



November 10, 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, NOVEMBER 16, 2011

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

THURSDAY, NOVEMBER 17, 2011

**8:30 to 10:00 a.m. 142 Gerberding Hall FINANCE, AUDIT AND FACILITIES
COMMITTEE: Regents Smith (Chair), Brotman,
Jewell, Simon**

**10:15 to 10:55 a.m. 142 Gerberding Hall ACADEMIC AND STUDENT AFFAIRS
COMMITTEE: Regents Harrell (Chair), Barer,
Cole, Gates, Knowles**

**11:10 a.m. to 12:25 p.m. 142 Gerberding Hall ACADEMIC AND STUDENT AFFAIRS
COMMITTEE: Regents Harrell (Chair), Barer,
Cole, Gates, Knowles**

in Joint Session with

**FINANCE, AUDIT AND FACILITIES
COMMITTEE: Regents Smith (Chair), Brotman,
Jewell, Simon**

**1:00 p.m. Petersen Room REGULAR MEETING OF BOARD OF
Allen Library REGENTS**

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UNIVERSITY OF WASHINGTON
BOARD OF REGENTS

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

November 17, 2011
8:30 to 10:00 a.m.
142 Gerberding Hall

1. **Report of Contributions – September, 2011** **INFORMATION** F-1
Walter G. Dryfoos, Associate Vice President, Advancement Services
Connie Kravas, Vice President, University Advancement
2. **Grant and Contract Awards Summary – September, 2011** **ACTION** F-2
Douglas J. Wadden, Interim Provost and Executive Vice President
3. **Actions Taken Under Delegated Authority** **INFORMATION** F-3
Richard Chapman, Associate Vice President, Capital Projects Office
4. **Appointment of Insurance Broker of Record** **ACTION** F-4
Elizabeth Cherry, Executive Director, Risk Management
5. **Investment Performance Report, First Quarter Fiscal Year 2011** **INFORMATION** F-5
Keith Ferguson, Chief Investment Officer
6. **Internal Lending Program Quarterly Report for the Quarter Ended September 30, 2011** **INFORMATION** F-6
Chris Malins, Senior Associate Treasurer, Treasury Office
Doug Breckel, Associate Vice President, Treasury Office
7. **Internal Audit – Planned Activities for 2012** **INFORMATION** F-7
Richard Cordova, Executive Director of Audits, Internal Audit
8. **Energy Services Master Agreement – Select Energy Services Contractor** **ACTION** F-8
Richard Chapman
Bradford Spencer, Director, Special Projects Group, Capital Projects Office

9. **UW Bothell Student Activity Center – Select Architect and Delegate Authority to Award a Design Contract** **ACTION** F-9
Marilyn Cox, Vice Chancellor for Administration and Planning, UW Bothell
Rebecca Barnes, University Architect, Office of Planning and Budgeting
Eric C. Smith, Director, Major Capital Projects, Capital Projects Office
10. **Burke-Gilman Trail Corridor Vision Study and Grant Application – Informational Update** **INFORMATION** F-10
Josh Kavanagh, Director of Transportation, Facilities Services
Bradford Spencer
11. **Advancement Return on Investment** **INFORMATION** F-11
Walter G. Dryfoos
Connie Kravas
12. **UW Medicine/Northwest Hospital – Approve Strategic Investment in Electrophysiology/Cardiac Catheterization Lab to Support Northwest Hospital as a Site of Service for UW Medicine Regional Heart Center** **ACTION** F-12
Johnese Spisso, Chief Health System Officer, UW Medicine and Vice President of Medicine, UW Medicine Health System
13. **UW Medicine Board Annual Financial Report** **INFORMATION** F-13
Liz Shirley, Controller/Associate Vice President, UW Medicine
Dennis Okamoto, Chair, UW Medicine Board Finance and Audit Committee
14. **Other Business**



UNIVERSITY OF WASHINGTON
BOARD OF REGENTS

Academic and Student Affairs Committee
Regents Harrell (Chair), Barer, Cole, Gates, Knowles

November 17, 2011
10:15 to 10:55 a.m.
142 Gerberding Hall

1. **Academic and Administrative Appointments** **ACTION** A-1
Douglas J. Wadden, Interim 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. **Institute for Health Metrics and Evaluation Board Reappointments** **ACTION** A-3
Paul G. Ramsey
4. **Teaching and Learning: What we know and what we need** **INFORMATION** A-4
Edward Taylor, Vice Provost and Dean, Undergraduate Academic Affairs; Associate Professor, Leadership and Policy Studies
Catharine H. Beyer, Research Scientist, Office of Educational Assessment
Beth Kalikoff, Director, Center for Teaching and Learning, UW Seattle; Associate Professor, Interdisciplinary Arts & Sciences, UW Tacoma
5. **Other Business**



**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

Academic and Student Affairs Committee
Regents Harrell (Chair), Barer, Cole, Gates, Knowles

In Joint Session with

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

**November 17, 2011
11:10 a.m. to 12:25 p.m.
142 Gerberding Hall**

1. **Husky Stadium Renovation – Revise the Project Budget and Approve Funding** **ACTION** F-14
Scott Woodward, Director of Athletics, Intercollegiate Athletics
Johnese Spisso, Chief Health System Officer, UW Medicine and Vice President of Medicine, UW Medicine Health System
Chris Malins, Senior Associate Treasurer, Asset Liability Management, Treasury Office

2. **Approve Revised Endowment and Program Naming Policy** **ACTION** F-15
Walter G. Dryfoos, Associate Vice President, Advancement Services

3. **Update on Financial Aid and Husky Promise** **INFORMATION** F-16
Paul Jenny, Vice Provost, Planning and Budgeting
Kay Lewis, Assistant Vice President for Student Life and Director of Financial Aid and Scholarships, Student Financial Aid

4. **State Budget Update** **INFORMATION** F-17
Paul Jenny
Margaret Shepherd, Director of State Relations, Office of External Affairs

5. **Executive Session**
(To discuss with legal counsel representing the University litigation, potential litigation or legal risks of a proposed action, when public knowledge of the discussion is likely to result in an adverse legal or financial consequence to the University.)

