Bonds.

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

**Current Mode** means, with respect to any series of the ~~2010/2011/2012~~ Bonds, the Mode then in effect.

**Daily Mode** means the Mode during which a series of the ~~2010/2011/2012~~ Bonds bear interest at the Daily Rate.

**Daily Rate** means the per annum interest rate for a series of the ~~2010/2011~~/2012 Bonds in the Daily Mode determined pursuant to the Remarketing Agreement or Trust Agreement for such ~~2010/2011~~/2012 Bonds.

**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 ~~2010/2011~~/2012 Bonds, or any successor or substitute depository for the ~~2010/2011~~/2012 Bonds.

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

**Escrow Agreement** means an Escrow Deposit Agreement to be dated as of the applicable Closing Date.

**Federal Tax Certificate** means certificate of that name executed by the Authorized Representative of the University at the time of issuance and delivery of each series of the ~~2010/2011~~/2012 Tax-Exempt Bonds.

**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 of the ~~2010/2011~~/2012 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 of the ~~2010/2011~~/2012 Bonds to the maturity thereof determined pursuant to Section 23 and the Remarketing Agreement or Trust Agreement for such ~~2010/2011~~/2012 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.

**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, 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 ~~2010/2011/2012~~ Bonds in accordance with, and simultaneously 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 ~~2010/2011/2012~~ 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, 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 the ~~2010/2011/2012~~ Bonds and the "book-entry" system for evidencing the beneficial ownership of the ~~2010/2011/2012~~ 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 a series of the ~~2010/2011/2012~~ Bonds (or portion thereof). There may be more than one Liquidity Facility for a series of ~~2010/2011/2012~~ Bonds, and the University may provide self-liquidity for a series of ~~2010/2011/2012~~ 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 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 ~~2010/2011/2012~~ Bonds set forth in the applicable Trust Agreement or Remarketing Agreement.

**Mode** means the Daily Mode, Weekly Mode, Commercial Paper 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](http://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 ~~2010/2011/2012~~ 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.

**Other Facility** means a capital facility of the University with a financing plan that has been approved by the Board.

**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, ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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;

| ~~\_\_\_\_\_~~(2)(b) for which the University's obligations to make all or any portion of University Payments are payable from General Revenues;

| ~~\_\_\_\_\_~~(3)(c) under which Reciprocal Payments are to be made directly into the Bond Fund;

| ~~\_\_\_\_\_~~(4)(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

| ~~\_\_\_\_\_~~(5)(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.

**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.

**Private Person** means any natural person engaged in a trade or business or any trust, estate, partnership, association, company or corporation.

**Private Person Use** means the use of property in a trade or business by a Private Person if such use is other than as a member of the general public. Private Person Use includes ownership of the property by the Private Person as well as other arrangements that transfer to the Private Person the actual or beneficial use of the property (such as a lease, management or incentive payment contract or other special arrangement) in such a manner as to set the Private Person apart from the general public. Use of property as a member of the general public includes attendance by the Private Person at municipal meetings or business rental of property to the Private Person on a day-to-day basis if the rental paid by such Private Person is the same as the rental paid by any Private Person who desires to rent the property. Use of property by nonprofit community groups or community recreational groups is not treated as Private Person Use if such use is incidental to the governmental uses of property, the property is made available for such use by all such community groups on an equal basis and such community groups are charged only a *de minimis* fee to cover custodial expenses.

| **Projects** mean the acquisition of, improvements to and equipping of University facilities, including, without limitation ~~the Building Fee Revenue Bond Project and~~, any Other Facility.

**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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 currently outstanding as shown on Exhibit A.

**Registered Owner** means the person named as the registered owner of a ~~2010/2011/2012~~ Bond on the Bond Register. For so long as the ~~2010/2011/2012~~ 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 Agency, whose duties include registering and authenticating the ~~2010/2011/2012~~ Bonds, maintaining the Bond Register, registering the transfer of the ~~2010/2011/2012~~ Bonds, paying interest on and principal of the ~~2010/2011/2012~~ Bonds, and drawing on any Credit Facility securing ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds payable pursuant to such Credit Facility or Liquidity Facility.

**Reimbursement Agreement** means a Reimbursement Agreement 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 investment banking firms selected from time to time by the Authorized Representative of the University to serve as remarketing agent for ~~2010/2011/2012~~ Bonds pursuant to a Remarketing Agreement.

**Remarketing Agreement** means a Remarketing Agreement relating to ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds designated as serial bonds in the Bond Purchase Contract.

**Special Record Date** means a special date fixed to determine the names and addresses of holders of the ~~2010/2011/2012~~ Bonds for purposes of paying interest on a special interest payment date for defaulted or overdue interest as the case may be.

**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 ~~2010/2011/2012~~ Bonds, if any, designated as term bonds in the applicable Bond Purchase Contract.

**Term Rate** means the per annum interest rate for a series of ~~2010/2011/2012~~ Bonds in the Term Rate Mode determined pursuant to the Remarketing Agreement or Trust Agreement for such ~~2010/2011/2012~~ Bonds.

**Term Rate Mode** means the Mode during which a series of ~~2010/2011/2012~~ Bonds bear interest at the Term Rate.

**Trust Agreement** means a Trust Agreement entered into between the University and a Trustee with respect to one or more series of ~~2010/2011/2012~~ Bonds, setting forth the terms of such series of ~~2010/2011/2012~~ Bonds.

**Trustee** means a bond trustee selected by the Authorized Representative of the University to act on behalf of owners of one or more series of ~~2010/2011/2012~~ Bonds pursuant to a Trust Agreement.

**~~2010/2011/2012~~ Bonds** means the ~~2010/2011/2012~~ New Money Bonds and the ~~2010/2011/2012~~ Refunding Bonds.

**~~2010/2011/2012~~ New Money Bonds** means the University of Washington General Revenue Bonds, Series [~~2010/2011/2012~~][] [Taxable] issued in one or more series in the aggregate principal amount not to exceed \$~~308290~~,000,000 to finance or refinance costs of the Projects pursuant to this resolution.

**~~2010/2011/2012~~ Refunding Bonds** means the University of Washington General Revenue Refunding Bonds, Series [~~2010/2011/2012~~][] [Taxable] issued in one or more series to redeem and/or defease one or more of the Refunding Candidates on their Call Dates pursuant to this resolution.

**~~2010/2011/2012~~ Taxable Bonds** means any ~~2010/2011/2012~~ Bonds determined to be issued on a taxable basis pursuant to Section 23.

**~~2010/2011/2012~~ Tax-Exempt Bonds** means any ~~2010/2011/2012~~ 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 of the ~~2010/2011/2012~~ Bonds bear interest at the Weekly Rate.

**Weekly Rate** means the per annum interest rate for a series of the ~~2010/2011/2012~~ Bonds in the Weekly Mode determined pursuant to the Remarketing Agreement or Trust Agreement for such ~~2010/2011/2012~~ 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.

(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 all or a portion of the costs of the Projects, through the issuance of ~~2010/2011/2012~~ New Money Bonds in one or more series, upon the terms and conditions set forth for the ~~2010/2011/2012~~ New Money Bonds in this resolution.

(b) It is in the best interests of the University to redeem and/or defease one or more of the Refunding Candidates, or any portion thereof, to achieve debt service savings through the issuance of ~~2010/2011/2012~~ Refunding Bonds in one or more series, upon the terms and conditions set forth for the ~~2010/2011/2012~~ Refunding Bonds in this resolution.



(c) It is necessary and in the best interest of the University to issue the ~~2010/2011/2012~~ Bonds payable from General Revenues.

~~(d) The University finds that the issuance of 2010/2011 Bonds payable from General Revenues on the terms authorized herein represents the financing method that will result in the lowest cost to the University of Washington building account for the 2010/2011 Bonds issued to finance all or a portion of the costs of the Building Fee Revenue Bond Project.~~

Section 3. Authorization and Purpose of ~~2010/2011/2012~~ Bonds.

~~(a) 2010/2011.~~

~~(a) 2011/2012 New Money Bonds.~~ The ~~2010/2011/2012~~ New Money Bonds shall be in an aggregate principal amount not to exceed \$~~308,290,000,000~~ and shall be issued in one or more series to pay (or pay commercial paper notes issued to pay) costs of the Projects and to pay Issuance Costs. ~~The proceeds of any Building Fee Revenue Bonds designated pursuant to Section 23 shall be applied to pay costs of the Building Fee Revenue Bond Project, plus an allocable portion of Issuance Costs.~~ The ~~2010/2011/2012~~ 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 series of ~~2010/2011/2012~~ New Money Bonds; shall be numbered in the manner determined by the Registrar; and shall be issued in fully registered form in Authorized Denominations.

~~(a) 2010(b)~~ ~~2011/2012 Refunding Bonds.~~ The ~~2010/2011/2012~~ Refunding Bonds shall be issued in one or more series to redeem and/or defease one or more of the Refunding Candidates designated pursuant to Section 23 and to pay Issuance Costs. The ~~2010/2011/2012~~ 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 series of ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds.

(a) *General Terms.* The ~~2010/2011/2012~~ Bonds shall be dated ~~such as of their~~ date, ~~shall bear interest at such rates and in such Modes, 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 ~~2010/2011/2012 Bonds. The 2011 Bonds. The 2010/2011/2012~~ Bonds shall bear interest determined within Modes selected by the Authorized Representative of the University from time to time. All ~~2010/2011/2012~~ Bonds shall be issued in the form of fully registered ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds from time to time. ~~2010/2011/2012~~ New Money Bonds shall be named University of Washington General Revenue Bonds, Series [~~2010/2011/2012~~], with an additional designation of “Taxable” for any series of ~~2010/2011/2012~~ Taxable Bonds. ~~2010/2011/2012~~ Refunding Bonds shall be named University of Washington General Revenue Refunding Bonds, Series [~~2010/2011/2012~~]. At the written direction of the Authorized Representative of the University, the Registrar shall designate a particular principal amount of ~~2010/2011/2012~~ Bonds (in Authorized Denominations) as a series or subseries. A series of ~~2010/2011/2012~~ Bonds shall be identified by the year of issue (either ~~2010/2011~~ or ~~2011/2012~~) and sequential letters (e.g. Series ~~2010A/2011A~~, Series ~~2010B/2011B~~, Series ~~2011A/2012A~~, Series ~~2011B/2012B~~). A subseries of ~~2010/2011/2012~~ Bonds shall be further identified by sequential numbers (e.g., Series ~~2010A/2011A-1~~, Series ~~2010A/2011A-2~~, Series ~~2011B/2012B-1~~, Series ~~2011B/2012B-2~~). Upon such designation, such ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds shall be payable in lawful money of the United States of America.

(c) *Modes.* The terms applicable to ~~2010/2011/2012~~ Bonds in the Daily Mode, the Weekly Mode, the Term Mode, the Commercial Paper Mode or the Fixed Mode, and provisions for conversions among such Modes, shall be as provided in the applicable Remarketing Agreement or Trust Agreement, as applicable.

(d) *Determinations Conclusive.* If the ~~2010/2011/2012~~ Bonds of a series are in the Daily Mode, the Weekly Mode, the Term Mode, the Commercial Paper Mode or the Fixed Mode, the Interest Rates determined as provided in the Remarketing Agreement or Trust Agreement, as applicable, shall be conclusive.

(e) *Maximum Rate.* No ~~2010/2011/2012~~ Bond, other than a Bank Bond, shall bear interest at an Interest Rate higher than the Maximum Rate.

#### Section 5. Execution.

The ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bond so executed shall not be affected by the fact that one or more of the officers whose signatures appear on such ~~2010/2011/2012~~ Bond have ceased to hold office at the time of issuance or authentication or at any time thereafter.

Section 6. Authentication.

No ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds shall be issued only in registered form as to both principal and interest. The University hereby appoints the fiscal agency of the State as the Registrar for the ~~2010/2011/2012~~ Bonds. The University shall cause a bond register to be maintained by the Registrar. So long as any ~~2010/2011/2012~~ Bonds remain Outstanding, the Registrar shall make all necessary provisions to permit the exchange or registration of transfer of ~~2010/2011/2012~~ Bonds at its principal corporate trust office. The Registrar may be removed at any time at the option of the Treasurer 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 ~~2010/2011/2012~~ Bonds transferred or exchanged in accordance with the provisions of such ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds as eligible for deposit at DTC, the University has executed and delivered the Letter of Representations. The ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds or any consent given or other action taken by DTC as the Registered Owner.

(d) *DTC as Registered Owner.* Payment of any such ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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) *~~2010/2011/2012~~ Bonds Registered in the Name Designated by DTC.* The ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bond maturing on each maturity date in a denomination corresponding to the total principal therein designated to mature on such date. Registered ownership of such immobilized ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds, together with a written request on behalf of the Authorized Representative of the University, issue a single new ~~2010/2011/2012~~ Bond for each maturity of such ~~2010/2011/2012~~ Bonds then Outstanding, 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 ~~2010/2011/2012~~ Bonds that they be able to obtain ~~2010/2011/2012~~ Bond certificates, the ownership of ~~2010/2011/2012~~ Bonds may then be transferred to any person or entity as herein provided, and the ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds, to issue ~~2010/2011/2012~~ Bonds as herein provided in any Authorized Denomination. Upon receipt of all then Outstanding ~~2010/2011/2012~~ Bonds by the Registrar together with a written request on behalf of the Authorized Representative of the University to the Registrar, new ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds are no longer held in immobilized, book-entry form, the transfer of ownership of any ~~2010/2011/2012~~ Bond may be registered and such ~~2010/2011/2012~~ Bonds may be exchanged, but no transfer of any ~~2010/2011/2012~~ Bond shall be valid unless it is surrendered to the Registrar with the assignment form appearing on such ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bond and shall authenticate and deliver, without charge to the Registered Owner or transferee therefor, a new ~~2010/2011/2012~~ Bond (or ~~2010/2011/2012~~ Bonds at the option of the new Registered Owner) of the same 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 ~~2010/2011/2012~~ Bond, in exchange for such surrendered and canceled ~~2010/2011/2012~~ Bond. Any ~~2010/2011/2012~~ Bond may be surrendered to the Registrar and exchanged, without charge, for an equal aggregate principal amount of ~~2010/2011/2012~~ Bonds of the same date, maturity date and interest rate, in any Authorized Denomination. The Registrar shall not be obligated to transfer or exchange any ~~2010/2011/2012~~ Bond during the five-day period prior to the selection of ~~2010/2011/2012~~ 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.