6. **Other Business**



AGENDA

BOARD OF REGENTS
University of Washington
November 17, 2011
1:00 p.m.
Petersen Room, Allen Library

(Item No.)

- I. CALL TO ORDER**
- II. ROLL CALL: Assistant Secretary Shelley Tennant**
- III. CONFIRM AGENDA**
- IV. REPORT OF THE CHAIR OF THE BOARD OF REGENTS: Regent Blake**
Resolution Regarding Schedule of Regular Board Meetings in 2012 (Action) BP-1
- V. REPORT OF THE UNIVERSITY PRESIDENT: President Young**
- VI. CONSENT AGENDA**
Approval of Minutes of Meeting of October 20, 2011

UW Medicine Board Reappointments A-2

Institute for Health Metrics and Evaluation Board Reappointments A-3

Grant and Contract Awards Summary – September, 2011 F-2

Appointment of Insurance Broker of Record F-4

Energy Services Master Agreement – Select Energy Services Contractor F-8

UW Bothell Student Activity Center – Select Architect and Delegate Authority to Award a Design Contract F-9

UW Medicine/Northwest Hospital – Approve Strategic Investment in Electrophysiology/Cardiac Catheterization Lab to Support Northwest Hospital as a Site of Service for UW Medicine Regional Heart Center F-12

Husky Stadium Renovation – Revise the Project Budget and Approve Funding F-14

Approve Revised Endowment and Program Naming Policy F-15

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

Academic and Administrative Appointments (Action) A-1

Teaching and Learning: What we know and what we need (Information only) A-4

Joint Session**A. Academic and Student Affairs Committee: Regent Harrell – Chair****B. Finance, Audit and Facilities Committee: Regent Smith – Chair**

Update on Financial Aid and Husky Promise (Information only) F-16

State Budget Update (Information only) F-17

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

Report of Contributions – September, 2011 (Information only) F-1

Actions Taken Under Delegated Authority (Information only) F-3

Investment Performance Report, First Quarter Fiscal Year 2011 (Information only) F-5

Internal Lending Program Quarterly Report for the Quarter Ended September 30, 2011 (Information only) F-6

Internal Audit – Planned Activities for 2012 (Information only) F-7

Burke-Gilman Trail Corridor Vision Study and Grant Application – Informational Update (Information only) F-10

Advancement Return on Investment (Information only) F-11

UW Medicine Board Annual Financial Report (Information only) F-13

VIII. OTHER BUSINESS**Reports to the Board:****Student Leaders:****ASUW President – Mr. Conor McLean****GPSS President – Mr. Aaron Naumann****ASUW Tacoma President – Mr. Jonathan Bowers****ASUW Bothell President – Mr. Frederic Sawyer Hensen****Faculty Senate Chair – Professor Susan Astley****Alumni Association President – Ms. Susan Wilson Williams****IX. DATE FOR NEXT REGULAR MEETING: Thursday, December 8, 2011****X. ADJOURNMENT**

MINUTES

**BOARD OF REGENTS
University of Washington**

November 17, 2011

The Board of Regents held its regular meeting on Thursday, November 17, 2011, scheduled to begin at 1:00 p.m. in the Petersen Room of the Allen Library. The notice of the meeting was appropriately provided to the public and the media.

CALL TO ORDER

Regent Blake called the meeting to order at 1:05 p.m.

ROLL CALL

Assistant Secretary Tennant called the roll: Present were Regents Blake (Chair), Barer, Cole, Gates, Jewell, Knowles, Simon; President Young, Provost Wadden, Ms. Warren, Ms. Goldblatt; ex officio representatives: Professor Astley, Mr. McLean, Ms. Williams.

Absent: Regents Brotman, Harrell, Smith; GPSS President Naumann.

CONFIRM AGENDA

The agenda was confirmed as presented.

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

Regent Blake began her report by asking Regents and others to observe a moment of silence in memory of former Regent Ark Chin who passed away on Sunday, at the age of 87, after a full and fulfilling life dedicated to his family, his profession, and his community, including the University of Washington.

Resolution Regarding Schedule of Regular Board Meetings in 2012 (Action) (Agenda no. BP-1)

Regent Blake announced the Board is asked to approve the 2012 meeting schedule at the November meeting. She noted meeting dates are on Thursday, but they are the first or second Thursday of each month. Regents polled said this would fit their schedules better. A dinner meeting at the President's Residence is scheduled for each month and will be held as needed. As in past years, April, August, and December meetings may be canceled.

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MOTION: Upon the recommendation of the Chair of the Board and the motion made by Regent Jewell, seconded by Regent Barer, the Board voted to approve the schedule of meetings for 2012.

The HUB Hard Hat tour scheduled following the Board meeting will be rescheduled.

Regents will receive notice of a special meeting to be held on Saturday, November 26, before the Apple Cup game at CenturyLink Field. This will be a joint meeting with Regents of Washington State University.

Regents will receive a notice of a special meeting to be held on Thursday, December 15, at 10:00 a.m. This will include a legislative update. The regular meeting scheduled for December 8 will be canceled.

Regent Blake reported she attended the GPSS Higher Education Summit held on November 4, deeming it an extremely well-run session. Panelists, she said, did a wonderful job of highlighting issues.

Also on November 4, Regent Blake joined the group celebrating UW's 150th anniversary in Red Square. Along with President Young and Regent Knowles, she ceremoniously cut the birthday cake – a very realistic looking Husky dog. An impressive number of students, and others, braved long lines in the rain for free W-Day T-shirts and purple and gold cupcakes. The Husky Marching Band led the crowd in singing “Happy Birthday” to President Young. She praised the event – especially the combination of the GPSS Summit and W-Day.

Regent Blake invited President Young to present his report.

REPORT OF THE UNIVERSITY PRESIDENT: President Young

President Young added his condolences to former Regent Chin's family, saying he was a great member of the community, his contributions were enormous, and he will be missed. He also said the University community is deeply saddened by the passing of State Senator Scott White. President Young added this was an acute loss for Senator White's family, the state, and the cause of higher education. The University will miss him and his good work.

President Young was pleased to announce Ana Mari Cauce, Dean of the College of Arts & Sciences, as the finalist for Provost. Dean Cauce will be meeting with various groups and in public fora over the next few weeks. An appointment decision is expected in early December. He thanked the search committee for their work and thanked the Senate Executive Committee, particularly Susan Astley and Jim Gregory, for their input, advice, and counsel into a more public process.

The President said the University will participate in Gig.U, a collaboration between thirty-seven universities and their affiliated municipalities, partnering to create

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expanded fiber optic access for universities, local businesses and households enabling high powered data compression and transmission.

The President reported a high level of attendance at the recent Bridging the Gap breakfast, where funds were raised to support student scholarships and community leaders were honored for their contributions to the University.

President Young reported on meetings with alumni, including appointments in the San Francisco Bay area. He met with the Community Development Roundtable's "101 Club," and many other groups, to talk about the University and its programs and events.

W-Day festivities were "terrific," including the President's birthday celebration and a resolution from the King County Council congratulating the University on 150 years.

The President reported on his meeting with the ASUW Student Senate.

He provided an update on the Higher Education Steering Committee, formed last year following the legislation passed by the state to eliminate the Higher Education Coordination Board, and replace it with something yet to be defined. The Steering Committee's most recent proposal included a director or commissioner of "student attainment" housed in the Governor's cabinet with an advisory board, and a focus on overarching goals for the entire education system – early learning, K-12, and higher education. The Council of Presidents would be enhanced, and tasked with developing goals, strategic plans, and tactics. This is the prevailing concept, but there are alternate proposals and other suggestions under consideration.

President Young said it was a "wonderful opportunity" to have Bill Gates III deliver a "brilliant" lecture to a full house at Computer Science & Engineering,

To become better acquainted with faculty, the President has scheduled lunch meetings with a number of faculty members, in randomly invited groups. He has also attended many faculty meetings with the goal of attending faculty meetings at all colleges over the next few months. He said the work of UW's faculty is "extraordinary and remarkable," and cited faculty members' passion for the institution, its students, and the research they conduct. He is planning to offer the Board more ways to meet faculty members and students to hear their stories.

The President said he attended many alumni events, including the Purple and Gold Society, class of 1961 50th reunion, and a wonderful reception in Tacoma at Regent Simon's home, where the enthusiasm of the community for the UW campus there was palpable.

President highlighted recent honors and awards:

- An inter-departmental team of twenty-three undergraduate students from five UW departments won a world championship in international genetically

engineered machines, a wonderful example of a student-organized group which highlights the relationship between research and teaching.

- Twenty-five Fulbright scholarships were recently awarded; the UW ranks six in total awarded up from ten last year.
- Katie Flood won the Pac-12 cross country championship.
- The UW women's cross country team won its fourth straight western regional championship and is headed to the NCAA national championship in Indianapolis.
- Associate Vice Provost Luis Fraga was named one of the 100 most influential Hispanics in the nation, by Hispanic Business Magazine.
- John Cahn, Affiliate Professor of Physics, was awarded the Kyoto prize in technology for his contribution to the field of materials science.

In other athletics news, the men's and women's basketball season is underway. Women's volleyball closes out its season with matches against WSU in Seattle and in Pullman.

President Young introduced UW Computer Science & Engineering Professor Shwetak Patel, a recent MacArthur "genius" award winner. The President congratulated Dr. Patel on the high honor and invited him to make brief remarks. Professor Patel is the University of Washington's fifteenth MacArthur fellow. Professor Patel was recognized for his work in the area of easy to deploy, affordable sensor systems. Demonstrating the link between the theoretical and the practical, Professor Patel is a brilliant computer and electrical engineer and a certified plumber and carpenter. Professor Patel's bio is attached.

Professor Patel gave an overview of his current research. His lab work focuses on technology for sustainability – ways to build easy to deploy sensing technology for monitoring electricity and water in the home to allow people to make better decisions about where their energy and water are going. Since receiving the MacArthur award, he has been asked to brief U.S. Secretary of Energy Steven Chu on his work, and is scheduled to brief President Obama in the near future. His work has recently been commercialized and is currently in use in homes.

Regent Jewell asked about the challenges with patents and the commercialization process. Professor Patel said he formed a start-up company, which was subsequently acquired, resulting in a licensing revenue stream to the UW. All his research projects have been licensed, and he is pushing the technology he developed through commercialization, and to non-profits and open source. Dr. Patel said he had experience with commercialization as a graduate student and advised being "nimble and flexible." He said the University of Washington is a leader in the area of residential energy monitoring.

Regent Cole asked about the interface between the human and technology, which Dr. Patel termed "impedance mismatch."

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Regent Blake asked if any of this technology is being used on campus. Dr. Patel replied the University received a grant to fund a smart grid initiative, and the technology will be deployed in the newly constructed student residence halls.

Regent Barer asked about off-grid energy use in areas of the world where there is no electricity. Dr. Patel said his group has been researching this – especially water monitoring. He said off-grid monitoring is critical where wells or gas generators are used because there is no feedback on the operation of the mechanism. His team is working on ways to help NGOs develop world technology deployment.

President Young thanked Professor Patel for his presentation.

CONSENT AGENDA

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

Minutes for the meeting of October 20, 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 reappointments to the UW Medicine Board:

Allan Golston	November 1, 2011 through October 31, 2014
Julie Nordstrom	November 1, 2011 through October 31, 2014

See Attachment A-2.

Institute for Health Metrics and Evaluation Board Reappointments (Agenda no. A-3)

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

Lincoln Chen	7/1/11 to 6/30/13
Harvey Fineberg	7/1/11 to 6/30/13
Julio Frenk	7/1/11 to 6/30/14
Jane Halton	7/1/11 to 6/30/14
Peter Piot	6/1/10 to 6/30/13
Srinath Reddy	7/1/11 to 6/30/12

David Roux	7/1/11 to 6/30/14
Endang Rahayu Sedyaningsih	6/1/10 to 6/30/13
Tomris Turmen	7/1/11 to 6/30/13

See Attachment A-3.