(g) *Registration Covenant.* The University covenants that, until all ~~2010/2011/2012~~ Tax-Exempt Bonds of a series have been surrendered and canceled, it will maintain a system for recording the ownership of each ~~2010/2011/2012~~ Bond of that series that complies with the provisions of Section 149 of the Code.

Section 8. Mutilated, Destroyed, Lost or Stolen ~~2010/2011/2012~~ Bonds.

If any ~~2010/2011/2012~~ Bond is lost, stolen or destroyed, the University may execute and the Registrar may authenticate and deliver a new ~~2010/2011/2012~~ Bond or ~~2010/2011/2012~~

Bonds of like series, 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bond so furnished shall be equally and proportionately entitled to the security of this resolution with all other ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bond shall be payable upon surrender or delivery of such ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bond shall accrue interest and be payable as to interest as follows:

(1) On each Interest Payment Date, the Registered Owner of each ~~2010/2011/2012~~ Bond as of the Record Date shall be paid the amount of unpaid interest that accrues during the Interest Accrual Period. If and to the extent, however, that the University fails to make payment or provision for payment of interest on any ~~2010/2011/2012~~ Bond on any Interest Payment Date, interest shall continue to accrue thereon, and shall be payable to the Registered Owner of that ~~2010/2011/2012~~ Bond as of the Special Record Date. The Registrar shall establish the Special Record Date for all other ~~2010/2011/2012~~ Bonds when moneys become available for payment of interest on the Bonds, and shall be a date not more than 15 nor fewer than 10 days prior to the date of the proposed payment. The Registrar shall give notice by first-class mail of the proposed payment and of the Special Record Date to each Registered Owner not fewer than 10 days prior to the Special Record Date and, thereafter, such interest shall be payable to the Registered Owner of such ~~2010/2011/2012~~ Bonds as of the Special Record Date.

(2) The interest due on any ~~2010/2011/2012~~ Bond on any Interest Payment Date shall be paid to the Registered Owner of such ~~2010/2011/2012~~ Bond as shown on the Bond Register as of the Record Date. 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 ~~2010/2011/2012~~ Bonds in the Daily Mode, Commercial Paper 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 ~~2010/2011/2012~~ Bonds of a series are no longer held by a Securities Depository, during the Term Mode or Fixed Mode, the interest, principal or Redemption Price of the ~~2010/2011/2012~~ Bonds shall be payable by check, provided that any Registered Owner of \$1,000,000 or more in aggregate principal amount of the ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds of a series are no longer held by a Securities Depository, all payments of interest, principal or the Redemption Price on the ~~2010/2011/2012~~ Bonds during the Commercial Paper Mode, Daily 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 continental 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. The fact and date of the execution by any Person of any such instrument may be proved by acknowledgment before a notary public or other officer empowered to take acknowledgments or by an affidavit of a witness to such execution or by any other method satisfactory to the Registrar. Any action by the Registered Owner of any ~~2010/2011/2012~~ Bond shall bind all future Registered Owners of the same ~~2010/2011/2012~~ Bond or of any ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bond as the absolute owner thereof for all purposes, whether or not such ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bond shall be made only to such Registered Owner, which payments shall satisfy and discharge the liability of the University with respect to such ~~2010/2011/2012~~ Bond to the extent of the sum or sums so paid.

#### Section 11. Form of ~~2010/2011/2012~~ Bonds.

The ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds are no longer held in fully-immobilized form, the form of ~~2010/2011/2012~~ Bonds will be changed to reflect the changes required in connection

with the preparation of certificated 2010/2011/2012 Bonds. The form of the 2010/2011/2012 Bonds shall further be changed as necessary to reflect whether the 2010/2011/2012 Bonds are 2010/2011/2012 New Money Bonds or 2010/2011/2012 Refunding Bonds, whether the 2010/2011/2012 Bonds are 2010/2011/2012 Tax-Exempt Bonds or 2010/2011/2012 Taxable Bonds, any series or subseries designation for the 2010/2011/2012 Bonds and the Current Mode of the 2010/2011/2012 Bonds.

No. R-\_\_\_\_\_

\$\_\_\_\_\_

UNITED STATES OF AMERICA

[STATEMENT OF INSURANCE, IF ANY]

UNIVERSITY OF WASHINGTON

GENERAL REVENUE [REFUNDING] BOND, 2010/2011/2012[\_\_\_\_\_] [Taxable]

MATURITY DATE:

ISSUE DATE

CUSIP

REGISTERED OWNER: CEDE & CO.

PRINCIPAL AMOUNT:

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, 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 agency 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, 2010/2011 (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 Daily Rates, Weekly Rates, Commercial Paper 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds of this issue and that the issuance of this bond and the ~~2010/2011/2012~~ 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

ATTEST:

By \_\_\_\_\_  
[Secretary, Board of Regents]  
[Treasurer of the University]

The Certificate of Authentication for the 2010/2011/2012 Bonds shall be in substantially the following form and shall appear on each 2010/2011/2012 Bond:

AUTHENTICATION CERTIFICATE

This bond is one of the University of Washington General Revenue [Refunding] Bonds, Series [2010/2011/2012][   ] described in the within-mentioned Bond Resolution.

WASHINGTON STATE FISCAL  
AGENCY, as Registrar

By \_\_\_\_\_  
Authorized Signatory

Date of Authentication: \_\_\_\_\_

Section 12. Redemption.

(a) *Optional Redemption.* 2010/2011/2012 Bonds in a Term 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 2010/2011/2012 Bonds as set forth in the respective Bond Purchase Contract, Trust Agreement and/or Remarketing Agreement, as applicable. 2010/2011/2012 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. 2010/2011/2012 Bonds of a series 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 2010/2011/2012 Bonds of a series are issued in the Fixed Mode, any Term Bonds 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 2010/2011/2012 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 2010/2011/2012 Bonds of a series are issued in a Daily Mode, Weekly Mode or Commercial Paper Mode and converted to the Fixed Mode or Term Mode, the Maturity Date of the 2010/2011/2012 Bonds of that series (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 2010/2011/2012 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.

(c) *Selection of ~~2010/2011/2012~~ Bonds for Redemption.* Whenever the University elects to redeem fewer than all of the ~~2010/2011/2012~~ Bonds of a series, the University shall select the maturity or maturities to be redeemed. Whenever fewer than all the Outstanding ~~2010/2011/2012~~ Bonds of a series and maturity are to be redeemed, the ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds of a series 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.

(d) *Notice of Redemption.* For so long as the book entry-system is in effect with respect to a series, notice of redemption, which notice may be conditional, 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 ~~2010/2011/2012~~ 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.

(e) *Effect of Redemption.* If notice of redemption has been duly given and, in the case of an optional redemption, money for the payment of the Redemption Price of the ~~2010/2011/2012~~ Bonds or portions thereof to be redeemed is held by the Registrar (unless the notice of redemption is a conditional notice, in which case the notice shall state that interest shall cease to accrue from the redemption date if and to the extent that funds have been provided to the Registrar for the redemption of ~~2010/2011/2012~~ Bonds), then on the Redemption Date the ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds or portions thereof shall have no rights in respect thereof except to receive payment of the Redemption Price upon delivery of such ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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, ~~2010-2011~~ (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 ~~2010/2011/2012~~ Bonds then coming due and the principal of the ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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.

Section 14. Application of ~~2010/2011/2012~~ Bond Proceeds.

(a) ~~2010/2011/2012~~ *New Money Bonds.* The proceeds of the ~~2010/2011/2012~~ New Money Bonds shall be paid into the Capital Fund (hereinafter authorized to be created). The Authorized Representative of the University is hereby authorized and directed to create a special fund or account of the University, designated as the "University of Washington Capital Fund, ~~2010/2011~~" (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. ~~Money on deposit in the Capital Fund representing proceeds of any Building Fee Revenue Notes shall be applied to pay costs of the Building Fee Revenue Bond Project, plus an allocable portion of Issuance Costs.~~

All or part of the proceeds of the ~~2010/2011/2012~~ New Money Bonds may be temporarily invested in or with such institutions or in such obligations as may now or hereafter be permitted to the University by law that will mature prior to the date on which such money shall be needed.

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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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.

(b) ~~2010/2011/2012~~ *Refunding Bonds.* The proceeds of each series of ~~2010/2011/2012~~ Refunding Bonds shall be disbursed as provided in the related Escrow Agreement and/or Trust Agreement to redeem and/or defease the Refunding Candidates to their Call Dates through the application of proceeds of the ~~2010/2011/2012~~ Refunding Bonds to

acquire Acquired Obligations for deposit, together with cash, as provided in such Escrow Agreement and/or Trust Agreement.

Section 15. Source of Repayment and Security for ~~2010/2011/2012~~ Bonds.

(a) *Special Fund Obligations.* The ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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, 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 ~~2010/2011/2012~~ Bonds are designated as Building Fee Revenue Bonds pursuant to Section 23, 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. 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 as permitted by law. 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 those investments in which agencies of the State are authorized to invest pursuant to State law.

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 covenants and agrees that in accordance with the Federal Tax Certificate for each series of ~~2010/2011/2012~~ Tax-Exempt Bonds:

(a) it will not make any use of the proceeds from the sale of the applicable series of ~~2010/2011/2012~~ Tax-Exempt Bonds or any other funds of the University which may be deemed to be proceeds of such ~~2010/2011/2012~~ Tax-Exempt Bonds pursuant to Section 148 of the Code and the applicable regulations thereunder which will cause that series of the ~~2010/2011/2012~~ Tax-Exempt Bonds to be “arbitrage bonds” within the meaning of said Section and said regulations. The University will comply with the applicable requirements of Section 148 of the Code (or any successor provision thereof applicable to the applicable series of ~~2010/2011/2012~~ Tax-Exempt Bonds) and the applicable regulations thereunder throughout the term of the ~~2010/2011/2012~~ Tax-Exempt Bonds; and

(b) it will not take any action or permit any action to be taken that would cause the ~~2010/2011/2012~~ Tax-Exempt Bonds of a series to constitute “private activity bonds” under Section 141 of the Code.

(c) it will not permit:

(1) More than 10% of the net proceeds of the ~~2010/2011/2012~~ Tax-Exempt Bonds of a series to be used for any Private Person Use; and

(2) More than 10% of the principal or interest payments on the ~~2010/2011/2012~~ Tax-Exempt Bonds of a series in a Bond Year to be directly or indirectly: (A) secured by any interest in property used or to be used for any Private Person Use or secured by payments in respect of property used or to be used for any Private Person Use, or (B) derived from payments (whether or not made to the University) in respect of property, or borrowed money, used or to be used for any Private Person Use.

The University further covenants that, if:

(3) More than five percent of the net proceeds of the ~~2010/2011/2012~~ Tax-Exempt Bonds of a series are to be used for any Private Person Use; and

(4) More than five percent of the principal or interest payments on that series of ~~2010/2011/2012~~ Tax-Exempt Bonds in a Bond Year are (under the terms of this resolution or any underlying arrangement) directly or indirectly: (A) secured by any interest in property used or to be used for any Private Person Use or secured by payments in respect of property used or to

be used for any Private Person Use, or (B) derived from payments (whether or not made to the University) in respect of property, or borrowed money, used or to be used for any Private Person Use, then, (i) any Private Person Use of the projects described in subsection (3) hereof or Private Person Use payments described in subsection (4) hereof that is in excess of the five percent limitations described in such subsections (3) or (4) will be for a Private Person Use that is related to the state or local governmental use of the project refinanced with the applicable series of ~~2010/2011/2012~~ Tax-Exempt Bond proceeds, and (ii) any Private Person Use will not exceed the amount of net proceeds of the applicable series of ~~2010/2011/2012~~ Tax-Exempt Bonds used for the state or local governmental use portion of the projects to which the Private Person Use of such portion of such project relates. The University further covenants that it will comply with any limitations on the use of the projects being refinanced by a series of the ~~2010/2011/2012~~ Tax-Exempt Bonds by other than state and local governmental users that are necessary, in the opinion of its bond counsel, to preserve the tax exemption of the interest on the applicable series of ~~2010/2011/2012~~ Tax-Exempt Bonds. The covenants of this section are specified solely to assure the continued exemption from regular income taxation of the interest on the ~~2010/2011/2012~~ Tax-Exempt Bonds of each applicable series.

Section 20. No Recourse Against Individuals.

No owner of a ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds, or for the satisfaction of any liability arising from, founded upon, or existing by reason of, the issuance or ownership of such ~~2010/2011/2012~~ Bonds against the officers of the University or officers or members of the Board in their individual capacities.

Section 21. Defeasance.

Any ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds are to be optionally redeemed, the University shall have given to the Registrar irrevocable instructions to give such notice of redemption of such ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds. In the event of such partial defeasance, this resolution shall be discharged only as to the ~~2010/2011/2012~~ 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 a series of the ~~2010/2011/2012~~ Bonds, to “deem final” a 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 series of ~~2010/2011/2012~~ Bonds to the actual purchasers of the ~~2010/2011/2012~~ Bonds and others. The University hereby authorizes any of such officers to execute each Final Official Statement described above to indicate such approval.

Section 23. Determination of Certain Matters Affecting ~~2010/2011/2012~~ Bonds.

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 ~~2010/2011/2012~~ Bonds, subject to the limitations described below:

- (a) determine whether the ~~2010/2011/2012~~ Bonds shall be issued and sold in one or more series or subseries;
- (b) determine the Mode in which ~~2010/2011/2012~~ Bonds of a series or subseries shall be issued initially;
- (c) determine the times and manner of conversion between Modes, and negotiate and execute documents to effect the conversion, including without limitation any Reimbursement Agreement, Remarketing Agreement or Trust Agreement, or amendments thereto;
- (d) negotiate and execute at his or her discretion, one or more Escrow Agreements, Bond Purchase Contracts, Remarketing Agreements, Reimbursement Agreements, or Trust Agreements, and amendments thereto from time to time;
- (e) negotiate and execute a Payment Agreement, if any, in connection with the issuance of any series of ~~2010/2011/2012~~ Bonds;

- (f) select one or more Escrow Agents, underwriters and/or Remarketing Agents;
- (g) select some or all of the Refunding Candidates and designate those Refunding Candidates as the “Refunded Bonds” in the applicable Bond Purchase Contract;
- (h) determine if it is in the best interest of the University for any or all of the 2010/2011/2012 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;
- (i) subject to the limitations set forth herein, approve the Interest Rates if the 2010/2011/2012 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 2010/2011/2012 Bonds;
- (j) select a Trustee for the owners of any or all of the 2010/2011/2012 Bonds and fix its or their rights, duties, powers, and obligations under the applicable Trust Agreement; and
- (k) determine whether any or all of the 2010/2011/2012 Bonds shall be issued as 2010/2011/2012 Tax-Exempt Bonds or as 2010/2011/2012 Taxable Bonds; and
- ~~(i) designate any or all of the 2010/2011 Bonds as Building Fee Revenue Bonds.~~

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

- (a) the aggregate principal amount of the 2010/2011/2012 New Money Bonds shall not exceed \$~~308290~~,000,000;
- (b) the aggregate debt service to be paid on any 2010/2011/2012 Refunding Bonds shall be less than the aggregate debt service on the Refunding Candidate to be refunded with the proceeds of such 2010/2011/2012 Refunding Bonds;
- (c) the final maturity date of any 2010/2011/2012 Refunding Bonds shall not be later than the final maturity date of the Refunding Candidate to be refunded with the proceeds of the 2010/2011/2012 Refunding Bonds;
- (d) the true interest cost to the University, taking into account any interest subsidy, for the 2010/2011/2012 Bonds bearing interest in the Fixed Mode does not exceed 7.0%; and
- (e) the date and time for any Closing Date is not later than July 31, 2011/2012.

In determining the items described in this section, the Authorized Representative of the University, in consultation with University staff and the University’s financial advisor, shall take

into account those factors that, in his or her judgment, will result in the lowest true interest cost on the ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 series of ~~2010/2011/2012~~ 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. ~~Such delivery shall be made at the offices of K&L Gates LLP, 925 Fourth Avenue, Suite 2900, Seattle, Washington 98104, or at such other place as any of such officers and the underwriters shall agree.~~ 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 ~~2010/2011/2012~~ Bonds in exchange for the purchase price thereof.

#### 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 the any series of ~~2010/2011/2012~~ 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 of ~~2010/2011/2012~~ 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 of ~~2010/2011/2012~~ 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 that (1) the terms and conditions of the payment agreement and any ancillary agreements, including without limitation, the interest rate or rates and any other amounts payable thereunder, are commercially reasonable in light of then existing market conditions; and (2) the findings and determinations under subsection (c) and (f)(3) are reasonable.

(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. —The Authorized Representative of the University is hereby authorized to amend or terminate any outstanding Payment Agreement with respect to the 2004 Bonds.

(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 2010/2011/2012 Bonds or reduce the University's exposure to fluctuations in interest rates on the related 2010/2011/2012 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds.

Any such supplemental resolution of the Board may be adopted without the consent of the owners of any ~~2010/2011/2012~~ 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 or accreted value, as applicable, of all Outstanding ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 or in addition to 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 ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds shall be proved by the registry books 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 ~~2010/2011/2012~~ Bonds of a series 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 ~~2010/2011/2012~~ Bonds of a series 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 ~~2010/2011/2012~~ Bond. Except as aforesaid, any such consent given by the Registered Owner of any ~~2010/2011/2012~~ Bond shall be conclusive and binding upon such Registered Owner and upon all future Registered Owners of such ~~2010/2011/2012~~ Bond and of any ~~2010/2011/2012~~ Bond issued in exchange therefor or in lieu thereof, irrespective of whether or not any notation in regard thereto is made upon such ~~2010/2011/2012~~ Bond. Any action taken by the Registered Owners of the percentage in aggregate principal amount of a series of Outstanding ~~2010/2011/2012~~ Bonds specified in this resolution in connection with such action shall be conclusively binding upon the University and the Registered Owners of all Outstanding ~~2010/2011/2012~~ Bonds.

#### Section 28. Determination of Registered Owners' Concurrence.

In determining whether the Registered Owners of the requisite aggregate principal amount of a series of Outstanding ~~2010/2011/2012~~ Bonds have concurred in any demand, request, direction, consent or waiver under this resolution, ~~2010/2011/2012~~ 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. ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds and that the pledgee is not the University.

Section 29. University Acquisition of ~~2010/2011/2012~~ Bonds.

The University may acquire ~~2010/2011/2012~~ Bonds by (a) purchase of ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ Bonds and the provisions of the Bond Act shall constitute a contract between the University and the Registered Owners of the ~~2010/2011/2012~~ 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 ~~2010/2011/2012~~ 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 ~~15th~~21st day of July, ~~2010~~2011.

BOARD OF REGENTS, UNIVERSITY OF  
WASHINGTON

By \_\_\_\_\_

Attest:

By \_\_\_\_\_

Approved as to form:

\_\_\_\_\_  
Cynthia Weed  
Special Assistant  
Attorney General  
State of Washington



**Exhibit A**

**Description of Refunding Candidates**

Issuer Name	Bond Name	Original Par Value	Remaining Balance <u>June</u> <u>June</u> 30, <u>2010</u> <u>2011</u>
<del>CDP-CD</del> <a href="#">State of WA</a>	<del>1996 CDP-CD Bonds (Commodore-Duchess)</del> <a href="#">1992B State GO Bonds</a>	\$ 7,385,273,380,000	\$ 5,765,118,115,000
<a href="#">ERP</a> <a href="#">State of WA</a>	<del>1999A Educational Research Properties (tax exempt)</del> <a href="#">1992B State GO Bonds Selective Redemption (K-Wing)</a>	26,050,720,000	26,050,720,000
<a href="#">ERP</a> <a href="#">State of WA</a>	<del>1999B Educational Research Properties (taxable)</del> <a href="#">1993 VR95 A &amp; B Selective Redemption (Phys-Astro)</a>	—4,505,000	1,400,505,000
<a href="#">RCP</a> <a href="#">State of WA</a>	<del>2000 Radford Court Properties Revenue Bonds</del> <a href="#">1993B State GO Bonds (Physics Astro)</a>	53,125,796,500	48,660,388,500
State of WA	<del>1992A</del> <a href="#">1998C State GO Bonds</a>	4,945,183,355,000	1,115,126,615,000
State of WA	<del>1992B State GO bonds</del> <a href="#">1999 Primate Center COPs #25 (Series UW1999)</a>	27,380,663,000	13,575,133,000
State of WA	<del>1992B State GO Bonds Selective Redemption (K-Wing)</del> <a href="#">2001B COP #28 (Husky Den)</a>	7,206,030,000	7,203,985,000
State of WA	<del>1993 VR95 A &amp; B Selective Redemption (Phys-Astro)</del> <a href="#">2001B COP #29 (Lander &amp; McCarty ethernet)</a>	5,055,515,000	5,051,125,000
State of WA	<del>1993B State GO Bonds (Physics Astro)</del> <a href="#">2001D SPI Phase 2b Bldg 5 COPs #35</a>	7,965,356,500	42,330,000
State of WA	<del>1998C State GO Bonds</del> <a href="#">2002A SPI Bldg 29 COPs #36</a>	18,355,485,000	13,265,318,500
State of WA	<del>1999 Primate Center COPs #25 (Series UW1999)</del> <a href="#">2002A State GO Bonds</a>	6,630,476,900,000	1,945,530,000
State of WA	<del>1999 SP Phase 1 COPs #24 (Series UW 1999)</del> <a href="#">2002B State GO Bonds (Law School)</a>	4,645,10,075,000	3,395,315,000
State of WA	<del>2001A</del> <a href="#">2002E SPI Phase 2a Bldg 5 Phase 2c COPs #24b40</a>	1,605,268,500	1,060,870,000
State of WA	<del>2001B COP #28 (Husky Den)</del> <a href="#">2003D State GO Bonds</a>	6,030,10,480,000	4,250,310,000
State of WA	<del>2001B COP #29 (Lander &amp; McCarty ethernet)</del> <a href="#">2004A State GO Bonds (Bioe/Genome)</a>	5,515,19,325,000	1,655,960,500
State of WA	<del>2001C</del> <a href="#">2004D State GO Bonds (Law School)</a> <a href="#">BioE/Genome)</a>	5,025,774,500	315,625,000
State of WA	<del>2001C State GO Bonds (Law School) — unrefunded</del> <a href="#">2007 GO Ref R-2007C (1997E (HE-UW) Exc) Phys-Astro</a>	315,710,000	160,590,000
State of WA	<del>2001D SPI Phase 2b Bldg 5 COPs #35</del> <a href="#">2007C GO Ref R-98A (1992A HE-UW Exc) (Phys-Astro)</a>	3,565,183,500	2,490,181,500
State of WA	<del>2002A SPI Bldg 29 COPs #36</del> <a href="#">2007C GO Ref Ser (R-98A (1992A-UW-Exc)) (K-Wing)</a>	4,850,193,500	3,400,191,500

State of WA	<a href="#">2002A State GO Bonds 2010 COP #77</a>	47,690,415,000	38,010,175,000
State of WA	<a href="#">2002B State GO Bonds (Law School) 2010 COP #78</a>	10,075,107,000	8,070,985,000
State of WA	<a href="#">2002E SPI Bldg 5 Phase 2c COPs #40R-2003C GO Bonds</a>	2,685,815,000	1,990,865,000
State of WA	<a href="#">2003D State GO Bonds (BioE/Genome)R-2003C R-95A (K-Wing)</a>	10,480,917,000	8,755,975,000
State of WA	<a href="#">2004A State Go Bonds (Bioe/Genome)R-2006A (1994A HE UW) Physics Astro</a>	19,325,12,400,000	16,315,12,175,000
State of WA	<a href="#">2004D State GO Bonds (BioE/Genome)R-2006A (1994A-UW exc) K-Wing</a>	7,745,13,955,000	6,475,13,705,000
State of WA	<a href="#">2007 GO Ref R-2007C (1997E (HE-UW) Exc) Phys-AstroR-2006A (2000A) Hospital 01L Bonds</a>	7,104,988,000	6,304,829,000
State of WA	<a href="#">2007CR-2010A GO Ref R-98A (1992A (R-1999B HE-UW) Exc) (Phys-Astro)</a>	1,835,23,385,000	1,815,21,165,000
State of WA	<a href="#">2007CR-2010A GO Ref Ser (R-98A99A (1992A HE-UW-Exc)) (K-Wing)</a>	1,935,975,000	1,915,975,000
State of WA	<a href="#">R-2003C R-95A (K-Wing)R-2010A GO (R-99A (1992A UW Exc))</a>	9,170,207,000	2,430,070,000
State of WA	<a href="#">R-2003C State GO Bonds (Physics-Astro)R-2010B (2001C UW) Law School</a>	8,155,361,000	2,155,361,000
State of WA	<a href="#">R-2006A (1994A HE UW) Physics AstroR-2011A GO (2002A UW) Law School</a>	12,400,000	12,175,000
State of WA	<a href="#">R-2006A (1994A-UW exc) K-WingR-2011A GO (2002A UW) UWMC</a>	10,872,300	10,872,300
State of WA	<a href="#">R-2006A (1994A-UW exc) K-WingR-2011A GO (2002A UW) UWMC</a>	13,955,000	13,705,000
State of WA	<a href="#">R-2006A (1994A-UW exc) K-WingR-2011A GO (2002A UW) UWMC</a>	15,052,700	15,052,700
State of WA	<a href="#">R-2006A (2000A) Hospital 01L BondsR-2011A GO (2002B UW) Law School</a>	49,880,391,500	49,595,391,500
State of WA	<a href="#">R-2010A2011B GO (R-1999B HE-2002A UW) Exc) Law School</a>	23,385,000	22,300,000
State of WA	<a href="#">R-2010A2011B GO (R-1999B HE-2002A UW) Exc) Law School</a>	2,520,594	2,520,594
State of WA	<a href="#">R-2010A2011B GO (R-99A (1992A HE-2002A UW Exc) UWMC</a>	1,975,000	1,975,000
State of WA	<a href="#">R-2010A2011B GO (R-99A (1992A HE-2002A UW Exc) UWMC</a>	3,489,406	3,489,406
State of WA	<a href="#">R-2010A State2011B GO (R-99A (1992A2002B UW Exc)) Law School</a>	2,070,995,000	2,070,995,000
State of WA	<a href="#">R-2010B (2001C UW) Law SchoolR-2011B GO (2003D UW Exc) Bioengineering</a>	3,610,000	3,610,000
State of WA	<a href="#">R-2010B (2001C UW) Law SchoolR-2011B GO (2003D UW Exc) Bioengineering</a>	240,790	233,228
State of WA	<a href="#">R93-A State GO Bonds (Higher Ed)R-2011B GO (2003D UW Exc) Law School</a>	2,098,802	232,630
State of WA	<a href="#">R93-A State GO Bonds (Higher Ed)R-2011B GO (2003D UW Exc) Law School</a>	3,074,152	2,977,602
State of WA	<a href="#">RE-2003E SPI Bldg 29 Phase3 COPs #42R-2011B GO (2003D UW Exc) UWMC</a>	845,000	600,000
State of WA	<a href="#">RE-2003E SPI Bldg 29 Phase3 COPs #42R-2011B GO (2003D UW Exc) UWMC</a>	665,058	644,171
State of WA	<a href="#">RE-2003E SPI Bldg 5 Phase3 COPs #41R-2011B GO (2004A UW Exc) Bioengineering</a>	3,510,588,000	2,720,584,000
TAP State of WA	<a href="#">2002 Twenty Fifth Avenue PropertiesRE-2003E SPI Bldg 29 Phase3 COPs #42</a>	34,085,845,000	31,340,560,000
TSB Properties State of WA	<a href="#">2006 TSB Properties Lease Revenue BondsRE-2003E SPI Bldg 5 Phase3 COPs #41</a>	17,525,351,000	16,225,257,500