Grant and Contract Awards Summary – September, 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 September, 2011, in the total amount of \$209,139,900.

See Attachment F-2.

Appointment of Insurance Broker of Record (Agenda no. F-4)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents appoint Parker, Smith & Feek, Inc. as Insurance Broker of Record for a five year period effective December 1, 2011, with an option to extend for an additional five year period subject to satisfactory performance.

See Attachment F-4.

Energy Services Master Agreement – Select Energy Services Contractor (Agenda no. F-8)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award an Energy Services Master Agreement to McKinstry Essention, Inc. subject to successful negotiation. The University is authorized through RCW 39.35C to contract with energy services performance contracting companies. Previously, the Capital Projects Office conducted energy services performance contracting projects through an interagency agreement with the Washington State General Administration's Energy Saving Performance Contracting program.

See Attachment F-8.

UW Bothell Student Activity Center – Select Architect and Delegate Authority to Award a Design Contract (Agenda no. F-9)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award a design contract for the UW Bothell Student Activity Center Project with the firm to be recommended by the University's Architectural Commission at their December, 2011, meeting, subject to successful negotiation of an architectural agreement.

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 first alternate.

See Attachment F-9.

UW Medicine/Northwest Hospital – Approve Strategic Investment in Electrophysiology/Cardiac Catheterization Lab to Support Northwest Hospital as a Site of Service for UW Medicine Regional Heart Center (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) the Electrophysiology/Cardiac Catheterization Lab expansion project for UW Medicine Regional Heart Center at Northwest Hospital, and
- 2) the transfer of \$9,390,000 from UW Medical Center to support the project.

See Attachment F-12.

Husky Stadium Renovation – Revise the Project Budget and Approve Funding (Agenda no. F-14)

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

- 1) Increase the Husky Stadium Renovation Project budget to \$260,832,000 to reflect additional project scope for the UWMC Sport Medicine and Sports Performance Center, and
- 2) Increase the use of the Internal Lending Program (ILP) up to \$261,500,000 to fund design, construction, capitalized interest, and other project costs associated with the Sports Medicine and Sports Performance Center.

See Attachment F-14.

Approve Revised Endowment and Program Naming Policy (Agenda no. F-15)

It was the recommendation of the administration, the Academic and Student Affairs Committee, and the Finance Audit and Facilities Committee that the Board of Regents approve the revised Endowment and Program Naming Policy (*Board of Regents Governance*, Regent Policy No. 9), to be effective July 1, 2012.

See Attachment F-15.

STANDING COMMITTEES

ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Cole, Vice Chair

In Regent Harrell's absence, Regent Blake asked Regent Cole, Vice Chair of the Committee, to provide a report from the committee meeting.

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

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

See Attachment A-1.

Regent Cole reported the Board of Regents approved appointments to the UW Medicine Board and the Institute for Health Metrics Board. He complimented the Health Metrics Board by saying it is comprised of international luminaries in the field of medical outcomes.

Teaching and Learning: What we know and what we need (Agenda no. A-4)
(Information only)

Regent Cole said the Board received an excellent presentation about evaluating and improving teaching and learning. The report described what the university is doing to assess classroom instruction, help improve it, and guide faculty in their professional development efforts. This informative report got "right at the core" of the mission of the University.

See Attachment A-4.

FINANCE, AUDIT AND FACILITIES COMMITTEE: Regent Jewell, Vice Chair

In Regent Smith's absence, Regent Blake asked Regent Jewell, Vice Chair of the Finance, Audit and Facilities Committee, to provide a report from the Committee meetings. Regent Jewell said the committee moved forward on selecting an architect for a new student activity center at UW Bothell. Regents also approved Northwest Hospital's expansion in the area of cardiology with an investment in an Electrophysiology/Cardiac Catheterization Lab.

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

The total amount of gifts received in September, 2011 was \$27,435,715; the total year-to-date is \$78,235,519.

See Attachment F-1.

Actions Taken Under Delegated Authority (Agenda no. F-3) (Information only)

See Attachment F-3.

Investment Performance Report, First Quarter Fiscal Year 2012 (Agenda no. F-5)
(Information only)

See Attachment F-5.

Internal Lending Program Quarterly Report for the Quarter Ended September 30, 2011 (Agenda no. F-6) (Information only)

See Attachment F-6.

Internal Audit – Planned Activities for 2012 (Agenda no. F-7) (Information only)

See Attachment F-7.

Burke-Gilman Trail Corridor Vision Study and Grant Application – Informational Update (Agenda no. F-10) (Information only)

Regent Jewell reported the Regents received a presentation on the well-used Burke-Gilman Trail, including “how to avoid entanglements between spandex-clad cyclists and strollers, and everything else.”

See Attachment F-10.

Advancement Return on Investment (Agenda no. F-11) (Information only)

There was discussion in the Committee meeting on how Advancement is currently spending funds and the plans for future spending.

See Attachment F-11.

UW Medicine Board Annual Financial Report (Agenda no. F-13) (Information only)

The Regents received an update from the UW Medicine Board.

See Attachment F-13.

FINANCE, AUDIT AND FACILITIES COMMITTEE: Regent Jewell, Vice Chair
In joint session with

ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Cole, Vice Chair

Regent Jewell reported the Regents approved a change to the Husky Stadium renovation plan to incorporate a Sports Medicine facility, to be paid for in the Husky Stadium budget and leased back to UW Medicine. This, she said, was a very exciting increase to the scope of the project budget from \$250 to \$260 million.

Update on Financial Aid and Husky Promise (Agenda no. F-16) (Information only)

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Regent Jewell said this was an interesting update, adding Regents should be proud of the commitment by the University to continue supporting access for students in a time of significant tuition increases. The Regents are committed to allocating more funding to support financial aid than the amount required by the state, and in doing so, hope to offset the increase of the cost of tuition for those in need.

See Attachment F-16.

State Budget Update (Agenda no. F-17) (Information only)

This was, Regent Jewell reported, a depressing update on the state budget, now \$120 million behind the last update. She said it was discouraging but the University will do its best. The state is seeking additional sources of revenue and hopes for an economic recovery.