<a href="#">UWTAP</a>	<del>2002 H&amp;D Revenue &amp; Refunding Bonds</del> <a href="#">2002 Twenty Fifth Avenue Properties</a>	<del>18,920</del> <a href="#">34,085,000</a>	<del>16,275</del> <a href="#">30,685,000</a>
<a href="#">UWTSB Properties</a>	<del>2004 H&amp;D</del> <a href="#">2006 TSB Properties Lease Revenue &amp; Refunding Bonds</a>	<del>16,985</del> <a href="#">17,525,000</a>	<del>12,400</del> <a href="#">15,870,000</a>
UW	<del>2004 Parking System</del> <a href="#">2002 H&amp;D Revenue &amp; Refunding Bonds</a>	<del>20,410</del> <a href="#">18,920,000</a>	<del>17,360</del> <a href="#">4,995,000</a>
UW	<del>2005 Student Facilities Fee</del> <a href="#">2004 H&amp;D Revenue &amp; Refunding Rev Bonds</a>	<del>43,610</del> <a href="#">16,985,000</a>	<del>42,740</del> <a href="#">11,500,000</a>
UW	<del>2006 UWT Bank of America Term Loan</del> <a href="#">2004 Parking System Revenue &amp; Refunding Bonds</a>	<del>3,100</del> <a href="#">20,410,000</a>	<del>2,669,623</del> <a href="#">16,795,000</a>
UW	<del>2007 General Revenue Bonds</del> <a href="#">2005 Student Facilities Fee Refunding Rev Bonds</a>	<del>138,405</del> <a href="#">43,610,000</a>	<del>138,405</del> <a href="#">41,395,000</a>
UW	<del>2008 General Revenue Refunding Bonds</del> <a href="#">2006 UWT Bank of America Term Loan</a>	<del>90,975</del> <a href="#">3,100,000</a>	<del>80,830,000</del> <a href="#">2,558,400</a>
UW	<del>2009A</del> <a href="#">2007 General Revenue Bonds</a>	<del>75,835</del> <a href="#">138,405,000</a>	<del>75,835</del> <a href="#">138,405,000</a>
UW	<del>2009B</del> <a href="#">2008 General Revenue Refunding Bonds</a>	<del>77,710</del> <a href="#">90,975,000</a>	<del>77,710</del> <a href="#">75,290,000</a>
UWAA	<del>2001 UWAA Lease</del> <a href="#">2009 General Revenue Refunding Bonds (R2)</a>	<del>19,855</del> <a href="#">75,835,000</a>	<del>11,545</del> <a href="#">75,835,000</a>
<a href="#">WEDFAUW</a>	<del>2004 WA Biomedical Research Properties I</del> <a href="#">2009B General Revenue Bonds</a>	<del>38,225</del> <a href="#">77,710,000</a>	<del>33,230</del> <a href="#">77,710,000</a>
<a href="#">WEDFAUW</a>	<del>2005 WA Biomedical Research Properties II</del> <a href="#">2010A General Revenue Bonds</a>	<del>99,510</del> <a href="#">20,265,000</a>	<del>96,470</del> <a href="#">20,265,000</a>
<a href="#">WEDFAUW</a>	<del>2006J WEDFA Lease</del> <a href="#">2010B General Revenue Bonds</a>	<del>59,955</del> <a href="#">144,740,000</a>	<del>40,575</del> <a href="#">144,740,000</a>
<a href="#">WBRF 3</a>	<a href="#">2010B Washington Biomedical Research Facilities 3</a>	<a href="#">151,745,000</a>	<a href="#">151,745,000</a>
<a href="#">WBRF 3</a>	<a href="#">2010C Washington Biomedical Research Facilities 3</a>	<a href="#">13,205,000</a>	<a href="#">13,205,000</a>
<a href="#">WEDFA</a>	<a href="#">2005E WA Biomedical Research Properties II</a>	<a href="#">99,510,000</a>	<a href="#">94,835,000</a>
<a href="#">WEDFA</a>	<a href="#">2006J WA Biomedical Research Properties II</a>	<a href="#">59,955,000</a>	<a href="#">38,005,000</a>

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee**UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW RatificationRECOMMENDED ACTION:

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve the collective bargaining agreement between the University and the UAW Local 4121 that covers approximately 4,200 Academic Student Employees at the University of Washington. This tentative agreement was concluded on June 2, 2011 and ratified by the bargaining unit on June 8, 2011. The duration of the agreement is from June 8, 2011 through April 30, 2012.

BACKGROUND

The UAW Local 4121 was certified as the exclusive bargaining representative for the bargaining unit on April 7, 2004 by the Public Employment Relations Commission.

This is a successor agreement for this bargaining unit.

Following is a summary of the critical elements of the tentative agreement:

Compensation

- Effective July 1 of each year all non-variable ASE pay rates shall be increased by the percentage increase available for all faculty. Effective July 1 of each year all variable ASE pay rates shall be increased by the percentage increase available for all faculty, or the departmental increase, whichever is greater. (It should be noted that there is no wage increase scheduled for fiscal year 2011 – 2012 for faculty.)
- For the 2011 – 2012 academic year, the University agrees to commit \$25,000 for the purpose of ASE childcare expenses. Beginning September 16, 2011, each eligible ASE shall receive up to \$600 per quarter for childcare expenses incurred during the ASE's appointment period.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### UAW Local 4121 Academic Student Employees Collective Bargaining Agreement – UW Ratification (continued, p. 2)

- Effective September 16, 2011, the University shall adjust compensation for ASEs who currently receive a waiver of the Operating Fee. The adjustment shall offset projected increases in the Building Fee and the Services and Activities Fee from the 2010 – 2011 year to the 2011 – 2012 year. The amount of the adjustment shall be \$50 for a qualifying ASE who has an academic year appointment and shall be pro-rated for ASEs with appointments of less than a full academic year. The adjustment shall be paid on a quarterly basis.

#### Healthcare

- The current Graduate Appointee Insurance Plan (GAIP) shall be continued. The University pays one hundred percent (100%) of the premium for ASEs and sixty-five percent (65%) of the premium for ASEs dependent coverage.

#### Instructional Services

- Pending approval of the budget that is currently anticipated, the College of Arts and Sciences overall funding for instructional services, including writing and tutoring centers, will not be reduced below 2010 – 2011 levels.
- ASEs assigned to instructional positions shall have the right to request and meet with her/his supervisor if the ASE believes a change from the previous quarter (e.g. enrollment increases, volume of assignments, grading responsibilities) may negatively affect the ASE's ability to satisfactorily complete the work assignment so as to maintain excellence.

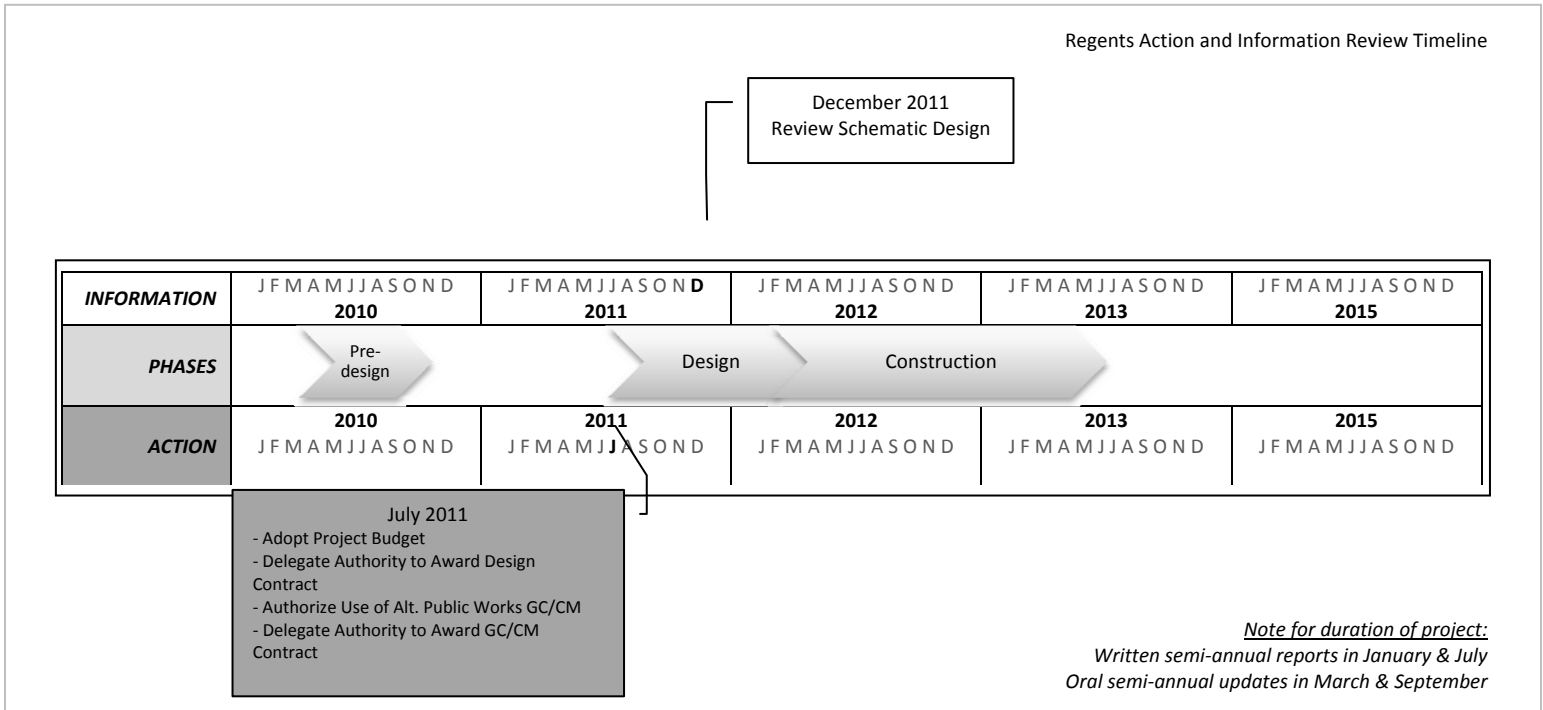
#### General

The parties agreed to extend all other provisions of the existing agreement.

**VII. STANDING COMMITTEES**

**B. Finance, Audit and Facilities Committee**

Odegaard Undergraduate Learning Center (OULC) Phase 1 Renovation – Adopt Project Budget, Delegate Authority to Award Design Contract, Authorize Use of Alternative Public Works GC/CM and Delegate Authority to Award GC/CM Contract



**RECOMMENDED ACTION:**

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents:

- 1) Adopt a project budget of \$16,575,000 for the OULC Phase 1 Renovation project;
- 2) Delegate authority to the President to award a design contract to the selected architectural firm. In the event of an unsuccessful negotiation with the selected firm, it is requested that authority be delegated to open negotiations with the firm recommended as the first alternate;
- 3) Authorize the use of the General Contractor/Construction Manager (GC/CM) Alternative Public Works contracting method; and

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

Odegaard Undergraduate Learning Center (OULC) Phase 1 Renovation – Adopt Project Budget, Delegate Authority to Award Design Contract, Authorize Use of Alternative Public Works GC/CM and Delegate Authority to Award GC/CM Contract (continued, p. 2)

- 4) Delegate authority to the President to award a GC/CM contract, subject to the contract sum being within the approved project budget and funding being available.

PROJECT DESCRIPTION:

Odegaard Undergraduate Library has served the students of the University of Washington as a critical academic facility since it was first constructed in 1972. Almost forty years later, it remains the most utilized student study and research space on campus with more than 10,000 students per day passing through its doors. Renovation of Odegaard will significantly increase classroom and study area utilization of one of the UW's most important student learning facilities. The project will provide an operationally efficient, one-stop learning environment that supports formal and informal learning. It will provide flexible and dedicated areas for undergraduate teaching and discovery, while renewing an important existing facility in the heart of the UW undergraduate education environment.

The renovation of Odegaard is envisioned to be accomplished in two or more phases, depending upon funding. In Phase 1 (this project), the work will include necessary improvements to existing building mechanical, electrical, and structural systems. Academic program changes are anticipated to include new and enhanced learning spaces which will provide improved utilization of existing space to meet undergraduate teaching requirements. The Phase 1 program changes will focus on the first floor and extend to other portions of the building as the budget allows.

Subject to available funding, a future phase or phases (not part of this project) will complete the building renovation as well as provide additional improvements to the building site, building infrastructure and entrances. In this phased approach, it is anticipated that the portions of the building not being renovated will be occupied and in use.

BACKGROUND:

In June 2010, the administration completed a Predesign report for the OULC Phase 1 Renovation. The report envisioned a two-phase renovation of the building, in which the first phase total project budget was established at \$19,570,000. Funding for Phase 1 was included in the University's 2011-13 capital budget request. The Legislature included \$16,575,000 for the Phase 1

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

Odegaard Undergraduate Learning Center (OULC) Phase 1 Renovation – Adopt Project Budget, Delegate Authority to Award Design Contract, Authorize Use of Alternative Public Works GC/CM and Delegate Authority to Award GC/CM Contract (continued, p. 3)

project in the 2011-13 appropriation. The University has committed to fully expending these funds no later than June 30, 2013.

In close cooperation with the Office of Planning and Budgeting (OPB), the Capital Projects Office (CPO) commenced in June 2011 with a process to select the project architect. That process is expected to result in selection of a design firm and commencement of early schematic design activities in early August 2011. Because this project includes no exterior building modifications that will affect the aesthetic character of the campus, the Architectural Commission will not participate in the selection. It is anticipated that the Commission will review the schematic design prior to its presentation to the Board of Regents in December 2011. It is proposed that the Board of Regents will be informed of the selected architect at their September 2011 meeting in a report of actions taken under delegated authority.

It is intended that the firm selected as the architect for Phase 1 will remain as the project architect for future phases of the Odegaard renovation.

#### CONTRACTING STRATEGY:

The recommendation of CPO is to use the GC/CM alternative public works contracting procedure, as authorized by RCW 39.10 for construction of this project. The use of a GC/CM has been absolutely critical to the success of the University's large and complex projects. During design, the GC/CM will be able to provide detailed construction scheduling, input into procedures and specifications, input into design constructability issues, coordination of construction documents, determine construction logistics and needed lay-down areas, provide detailed cost estimates and investigation of existing conditions. To help meet the overall project schedule, the GC/CM is able to bid out and start construction on early work packages before all of the project construction documents are 100% complete, if there are compelling reasons to do so. All of these aspects of the GC/CM process will be especially important in the Odegaard renovation, given its challenging budget and schedule objectives.

CPO will commence the GC/CM selection process in July 2011, with the expectation of entering into a preconstruction services agreement with the highest scoring firm by the first week of September. It is proposed that the Board of Regents will be informed of the selected GC/CM at their September 2011 meeting in a report of actions taken under delegated authority.



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Odegaard Undergraduate Learning Center (OULC) Phase 1 Renovation – Adopt Project Budget, Delegate Authority to Award Design Contract, Authorize Use of Alternative Public Works GC/CM and Delegate Authority to Award GC/CM Contract (continued, p. 4)

SCHEDULE:

Forecasted completion dates:

Predesign	Complete
Design	May 2012
Construction	June 2013
Occupancy	September 2013

BUDGET AND FUNDING:

The proposed total project budget is \$16,575,000. The source of funds is an appropriation of \$16,575,000 in the 2011-13 State Capital Budget.

*Attachment*  
Summary Project Budget

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

PROJECT: Odegaard Undergraduate Learning Center Renovation- Phase 1

Project Number: 203579

ESTIMATED DATE OF COMPLETION: September 2013

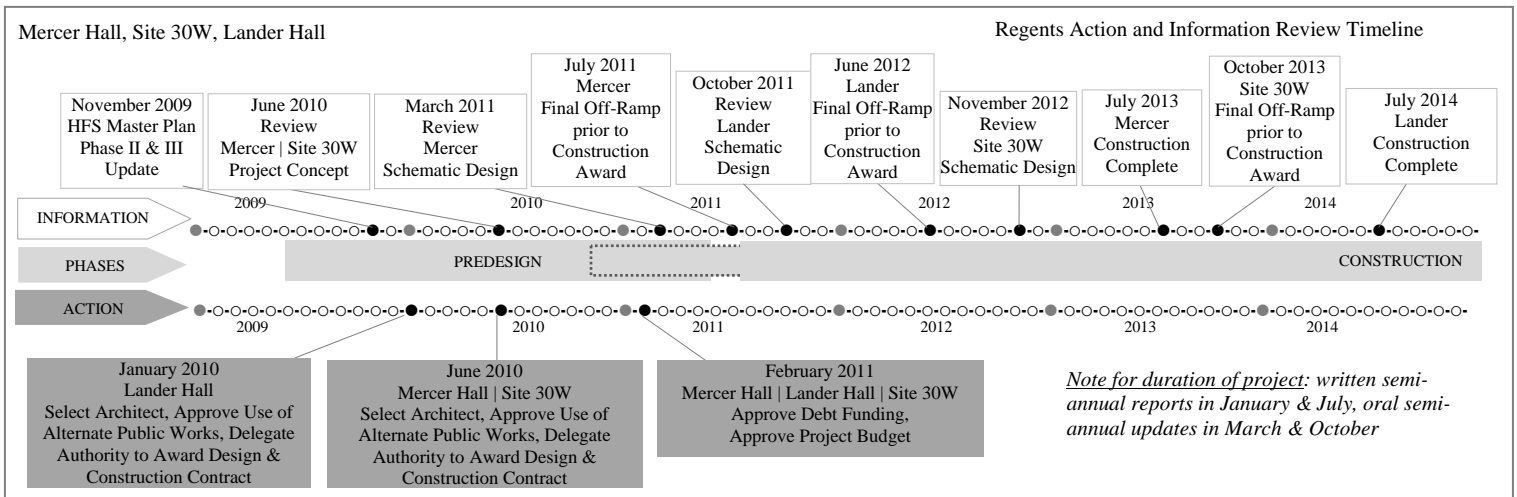
	<u>Total Escalated Cost</u>	<u>% of TPC</u>
<b>BUDGET SUMMARY:</b>		
PREDESIGN	\$ 35,000	0%
BASIC DESIGN SERVICES	\$ 694,000	4%
EXTRA SERVICES/REIMBURSABLES	\$ 497,000	3%
OTHER SERVICES	\$ 699,000	4%
DESIGN SERVICES CONTINGENCY	\$ 244,000	1%
<b>CONSULTANT SERVICES **</b>	<b>\$ 2,169,000</b>	<b>13%</b>
CONSTRUCTION CONTRACT	\$ 9,941,000	60%
OTHER CONTRACTS	\$ 21,000	
CONSTRUCTION CONTINGENCY	\$ 1,021,000	6%
SALES TAX	\$ 1,043,000	6%
<b>CONSTRUCTION COST</b>	<b>\$ 12,026,000</b>	<b>73%</b>
EQUIPMENT	\$ 987,000	6%
ARTWORK	\$ 37,000	0%
OTHER COSTS	\$ 368,000	2%
PROJECT ADMINISTRATION	\$ 987,000	6%
RELATED PROJECTS/MITIGATION	\$ -	0%
<b>OTHER COSTS</b>	<b>\$ 2,380,000</b>	<b>16%</b>
<b>TOTAL PROJECT COST (TPC)*</b>	<b>\$ 16,575,000</b>	<b>100%</b>
<u>Included in Above:</u>		
Escalation to Mid-point of Construction	\$ 511,000	3%
<b>SOURCE OF FUNDS:</b>		
State Bldg Constr Acct (11/13)	\$ 16,575,000	
<b>TOTAL SOURCE OF FUNDS</b>	<b>\$ 16,575,000</b>	

*Note: all numbers are rounded*

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Student Housing Phase II: Mercer Hall Replacement, Lander Hall Replacement, and Site 30W Projects – Status Report



INFORMATION

The purpose of this presentation is to provide a status report on the estimated demand for on-campus housing for Autumn Quarter 2011 and the progress of the Student Housing Phase I project. The previously submitted credit analysis for the Student Housing Phase II project identified this information as critical to the decision to continue with the construction of the Mercer Hall Replacement project. The Phase II credit analysis included three off-ramps; this is the first of those three off-ramps.

The Mercer Hall Replacement project (first) off-ramp identified a threshold of an estimated occupancy rate of 90% or greater of designed capacity for on-campus housing in Autumn Quarter 2011 and a lease rate for Cedar Apartments (as of the date of the off-ramp) of 85% as the basis for proceeding according to schedule. If this threshold was not met, the Mercer Hall Replacement project would be postponed or mitigation would be proposed to allow the project to proceed as planned.

The projected on-campus housing occupancy rate for Autumn Quarter 2011 is 118.7% of designed capacity and the total number of applications for Cedar Apartments exceeds the building's capacity. Having exceeded the off-ramp threshold, Housing and Food Services is proceeding with the Mercer Hall Replacement project as planned in the Student Housing Phase II project plan.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### Student Housing Phase II: Mercer Hall Replacement, Lander Hall Replacement, and Site 30W Projects – Status Report (continued p. 2)

Housing and Food Services is holding some apartment units open for returning and transfer students that have not been confirmed, so the lease rate for Cedar Apartments is presently at approximately 87.5% of capacity. However, any remaining apartments will be filled by the start of Fall Quarter with students whose applications have already been received.

The first two Student Housing Phase I projects, Cedar Apartments and Poplar Hall, are nearly complete and on schedule for occupancy in Autumn Quarter 2011. The other two buildings, Elm and Alder Halls, are under construction and on schedule for occupancy in Autumn Quarter 2012. When combined, the four campus residential facilities will provide 1,650 new beds. These new beds will allow Housing and Food Service to begin to meet some of the student housing demand for additional beds and allow the existing residence halls to be renovated as part of future phases by shifting students into the new residential facilities.

#### STATUS REPORT: DEMAND FOR ON-CAMPUS HOUSING

For Autumn Quarter 2011, the estimated occupancy within on-campus housing exceeds capacity. HFS carefully manages occupancy through a staggered application process for returning residents, incoming freshmen, incoming transfer students, and other students who are interested in living on campus. At this off-ramp, the priority application processes for returning residents and incoming freshmen are complete although additional applications are being received. Applications from other groups including transfer students, graduate/professional, and continuing students, also continue to be received.

Students who live on campus in residence facilities during the Spring Quarter are given the opportunity to apply for on-campus housing for the following academic year. The estimated number of returning students at the start of Autumn Quarter 2011 is 2,101. This is a projected return rate of 39.3% which is consistent with previous years. Applications from in-coming freshmen continue to be received. The number of incoming freshmen applications at Autumn Quarter 2011 opening is projected to be 3,963; an 11.8% percent increase from last year.

Historical data and close communications with the Office of Admissions are tools used to confidently forecast and manage demand as compared to availability. Applying estimated attrition rates for each of the student populations results in a forecasted occupancy for the housing system for Autumn Quarter 2011 of 118.7% of designed capacity with approximately 445 students on a waitlist.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

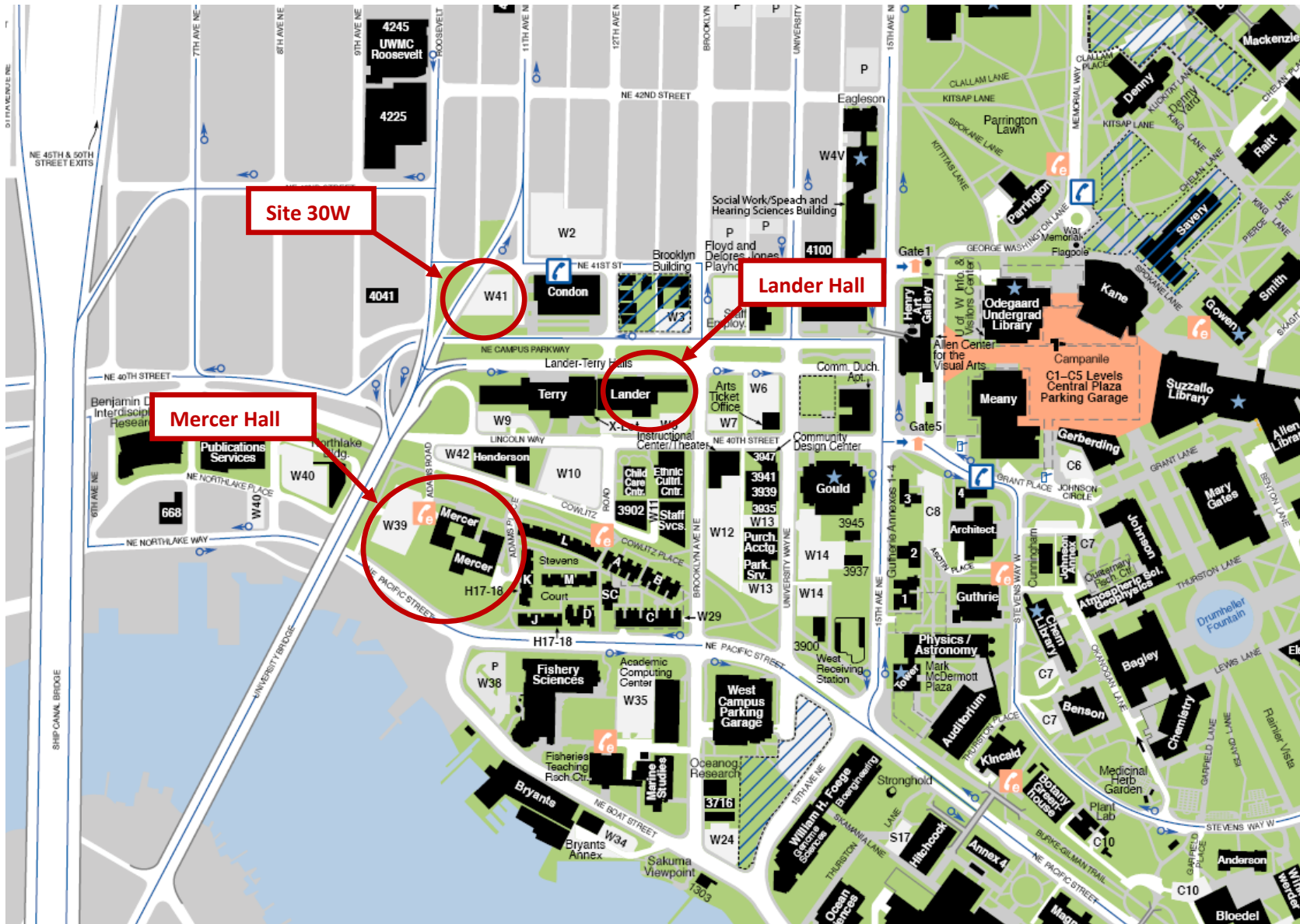
#### Student Housing Phase II: Mercer Hall Replacement, Lander Hall Replacement, and Site 30W Projects – Status Report (continued p. 3)

A market rent study completed in May 2011 by Kidder Mathews supports the development of the phase II student housing projects. In addition, the complete lease up of Cedar Apartments is direct evidence of demand for on-campus apartments and that the rental rates are competitive. According to the study, market rental rates have recovered to near pre-recession levels and the record low construction activity will result in a rental shortage and sharply increasing rental rates thru 2014. The rates for Cedar and Mercer apartments are in the high end of the range of surveyed apartments in the Kidder Mathews study but can be considered competitive due to the package of goods and services targeted at University of Washington students; this is reinforced by the swift rent-up of Cedar Apartments. The study confirms an increasing demand for rental housing in the University District and the Seattle market. The demand is attributed to reduced access to home mortgages, longer-term lack of confidence in home buying in general, employment growth and a demographic shift toward a younger, traditionally rent oriented group. Given these assumptions, the Kidder Mathews' forecast projects vacancy rates should remain below historic averages through 2013 along with healthy rent growth.

#### *Attachment*

#### Student Housing Phase II Locations Map

# STUDENT HOUSING PHASE II LOCATIONS MAP



ATTACHMENT

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

University of Washington Investment Committee (UWINCO) Update

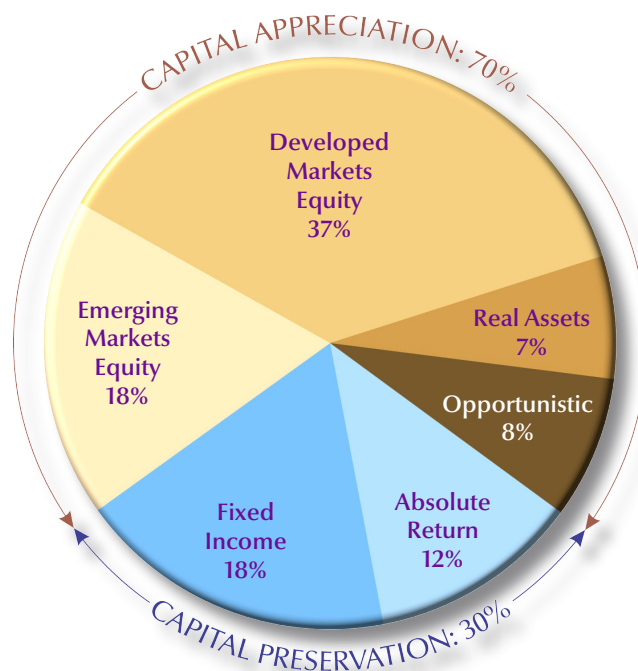
INFORMATION:

There will be an oral report for information only.