See Attachment F-17.

REPORTS TO THE BOARD OF REGENTS

Regent Blake invited the ASUW Bothell and Tacoma Presidents to join the Board at the table.

ASUW President: Mr. Conor McLean

Mr. McLean thanked President Young for attending a Student Senate meeting, for his demonstrated commitment to student leadership, and for his candid remarks at the meeting.

He updated the Board on ASUW's legislative efforts and plans. The group is drafting legislative priorities for the special and regular sessions. He said shared governance is a priority for the year – students feel the Board of Regents have increased authority, so it is more important than ever for there to be open, proactive and direct student involvement in matters related to any university policy, especially those concerning tuition or fees. This is critical to ensuring all stakeholders are fairly represented. The Provost's Advisory Committee for Students is a "step in the right direction." ASUW will continue to advocate for increased student participation in policy decisions.

The ASUW Office of Government Relations has developed a set of policy priorities to mitigate the cuts to higher education, and proactively solve the challenge of financing higher education during a time of budget constraints:

- 1) Students support generating nearly \$80 million of new revenue annually for higher education by ending the B&O and sales tax breaks for R&D high-tech firms with more than 250 employees. This would affect thirty-seven firms in Washington state. This proposal to close the tax credits makes sense for large research and development firms as it asks them to forgo a tax break to help maintain the level of innovation at UW, a prestigious research university.

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- 2) Students will advocate for local property tax levies for community and technical colleges limited to ten to fifteen cents per thousand dollars of assessed value, which would provide funding for education from local sources.
- 3) Students will advocate for the ability of four-year universities to diversify their invested funds to create new revenue, specifically to be used for financial aid.

Mr. McLean said these proposals would serve to start a conversation for alternatives to an “all cuts budget.” Beginning with the November 28 special legislative session, ASUW leaders will organize multiple trips for students to Olympia to ask legislators to support a revenue package that mitigates cuts to UW and other higher education institutions. Mr. McLean asked Regents, and others, to join the students’ calls for new revenue and support their proposals to save higher education. This, he said, is not a cause students can win by themselves; a joint effort in Olympia will be needed between students, alumni, administrators, and Regents to save funding for higher education.

Questions and discussion followed Mr. McLean’s presentation.

GPSS President: Mr. Aaron Naumann

Mr. Naumann was not present at the meeting. In his stead, Regent Blake invited Adam Sherman, GPSS Vice President, to provide a report to the Board.

Mr. Sherman commended ASUW leaders for their creativity in developing legislative priorities. He echoed his support for shared governance. He said GPSS leaders were happy to see President Young at the ASUW meeting and plan to invite him to a GPSS meeting next quarter. He announced GPSS President Aaron Naumann would step down and a new President would be elected soon.

Mr. Sherman mentioned upcoming GPSS-sponsored social events, which provide an opportunity for graduate students to take a break from their hard work. These include movie screenings and education-related trivia nights.

He praised the success of the Higher Education Summit, and offered his thanks to Regents who attended. He reported TVW filmed the event, five legislators attended, and two legislators participated. In his opening remarks at the Summit, President Young provided context for what higher education looks like now and where it needs to go to move forward. The attendance of WSU President Elson Floyd and other key administrators demonstrated institutional support for the concerns of graduate students and the role they will play in the future to solve problems.

GPSS plans to establish a diversity work group. It will be increasingly important in the future to prepare students to work in diverse environments. GPSS, and other students, should be part of efforts to institutionalize diversity in curriculum and programming at every level of the University.

In the spring, GPSS plans to hold a Science and Policy Summit to explore how science informs the policies pursued at the state and federal level and how those engaged in

science integrate it into policy and those engaged in policy-making learn to speak the language of science.

GPSS is partnering with ASUW and UWImpact to plan an unprecedented level of engagement with faculty and administration, who serve as the institutional memory of the University, to join the fight for higher education funding with a united front. GPSS is collecting students' personal stories about the work they are doing and how they are making their communities better. Showing faces with statistics will form an important part of their legislative strategy.

ASUW Tacoma President: Mr. Jonathan Bowers

Mr. Bowers said there have been many "hiccups" working with UW Tacoma's ASUW constitution and hiring. A judicial board is beginning a constitutional review process to streamline managing the organization. ASUWT recently held the first public forum of the year for student leaders to meet with students, share what they have been working on, and solicit feedback. Sixty students attended and ASUWT collected feedback. They appointed a student committee to begin working on a feasibility study for building a student union on the Tacoma campus. One of the main reasons a student center is needed is the lack of a centralized gathering space for students. They are also working with the city of Tacoma to improve dangerous street crossings in downtown Tacoma with sidewalk flashers. They are focusing efforts on improving campus safety for students, faculty, and staff. They have worked with the Office of Planning & Budgeting to plan the renovation the Hood Corridor space.

In their campus legislative agenda, UWT plans to back much of what Seattle campus proposes. They will continue to coordinate their legislative goals at the upcoming tri-campus and Washington Student Association meetings. The tri-campus meeting agenda includes discussion of differential tuition, establishing priorities for special and regular legislative sessions, campus programming events, and sharing best practices for connecting with students.

Mr. Bowers shared the story of a student from the Tacoma campus – a 52-year-old mother of four returning to campus to realize her dream of completing her education. She is currently working on a bachelor's degree toward attaining a master's degree. She has been greatly affected by higher tuition rates, despite receiving scholarship assistance including a Washington state need grant, Pell grant, and subsidized and unsubsidized Stafford loans. When she completes her bachelor's degree she expects to be over \$20,000 in debt and still wants to continue through a master's degree. Mr. Bowers suggested offering scholarships for older and returning students, especially those with children.

ASUW Bothell President: Mr. Frederic Sawyer Hensen

Regarding legislative efforts, Mr. Hensen said a "united front is a stronger front" and ASUW Bothell and Bothell students intend to act in solidarity with other UW campuses. He described plans to expand the ASUW Bothell Board from five to seven members to

better represent the 3700 students on campus. This proposal also includes adding an office assistant.