*Attachment*

CEF Asset Allocation for the Quarter Ending March 31, 2011

# CEF ASSET ALLOCATION<sup>1</sup> FOR THE QUARTER ENDING MARCH 31, 2011: \$2,143M



	Current Allocation (\$m)		Target	Policy Range
Emerging Markets Equity	\$380	18%	17%	
Developed Markets Equity	\$791	37%	36%	
Real Assets	\$154	7%	11%	
Opportunistic	\$166	8%	6%	
Capital Appreciation <sup>2</sup>	\$1,491	70%	70%	55%–85%
Absolute Return	\$260	12%	15%	
Fixed Income <sup>3</sup>	\$393	18%	15%	
Capital Preservation	\$652	30%	30%	15%–45%
<b>Total CEF</b>	<b>\$2,143</b>	<b>100%</b>		

<sup>1</sup> At 3/31/11: International Exposure: 36%, Foreign Currency Exposure: 34%

<sup>2</sup> Private Investments: current exposure: 25%, uncalled capital commitments: 11%

<sup>3</sup> Includes allocation to cash.



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Information Technology Strategic Initiatives

INFORMATION:

This will be an oral report for information only. The attached slides will be used during the presentation. They are provided here so that those who want to review them ahead of time have an opportunity to do so.

*Attachment*

Positioning UW for the Future

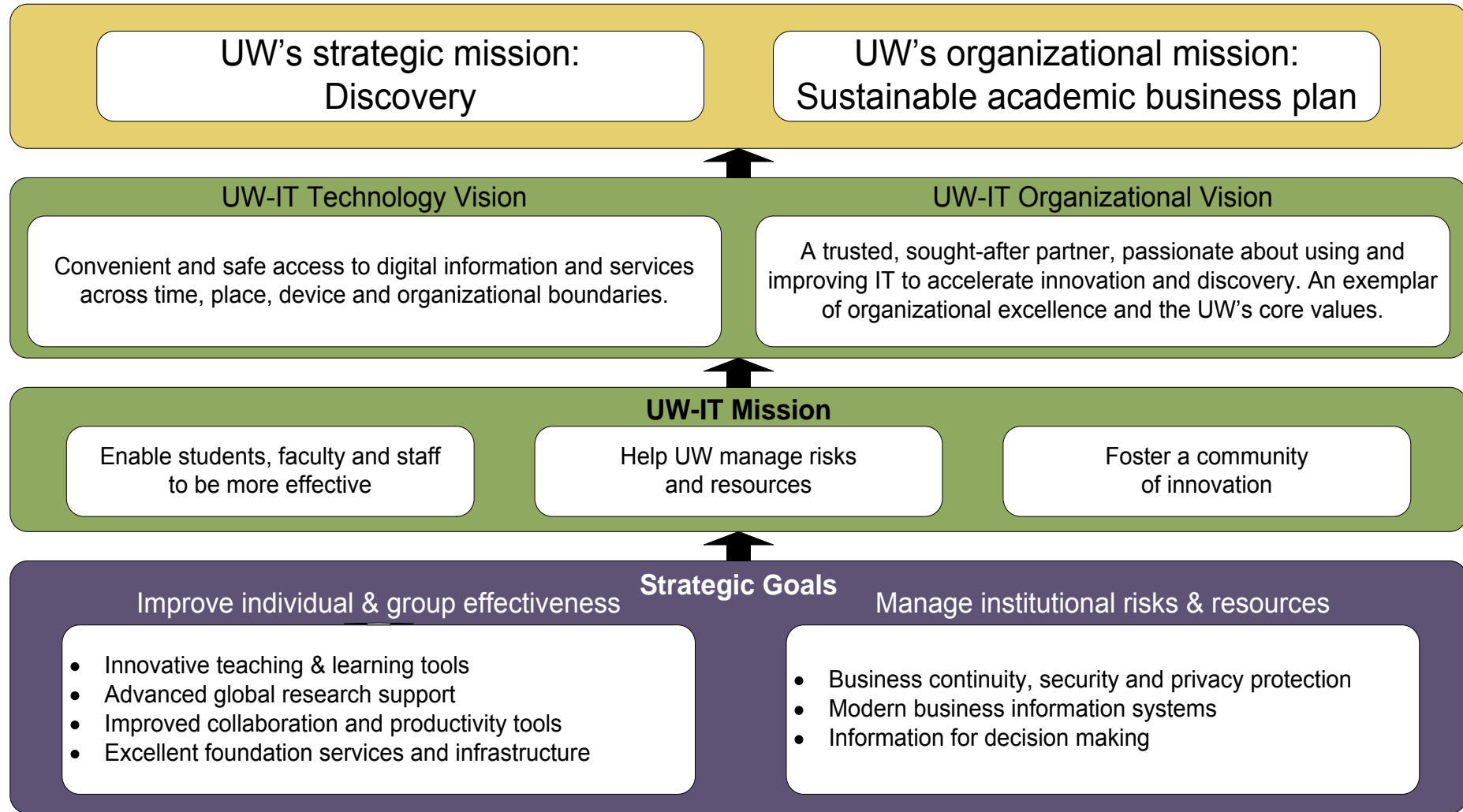
# Positioning UW for the Future

UW Board of Regents  
Finance, Audit and Facilities Committee  
July 21, 2011

Kelli Trosvig  
Interim Vice President and Vice Provost  
UW Information Technology

F-17.1/207-11  
7/21/11

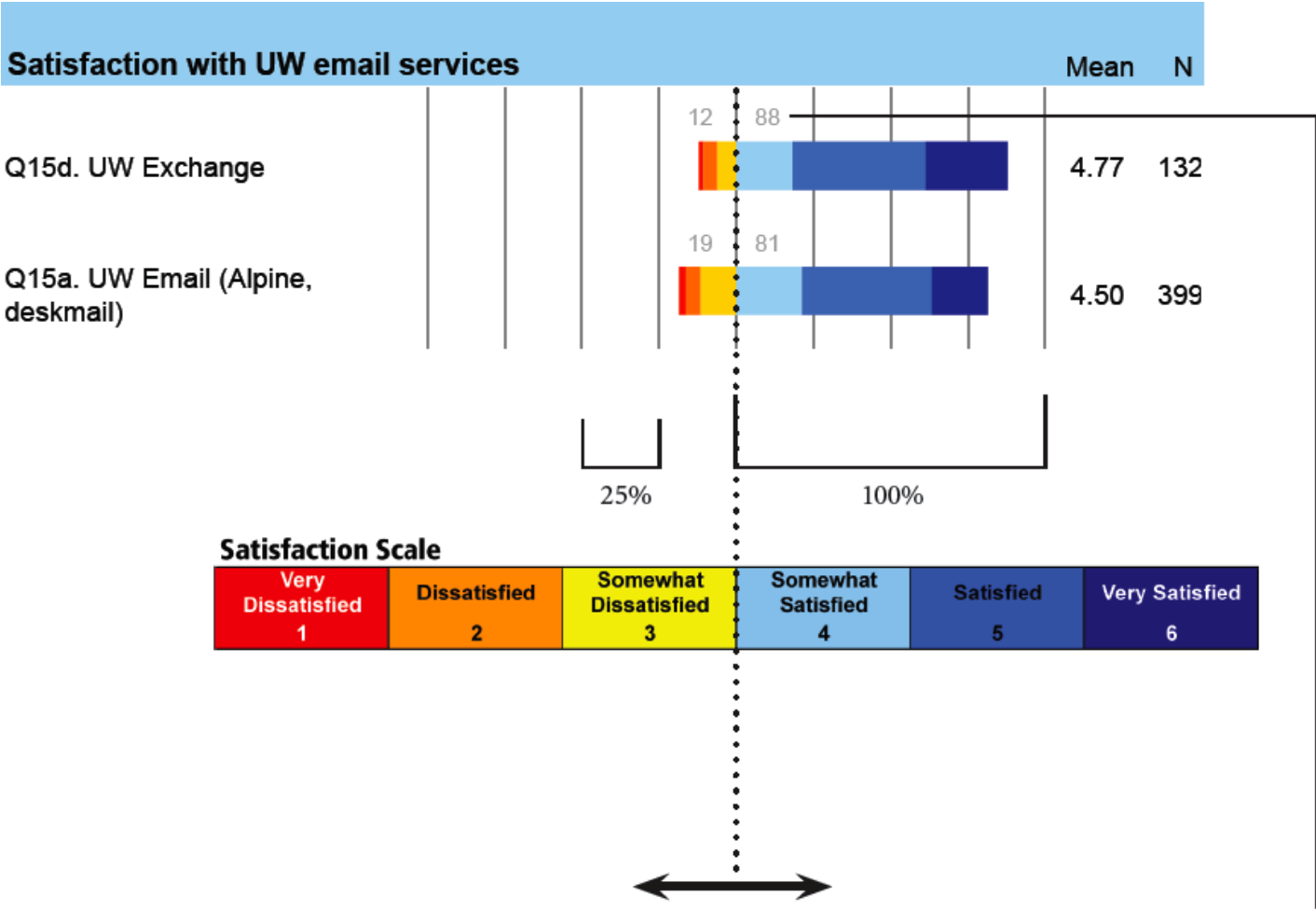
# UW-IT Strategy Map 2011



# Key Findings Across the Reports

	IT Student Strategy Report	UW-IT Customer Satisfaction Survey	Teaching and Learning Survey
Better standard classroom IT equipment	Top 5 priority for students	No data	Highest priority 2005, 2008, 2011
Increased Wi-Fi coverage	Top 5 priority for students	Top priority for faculty and students	Top 5 priority for faculty
Better teaching and learning tools	Top 5 priority for students	Low customer satisfaction ratings	Top 5 priority for faculty is local support for using tools
Improved Information about course requirements and academic planning	Top 5 priority for students	Student Administrative Systems lowest satisfaction ratings for staff	No data
Improved email services	Not identified as an issue	Declining satisfaction with on-premise solutions	Email still primary method used for collaboration
Improved cellular coverage	No data	Top priority for faculty	No data

# UW-IT 2011 Satisfaction Survey

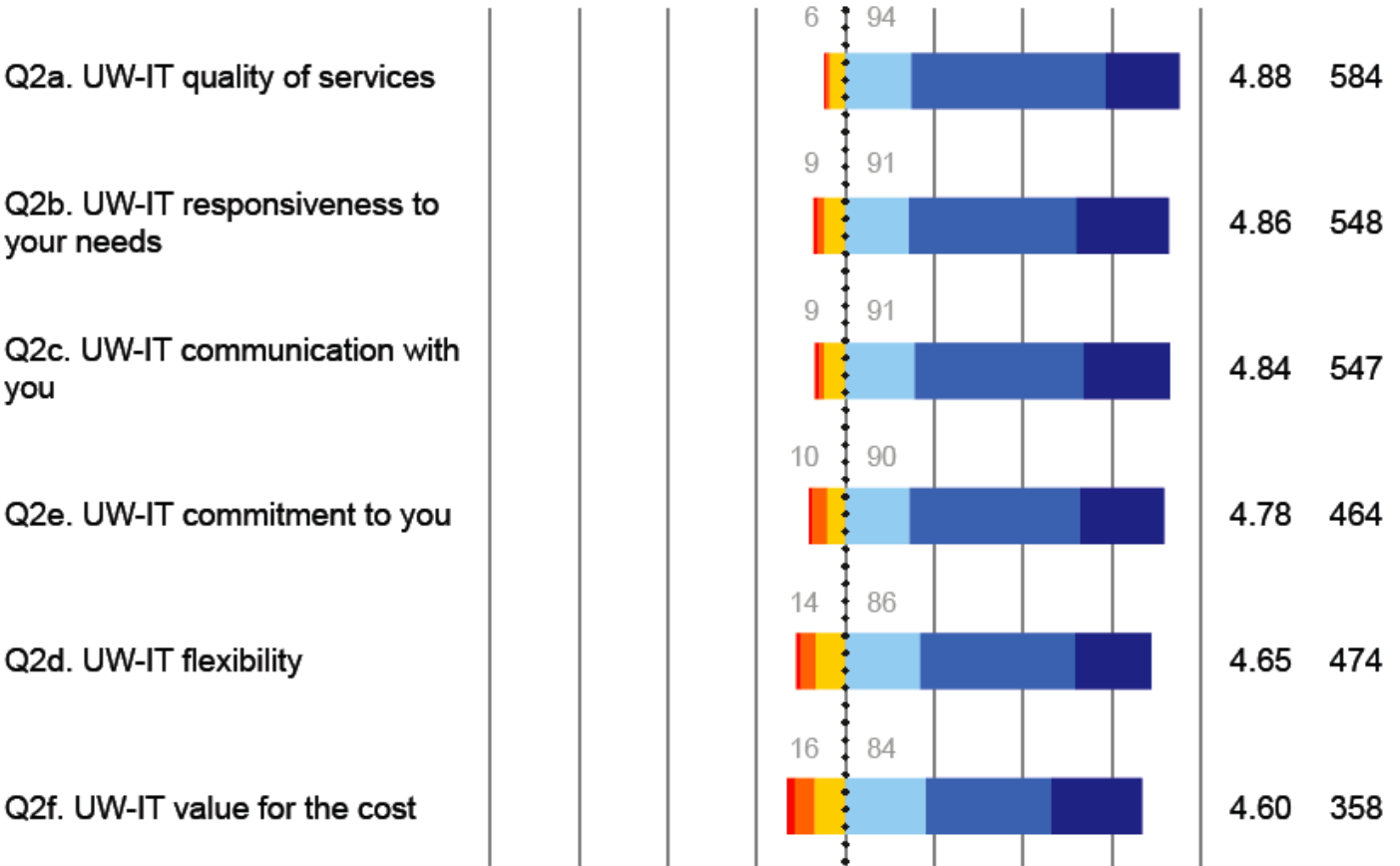


All charts for the scale shown above feature a dotted line that indicates the midpoint of all possible responses.

The total percents on either side of the midpoint are represented as whole numbers.

# UW-IT 2011 Satisfaction Survey

## Satisfaction with aspects of UW-IT overall



## Satisfaction that UW-IT addresses your information technology needs



# A Comparison by the Numbers

	NEW BOOK		USED BOOK		eTexts
<b>Retail Price</b>	\$ 100.00	\$ 100.00	\$ 75.00	\$ 75.00	\$ 35.00
	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>	
<b>Buy Back</b>	\$ 55.00	\$ -	\$ 55.00	\$ -	\$ -
<b>Net Cost to Student</b>	\$ 45.00	\$ 100.00	\$ 20.00	\$ 75.00	\$ 35.00
<b>UW Rebate</b>	\$ 10.00	\$ 10.00	\$ 7.50	\$ 7.50	\$ -
<b>Real Cost to UW Student</b>	\$ 35.00	\$ 90.00	\$ 12.50	\$ 67.50	\$ 35.00
<b>Available for Future Use</b>		X		X	X

# My Academic Planner – a Tri-campus Partnership Initiative With STFC

The screenshot shows a web browser window titled "Learning Plans" with the URL "http://learningplan.university.edu". The page is titled "Planning Tools" and is personalized for a user named Malik. The main content area displays a message: "You don't have a learning plan! Start one?" with a "+ New Plan" button. To the right, the "MY PROGRAMS" section features a progress bar for credits (0 to 120) and lists four programs: Bachelor of Arts, Gen. Ed., ENGL Major, and PHIL Minor, each with a completion status. Below this is an "Alerts & Tips" section with two notifications. The footer contains navigation links for "My Learning Plans", "Find Courses + Programs", "Schedule and Registration", "Privacy + Sharing", and "Help".



# Making In-person Visits With Academic Advisors More Productive

Learning Plans

http://learningplan.university.edu

Learning Plan

University > MY University Portal > Planning Tools > Learning Plan

Hi, Malik | Logout

**My Learning Plan** [Edit name/primary](#)

FALL 2011	WINTER 2012	SPRING 2012	SUMMER 2012
PHIL 410 B+ ENGL 100 B MATH 212 B-			
credits: 12	credits: 8	credits: 8	credits: 8
FALL 2012	WINTER 2013	SPRING 2013	SUMMER 2013
credits: 8	credits: 8	credits: 0	credits: 0
FALL 2013	WINTER 2014	SPRING 2014	SUMMER 2014
	Must complete...		
credits: 8	credits: 4	credits: 0	credits: 0
FALL 2014	WINTER 2015	SPRING 2015	SUMMER 2015
credits: 8	credits: 4	credits: 0	credits: 0

Draft autosaved 1 minute ago [Save Now](#)

**TOOLS** **PROGRAM REQUIREMENTS** **SEARCH**

Philosophy Minor [Change](#)

**PROGRAM DESCRIPTION**  
**Courses Required:** 5  
**You have taken:** 0 of 5  
**Thesis Required:** No  
**Reviews (330):** ★★★★★  
**Description:** [Show](#)

**SEE SAMPLE PLANS**

**COURSES THAT MEET REQUIREMENTS**

**GENERAL (Choose one)**

- PHIL 300 Introduction to the Philosophical Classics S(4)
- PHIL 315 History of Western Philosophy: Ancient Period S(4)
- PHIL 320 History of Western Philosophy: Modern Period -(4)
- PHIL 340 Ethics -(4)
- PHIL 350 Symbolic Logic F(4)
- PHIL 360 Epistemology and Metaphysics -(4)  
*General Philosophy Req: Choose Later*

**HISTORY OF PHILOSOPHY (Choose one)**

- PHIL 101 Philosophical Foundations of Modern S(4)
- PHIL 115 Ancient Greek Culture and Society S(4)
- PHIL 220 Science, Religion and the Making of the Mo -(4)
- PHIL 315 History of Western Philosophy: Ancient Peri -(4)
- PHIL 320 History of Western Philosophy: Modern PeriF(4)
- PHIL 410 Early Greek Thought -(4)
- PHIL 411 Plato -(4)

[Compare](#)

**My Learning Plans**

Primary

NOTE: You can have as many learning plans as you like, but one must always be primary. Some programs will require advisor approval on your primary plan.

**Find Courses + Programs**

[Saved Courses](#)

[Advanced Search](#)

[Explore Program Requirements](#)

**Schedule and Registration**

[Schedule Builder](#)

[Register for Classes](#)

**Privacy + Sharing**

[Sharing](#)

[Send to Advisor](#)

[Print/Download](#)

**Help**

[Video tutorial](#)

[1-page tutorial: Learning Plan](#)

[1-page tutorial: Program Exploration](#)

[FAQ](#)

[Forums](#)

# Providing Better Information to Deans About Future Course Demand

Learning Plans

http://learningplan.university.edu

Learning Plan

University > MY University Portal > Planning Tools > Learning Plan

Hi, Malik | Logout

**My Learning Plan** [Edit name/primary](#)

FALL 2011	WINTER 2012	SPRING 2012	SUMMER 2012
PHIL 410 ENGL 100 MATH 212	B+ B B- PHIL 300 ENGL 261	X X	
credits: 12	credits: 8	credits: 8	credits: 8
FALL 2012	WINTER 2013	SPRING 2013	SUMMER 2013
PHIL 410 ENGL 262	X X PHIL m. Historical... ENGL 263 ENGL 425	X X	
credits: 8	credits: 8	credits: 0	credits: 0
FALL 2013	WINTER 2014	SPRING 2014	SUMMER 2014
PHIL 323 ENGL 424	X X Must complete... ENGL 467	X PHIL 443	
credits: 8	credits: 4	credits: 0	credits: 0
FALL 2014	WINTER 2015	SPRING 2015	SUMMER 2015
PHIL m. Syst. Topics... ENGL 455	X X ENGL 452 ENGL 430		
credits: 8	credits: 4	credits: 0	credits: 0

Draft autosaved 1 minute ago [Save Now](#)

**TOOLS** | PROGRAM REQUIREMENTS | SEARCH

**MY PROGRAMS**

**MY SCHEDULE**

**COMMENTS (0)**

**SAVED COURSES**

8 courses

- PHIL 137 Social Ethics for Earthlings and Others
- PHIL 137 Social Ethics for Earthlings and Others (4)
- PHIL 262 Mind and Self: Modern Conceptions (4)
- PHIL 317 History of Western Philosophy: Medieval Period (4)
- PHIL 425 American Philosophy (4)
- PHIL 428 Anglo-American Philosophy Since 1950 (4)
- PHIL 431 Law, Society, and Politics (4)
- PHIL 445 Philosophy of the Arts (4)
- MUHL 315x Music and Culture**
- PHIL 455 Phenomenology of the Arts (4)

Gateway to the B.A. degree in music. Western and non-Western music in its sociocultural context. Not available for credit to B.M. majors. Ability to read music highly recommended.

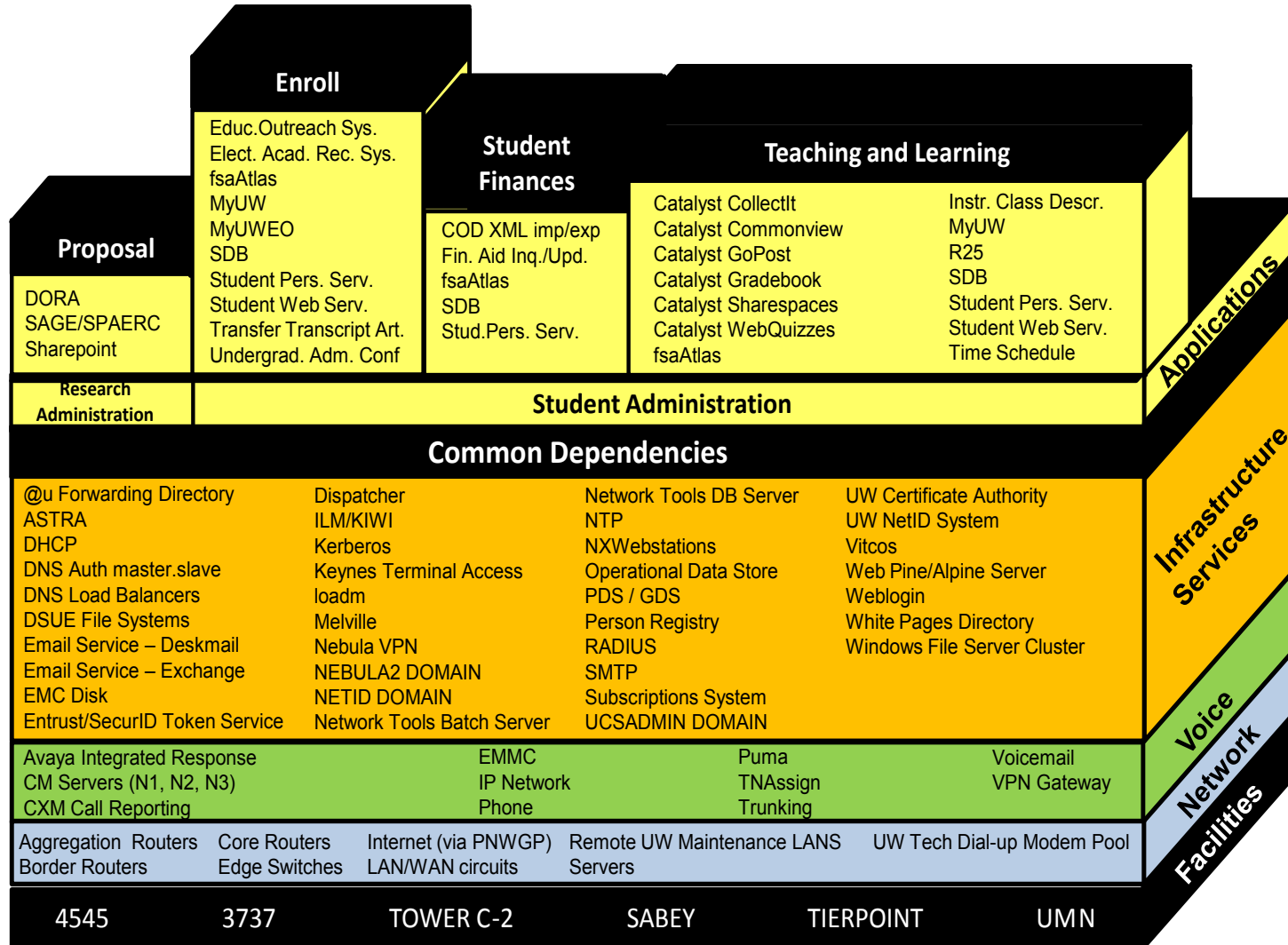
★★★★☆ (0) [review this course](#)

Generally offered: Spring

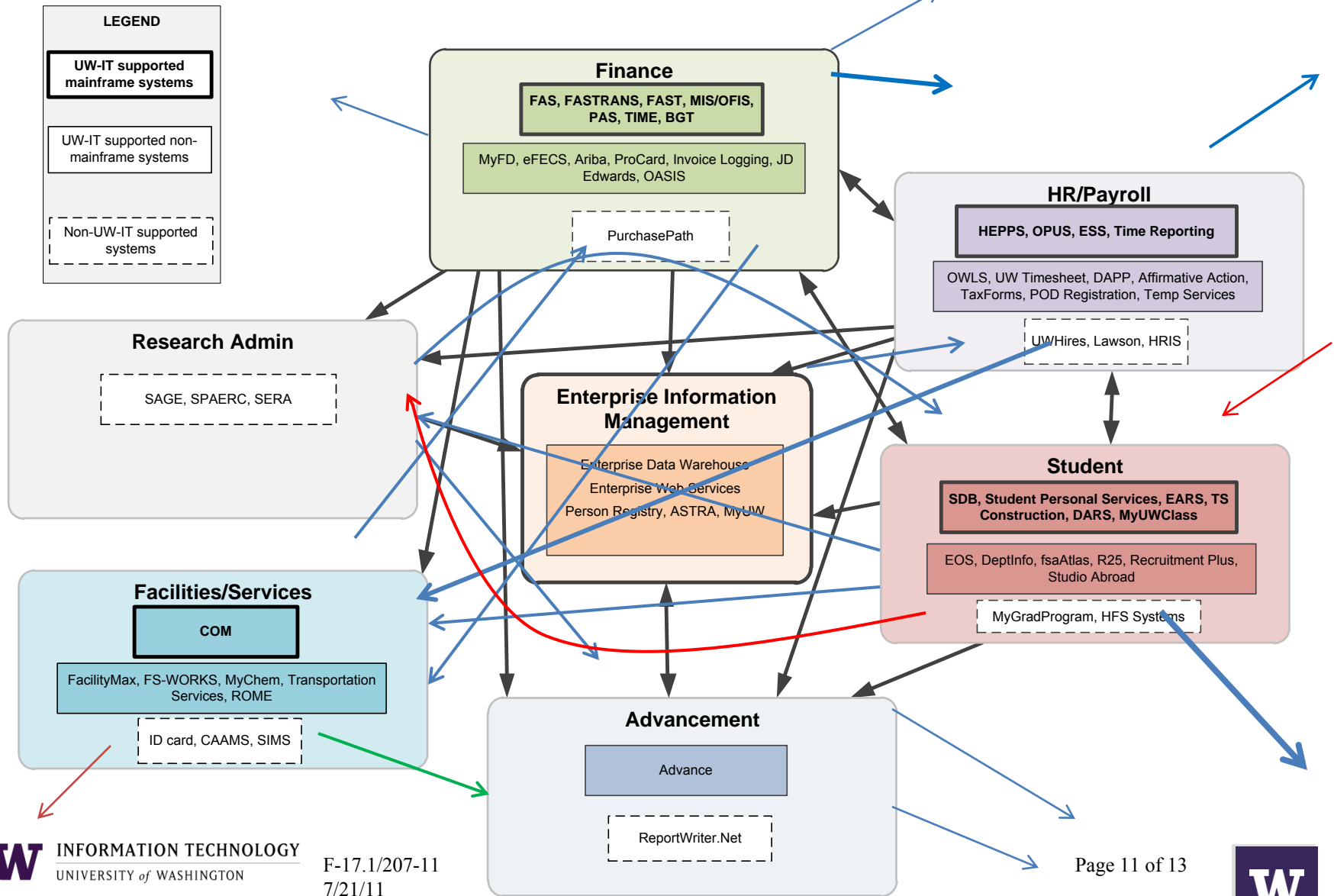
**CHANGE MY MAJOR**  
See which courses in your plan would count toward a different major.

<p><b>My Learning Plans</b></p> <p>Primary</p> <p>NOTE: You can have as many learning plans as you like, but one must always be primary. Some programs will require advisor approval on your primary plan.</p>	<p><b>Find Courses + Programs</b></p> <p>Saved Courses</p> <p>Advanced Search</p> <p>Explore Program Requirements</p>	<p><b>Schedule and Registration</b></p> <p>Schedule Builder</p> <p>Register for Classes</p>	<p><b>Privacy + Sharing</b></p> <p>Sharing</p> <p>Send to Advisor</p> <p>Print/Download</p>	<p><b>Help</b></p> <p>Video tutorial</p> <p>1-page tutorial: Learning Plan</p> <p>1-page tutorial: Program Exploration</p> <p>FAQ</p> <p>Forums</p>
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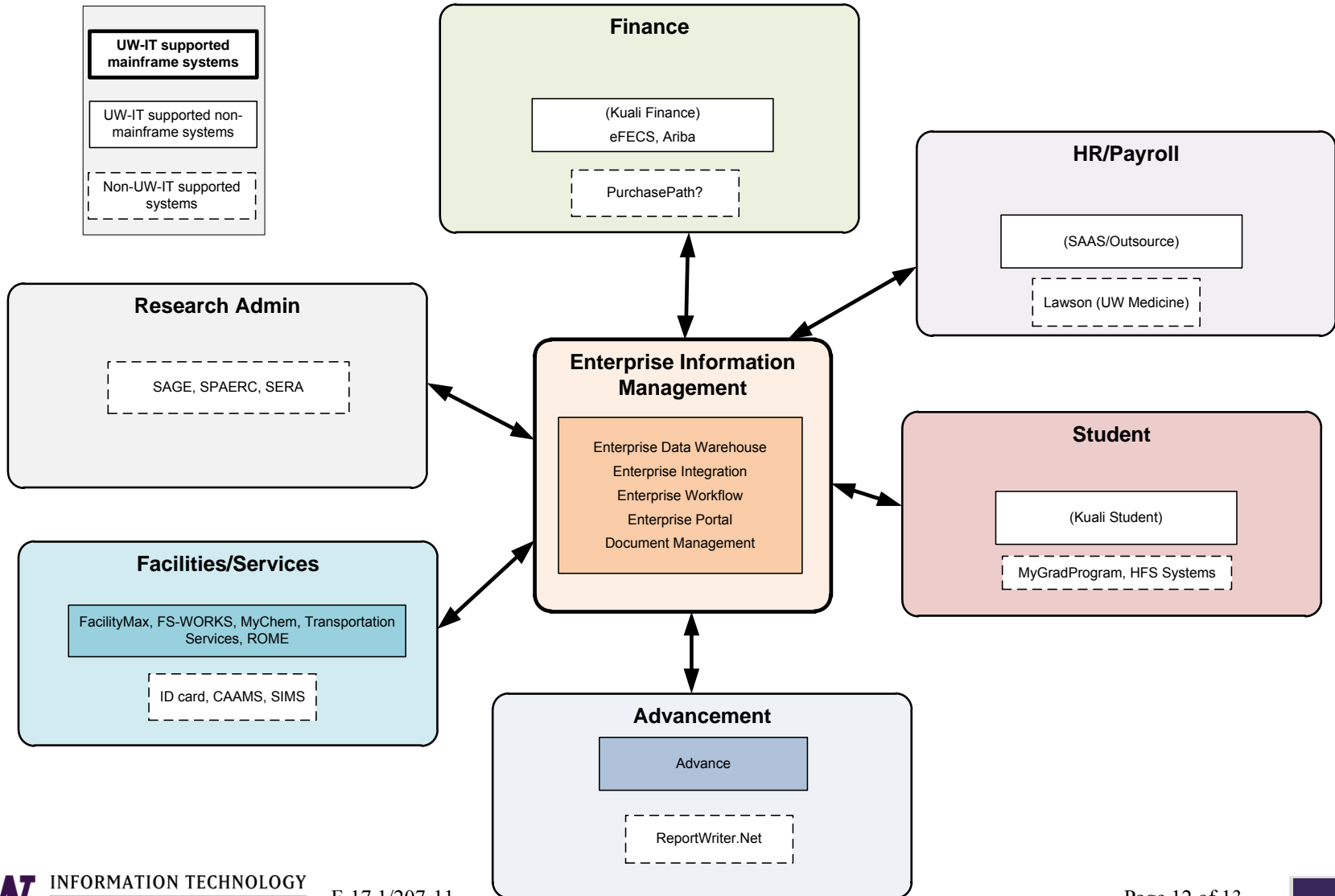
# Business Continuity Dependency Analysis



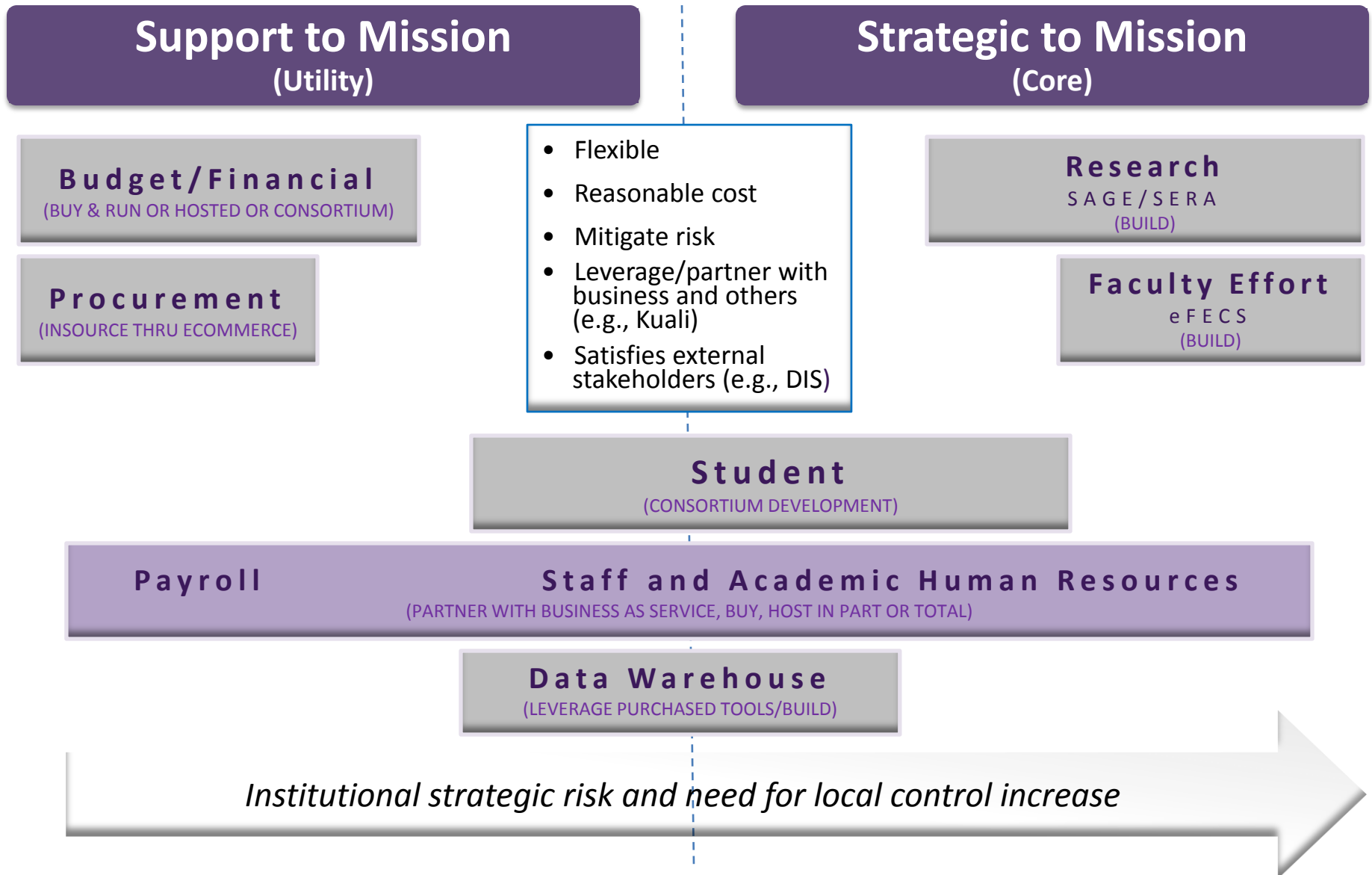
# Today's Enterprise Systems



# Tomorrow's Enterprise Systems



# Enterprise Systems Transformation Framework



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Advisory Committee on Real Estate (ACRE) Update

INFORMATION:

There will be an oral report for information only.

**University of Washington  
Board of Regents  
Resolution of Appreciation to  
Kelly A. Keith**

WHEREAS, Kelly A. Keith, Assistant Secretary of the University of Washington Board of Regents, has served with distinction in her capacity as a corporate officer of the Board since 2001; and

WHEREAS, she has been a loyal and outstanding member of the University of Washington staff in various capacities dating back to 1980, including positions in the Office of the President and the Office of Government Relations; and

WHEREAS, after many years of dedicated and tireless work, she has decided to retreat to the pastoral and contemplative rhythm of island life by retiring from her position at the University; and

WHEREAS, she has demonstrated exceptional skills in helping to organize and manage the work of the Board, to assist members in meeting their responsibilities and obligations, and to meet the plethora of inventive requests from the ten unique members who comprise the Board; and

WHEREAS, she had the rather unusual experience of helping the Board survive through three confidential presidential searches; and

WHEREAS, through it all, she comported herself with amazing efficiency and professionalism, grace under pressure, solicitude for others, a delightfully mischievous sense of humor; and great respect for the office she holds and the people we serve; and

WHEREAS, the work of the Board could not possibly have been accomplished without her steady hand upon it;

NOW, THEREFORE, BE IT RESOLVED: That the members of the Board of Regents, on behalf of the 27 Regents who have had the privilege to work with her, express to Kelly A. Keith their immense gratitude for her years of service and her dedication to the Board and the University it serves, for her devotion to its members and her friendship, that we wish her joy and happiness in all her future endeavors, and that as her last assignment from the Board, she spread this resolution upon the minutes as a permanent record of the Board's sincere appreciation.



**University of Washington Board of Regents  
Report of the Faculty Senate Chair JW Harrington  
Thursday 21 July 2011**

Thank you, Chair Simon.

My remarks are in two parts. First, I'd like to share with you **my open letter to President Young**, from late April. He and I have met, and he "gets" all of this, but because you will work closely with him, I'd like you to be aware of my welcome on behalf of the faculty.

"Dear President Young,

"Congratulations and welcome to our community. The faculty will ask a lot of you, and are eager to work with you, in the following ways:

- Together, we need to articulate a vision of the university as a force for the transformation of students, society, knowledge, and practice.
- We need you to engage students and faculty to make that vision compelling for recruiting students, supporters, and faculty.
- We ask you to listen actively and critically to faculty with vision. All colleagues, like everyone in an organization, have complaints, but it's the tumble of competing and complementary visions that will build this university.
- We ask you to distinguish between policy decisions and the development of innovative ideas. *Policy* in the areas of curriculum, faculty roles and responsibility, budgets, and academic organization must develop in consultation with *official* faculty bodies or representatives. Innovative *ideas* come from *many* sources in an institution of highly trained staff, eager students, and brilliant faculty.

"To be successful, our future must protect and build on the university's assets: the quality of teaching, research, and clinical care on which its reputation is based; its tenured and non-tenure-stream faculty; its three academic campuses; its loyal and beleaguered staff; and 319,000 alumni with a stake in its future.

"To be successful, our future must include structures and resources that facilitate and sustain international collaboration, because the United States does not have a lock on inventive scholarship.

"To be successful, our future must invest in technology to leverage creativity and collaboration, not primarily to increase student/faculty ratios.

"As President of the Faculty, you are responsible for maintaining the letter and the spirit of the Faculty Code. The Secretary of the Faculty should be among your closest allies and counselors.

"Respect and responsibility go hand in hand. If the faculty and its bodies are respected, if our joint rules are followed, and if our decisions and counsel are heeded, we will rise to the

challenge of responsible stewardship, based on our roles as researchers, teachers, and leaders within and across our fields.

“Signed with best wishes,…”

Second, I have some bit of a **charge to the Regents**: key needs over the next couple of years.

The ex officio members don't participate in the assessment of the President, and thus I don't know what assessment measures you use. I hope you do use some assessment indicators, since the University culture is one of assessment, as I've emphasized before. Authentic assessment comes from developing broadly shared goals for the institution – goals that can indeed be broadly and explicitly shared with the faculty, staff, and students. I hope you use or consider some indicators that relate to the well being of the faculty, of scholarship, and of student learning.

Our shift to a tuition and fee basis for our education function is now totally launched. I encourage you to exercise moderation and steadiness in the continuation of that shift, even as you increase the holdback for financial aid and even as you recognize that all aspects of our education function – including salaries – ride on this key aspect of our budget.

Please continue two things that you do quite well – paying close attention to the sprawling UW Medicine complex, and to the very large athletics enterprise.

Now that we make use of a budget showing the entirety of the operations under the UW banner, and now that we make capital allocation decisions across that entirety, you'll need to articulate the rationale for and the benefits of a medical operation that now dwarfs the other components of the enterprise at 46% of the \$5.6B budget, compared with 11% for academics and 21% for sponsored research.

I encourage you to work with Senate Chair Susan Astley to become more visible to the faculty. A joint appearance and Q&A with the President, Board Chair, and Faculty Senate Chair might be one element of this increased visibility.

I must say how useful it is to have the internal ex officio members [Faculty Senate chair and the presidents of ASUW and GPSS) around the table during our committee meetings. It's certainly useful to me; I hope it is useful to all.

Finally, I trust that my enjoyment of this experience has been obvious, but not too obvious, despite the challenges we've faced. There will certainly be some challenges in the next few years: I leave with best wishes for us all.