Mr. Hensen commented on the student activity center approved by the Board, saying the UW Bothell Student Activity Fee Committee approved \$300,000 in funding to build the center. The student center will address the concern of a lack of consistent food service on campus which does not allow for food costs to be included in student financial aid packages. Currently, to meet the needs for food, students may use the services of “Husky Packs,” a place for students in need to privately pick up basic food essentials. There are plans to build a “Husky Pantry” to provide food for students in most need.

Mr. Hensen said, in general, the mood at UW Bothell is tense, with projected and current tuition increases, and cuts to financial aid, work study, and state need grants. Students are concerned about the future of UW Bothell, but remain active and engaged in campus activities. They are sponsoring a “speak out” event on November 29 to talk about higher education as a state funding priority. Students plan to go to Olympia at the start of the special session, in solidarity with ASUW Seattle and Tacoma. Mr. Hensen invited Regents, and others, to visit ASUW Bothell and experience the high level of energy on campus.

Faculty Senate Chair: Professor Susan Astley

Professor Astley’s remarks are attached.

Alumni Association President: Ms. Susan Wilson Williams

Ms. Williams described UWAA’s legislative efforts with UWImpact and provided a recap of fall events and programs.

UWImpact is recruiting and training “District Dawgs.” These are UW alumni in each legislative district in Washington who form relationships with their legislators and lead advocacy efforts with their neighbors and friends. UWImpact hosted a successful “District Dawgs” training session attended by advocates from Tacoma and Kitsap County. She thanked Regent Herb Simon for delivering the welcome and attending this event.

UWImpact recently mailed a Legislative Scorecard to all alumni and friends who contacted their legislators through UWImpact during the last legislative session. The scorecard thanks them for making a difference and tells them how their legislator voted. UWImpact is partnering with the Seattle Times Greater Good campaign, which is a public service campaign to promote state funding for higher education. The Seattle Times Greater Good website directs readers to UWImpact as an option for them to take action.

Ms. Williams thanked President Young for his attendance and participation at many UWAA events. She said fall is the most exciting time of the year for UW Alumni Association events and programs. Dozens of events were held on campus, around the region and nation. Thousands of UW alumni and friends gathered to celebrate the UW.

More than 18,000 alumni and friends participated in UWAA events this fall– these opportunities included lecture series, the annual Dawg Dash 5K run for scholarships, football viewing parties, homecoming and class reunions.

UWAA is in the middle of the fall membership drive. Ms. Williams promised to provide a membership update at the next meeting.

DATE FOR NEXT MEETING

Regent Blake announced the regular meeting scheduled on Thursday, December 8, 2011, is canceled. The next regular meeting of the Board of Regents will be held on Thursday, January 12, 2012, on campus.

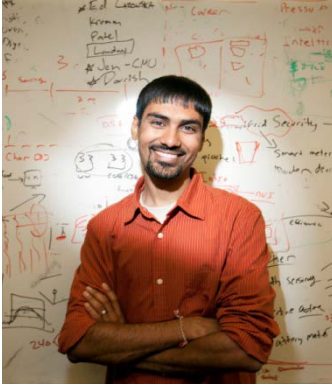
ADJOURNMENT

The regular meeting was adjourned at 2:30 p.m.



Joan Goldblatt
Secretary of the Board of Regents

Approved at the meeting of the Board on January 12, 2012.



Shwetak N. Patel
Computer Science & Engineering
Office: Paul Allen Center, 540

shwetak@cs.washington.edu

Shwetak N. Patel is an Assistant Professor in the departments of Computer Science and Engineering and Electrical Engineering at the University of Washington. His research interests are in the areas of Human-Computer Interaction, Ubiquitous Computing, and User Interface Software and Technology. He is particularly interested in developing easy-to-deploy sensing technologies and approaches for activity recognition and energy monitoring applications. He is also interested in exploring novel interaction techniques for mobile devices, mobile sensing systems, and wireless sensor platforms.

Dr. Patel was also a founder of Zensi, Inc., a demand side energy monitoring solutions provider, which was acquired by Belkin, Inc in 2010. He received his Ph.D. in Computer Science from the Georgia Institute of Technology in 2008 and B.S. in Computer Science in 2003. In September, Dr. Patel received the MacArthur Foundation Fellowship (the “Genius” award). He received the TR-35 award in 2009, was named top innovator of the year by Seattle Business Magazine in 2010, was named Newsmaker of the year by Seattle Business Journal in 2010, was named most influential person by Seattle Magazine in 2011, and was a recipient of the Microsoft Research Faculty Fellowship in 2011. His past work was also honored by the New York Times as a top technology of the year in 2005.

Faculty Senate Chair Susan Astley

Report to the Board of Regents

November 17, 2011

As all of you know, President Young announced today his selection of Dean Ana Mari Cauce as the finalist for the position of Provost. President Young also announced he would set up opportunities for members of the University community to hear Dr. Cauce discuss her plans as our chief academic officer, to ask questions, and to share with him any feedback University members would like him to consider. This public process is to take place next week prior to formal confirmation of the appointment. This public component is in response to deep concern expressed by members of the Senate Executive Committee and faculty earlier this week regarding the search process. What was initially proposed to be an open search for an internal candidate, became a closed search when most of the finalist candidates expressed they would drop out if their names were released as finalists. I would like to thank President Young for acknowledging and responding to the concerns expressed by the faculty. Just minutes ago, I sent out an email to the faculty leadership inviting them to attend the first of these meetings with Dean Cauce, this Monday.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Academic and Administrative Appointments

RECOMMENDED ACTION

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

Attachment

Personnel Recommendations

ADMINISTRATIVE APPOINTMENTS

College of the Environment

College of the Environment

Nelson, Bruce Kert

Associate Dean, College of the Environment, effective 10/16/2011

Continuing Appointments:

- Professor, Earth and Space Sciences
- Adjunct Professor, Oceanography

Degrees:

- PhD, 1985, University of California (Los Angeles)
- MS, 1980, University of Kansas
- BA, 1977, Carleton College

School of Medicine

School of Medicine

Cosgrove, Ellen Mary

Associate Dean, School of Medicine, effective 10/17/2011

Degrees:

- MD, 1978, Hahnemann Medical College
- BA, 1974, University of Pennsylvania

ENDOWED APPOINTMENTS

College of Arts and Sciences

Jackson School of International Studies

Naar, Devin Emmanuel

Marsha and Jay Glazer Endowed Chair in Jewish Studies, effective 9/16/2011

Continuing Appointments:

- Assistant Professor, International Studies
- Assistant Professor, History

Degrees:

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

School of Medicine

Department of Medicine

Nghiem, Paul

Michael W. Piepkorn Endowed Chair in Dermatology, effective 10/1/2011

Continuing Appointments:

- Associate Professor without Tenure, Medicine
- Adjunct Associate Professor, Oral Health Sciences
- Adjunct Associate Professor, Pathology

Degrees:

- MD, 1994, Stanford University
- PhD, 1994, Stanford University
- BA, 1986, Harvard University

- Parks, William C.**
Endowed Chair In Pulmonary Disease Research, effective 8/1/2011
Continuing Appointment:
 - Professor, MedicineDegrees:
 - PhD, 1982, Medical College of Wisconsin
 - BA, 1976, University of Saint Thomas

Department of Pediatrics

- Cox, Timothy Chilton**
Laurel Foundation Endowed Chair in Pediatric Craniofacial Medicine, effective 7/1/2011
Continuing Appointments:
 - Research Associate Professor, Pediatrics
 - Adjunct Research Associate Professor, Oral Health SciencesDegrees:
 - PhD, 1994, University of Adelaide (Australia)
 - BS, 1989, University of Adelaide (Australia)

- Taylor, James Alexander**
Pediatrics Endowed Professorship for Research Sabbaticals, effective 3/1/2012
Continuing Appointment:
 - Professor without Tenure, PediatricsDegrees:
 - MD, 1980, University of North Carolina
 - AB, 1976, University of North Carolina

Department of Radiation Oncology

- Kane, Gabrielle Martina**
Alexander Rodney Muir Professorship, effective 8/1/2011
Continuing Appointments:
 - Associate Professor without Tenure, Radiation Oncology
 - Associate Professor without Tenure, Medical Education and Biomedical InformaticsDegrees:
 - Doctor Of Education, 2005, University of Toronto (Canada)
 - MED, 1998, University of Toronto (Canada)
 - MB ChB, 1975, Trinity College (Ireland)
 - BA, 1973, Trinity College (Ireland)

NEW APPOINTMENTS

College of Arts and Sciences

Department of Anthropology

- Eisenberg, Daniel Thomas Abraham**
Acting Assistant Professor, pending Ph.D., Anthropology, effective 9/16/2012
Degrees:
 - PhD - Expected, 2012, Northwestern University
 - BS, 2005, Binghamton University

Department of English

Loffler, Philipp

Visiting Assistant Professor, English, effective 12/16/2011

Degrees:

- PhD, 2011, University of Heidelberg (Germany)
- MA, 2005, Washington University
- BA, 2001, Abitur (Allgemeine Hochschulreife)

Department of Physics

Wlazlowski, Gabriel Robert

Visiting Assistant Professor, Physics, effective 11/20/2011

Degrees:

- PhD, 2010, Warsaw University of Technology (Poland)
- MS, 2005, Warsaw University of Technology (Poland)

College of Education

College of Education

Diniz Pereira, Julio E

Visiting Associate Professor, Education, effective 6/29/2011

Prior Non-UW Appointment:

Associate Professor, Federal University of Minas Gerais

Degrees:

- PhD, 2004, University of Wisconsin (Madison)
- MED, 1996, Federal University of Minas Gerais (Brazil)
- BS, 1992, Federal University of Minas Gerais (Brazil)

School of Medicine

Department of Medicine

Cosgrove, Ellen Mary

Professor without Tenure, Medicine, effective 10/17/2011

Prior Non-UW Appointment:

Professor of Internal Medicine, University of New Mexico

Degrees:

- MD, 1978, Hahnemann Medical College
- BA, 1974, University of Pennsylvania

Kross, Erin Kathryn

Assistant Professor without Tenure, Medicine, effective 11/1/2011

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MD, 2002, University of Iowa
- BA, 1997, Wellesley College

MacLellan, William Robb

Professor, Medicine, effective 11/1/2011

Prior Non-UW Appointment:

Professor of Medicine and Physiology, UCLA School of Medicine

Degrees:

- MD, 1988, University of Toronto (Canada)
- BSC, 1984, University of Guelph (Canada)

Department of Neurology

Phatak, Vaishali Subhash

Assistant Professor without Tenure, Neurology, effective 11/1/2011

Prior UW Appointment:

Acting Assistant Professor, temporary, Neurology

Degrees:

- PhD, 2005, University of Wisconsin (Milwaukee)
- MS, 1998, Lewis and Clark College
- BA, 1996, University of Oregon

Department of Psychiatry and Behavioral Sciences

Dorschner, Michael Owen

Research Assistant Professor, Psychiatry and Behavioral Sciences, effective 11/16/2011

Prior Non-UW Appointment:

Assistant Director Molecular Genetics Laboratory, The Permanente Medical Group

Prior UW Appointment:

Affiliate Assistant Professor, Psychiatry and Behavioral Sciences

Degrees:

- PhD, 1998, University of Wisconsin (Milwaukee)
- BS, 1990, University of Wisconsin (Milwaukee)

Leblang, Joshua

Senior Lecturer, Full-time, Psychiatry and Behavioral Sciences, effective 10/16/2011

Prior UW Appointment:

Lecturer Full-Time, Psychiatry and Behavioral Sciences

Degrees:

- EdS, 1994, University of Florida
- MED, 1994, University of Florida
- BS, 1991, University of Florida

Department of Radiology

Ferguson, Mark Robert

Assistant Professor without Tenure, Radiology, effective 1/1/2012

Prior UW Appointment:

Acting Assistant Professor, temporary, Radiology

Degrees:

- MD, 2003, University of Michigan
- BS, 1996, University of Michigan

Department of Urology

Merguerian, Paul Arthur

Professor without Tenure, Urology, effective 10/1/2011

Prior Non-UW Appointment:

Professor of Surgery and Pediatrics, Dartmouth Medical School

Degrees:

- MS, 2009, Dartmouth College
- MD, 1980, Hadassah Medical Center

University of Washington, Bothell

Science and Technology, Bothell

White, Bryan Douglas

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

Degrees:

- PhD, 2009, University of Washington
- BA, 1997, Stanford University
- BS, 1997, Stanford University

University of Washington, Tacoma

Institute of Technology, Tacoma

Basu Roy, Senjuti

**Assistant Professor, Institute of Technology, Tacoma, effective
1/1/2012**

Degrees:

- PhD, 2011, University of Texas (Arlington)
- MS, 2007, University of Texas (Arlington)
- BTech, 2006, University of Calcutta (India)
- BSC, 2001, University of Calcutta (India)

VII. STANDING COMMITTEE

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 reappointments to the UW Medicine Board:

Reappointments

Allan Golston	November 1, 2011 through October 31, 2014
Julie Nordstrom	November 1, 2011 through October 31, 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.”

Allan C. Golston is President for the United States Program at the Bill and Melinda Gates Foundation. He leads the foundation’s efforts to increase opportunity and advance student achievement for all young people in the United States through evidence-based education reforms and innovations. Mr. Golston, who joined the foundation in 1999, most recently served as chief financial and administrative officer. Mr. Golston's professional experience spans the fields of health care, software development, consulting, and public accounting. He is a certified public accountant and holds a master's degree in business administration from Seattle University and a bachelor's of science in accounting from the University of Colorado. Before joining the Gates Foundation, Mr. Golston served as director of finance for Swedish Health Services, director of finance and controller for the University of Colorado Hospital, and director of business analysis and product development at MIS, Inc. He is an active community volunteer in several nonprofit regional and national organizations and has served on a number of boards, including New Futures, Philanthropy Northwest, and the Public Library of Science. He was a fellow of the British-American Project and a delegate to the United States/Japan Leadership Program. It is recommended

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

UW Medicine Board Reappointments (continued p. 2)

that Mr. Golston be reappointed to the UW Medicine Board for a three-year term ending October 31, 2014.

Julie Nordstrom is an attorney who worked for the firm of Stafford, Frey, Cooper, and Stewart and clerked for Justice James Dolliver of the Washington State Supreme Court. She is an active community volunteer and has served on the boards of Seattle Children's Home and Child Haven. Ms. Nordstrom co-chaired the Best of Health Luncheon Series for UW Medical Center and worked with Seattle Children's to develop a Therapeutic Development Network. It is recommended that Julie Nordstrom be reappointed to the UW Medicine Board for a three-year term ending October 31, 2014.

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..."

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

UW Medicine Board Reappointments (continued p. 3)

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	11/1/11 to 10/31/14	<i>reappointment</i>
Gerald Grinstein	1/1/10 to 12/31/13	
Sally Jewell	10/1/10 to 9/30/13	
Richard Jones	8/01/09-7/31/12	
Shan Mullin	9/1/10 to 8/31/13	
Julie Nordstrom	11/1/11 to 10/31/14	<i>reappointment</i>
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	
Michael Young President University of Washington	Ex-Officio	

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Institute for Health Metrics and Evaluation 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 reappointments to the Institute for Health Metrics and Evaluation (IHME) Board:

Reappointments

Lincoln Chen	7/1/11 to 6/30/13
Harvey Fineberg	7/1/11 to 6/30/13
Julio Frenk	7/1/11 to 6/30/14
Jane Halton	7/1/11 to 6/30/14
Peter Piot	6/1/10 to 6/30/13
Srinath Reddy	7/1/11 to 6/30/12
David Roux	7/1/11 to 6/30/14
Endang Rahayu Sedyaningsih	6/1/10 to 6/30/13
Tomris Turmen	7/1/11 to 6/30/13

BACKGROUND

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

The term of office of each appointed Board member shall be three years. No appointed Board member may serve more than three successive three-year terms. However, the terms of Board members shall be staggered so that the final terms of no more than one-third (1/3) of the members will expire simultaneously on the last day of June in any one year. Whenever more than one third (1/3) of the members’ final terms expire simultaneously, lots will be drawn to determine which expiring term shall be extended for one more year to eliminate this condition.”

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Institute for Health Metrics and Evaluation Board Reappointments (continued p. 2)

Dr. Lincoln Chen is President of the China Medical Board of Cambridge, MA. In 2001-2006, Dr. Chen founded and directed the Global Equity Initiative of Harvard University's Asia Center. In an earlier decade, 1987-1996, Dr. Chen was the Taro Takemi Professor of International Health and Director of the university-wide Harvard Center for Population and Development Studies. From 2001-2007, Dr. Chen was Chair of the Board of Directors of CARE/USA, one of America's leading international relief and development organizations. He currently serves as a Board member of the Social Science Research Council, the Secretary-General's Global Advisory Board to the UN Fund for International Partnership (Ted Turner's UN Foundation), BRAC Foundation USA, the Public Health Foundation of India, and the Carso Instituto de la Salud. In 2004-2007, he was the Special Envoy of the WHO Director-General in Human Resources for Health, and in 2006, he was elected the first Board Chair of the Global Health Workforce Alliance, a public-private partnership with a secretariat based at the World Health Organization in Geneva. Dr. Chen is a member of the National Academy of Sciences' Institute of Medicine, the American Academy of Arts and Sciences, the Council on Foreign Relations, and the World Academy of Arts and Sciences. He graduated from Princeton University (BA), Harvard Medical School (MD), and the Johns Hopkins School of Public Health (MPH).

Dr. Harvey V. Fineberg is President of the Institute of Medicine. He served as Provost of Harvard University from 1997 to 2001. Dr. Fineberg helped found and served as president of the Society for Medical Decision Making and also served as consultant to the World Health Organization. At the Institute of Medicine, he has chaired and served on a number of panels dealing with health policy issues, ranging from AIDS to new medical technology. He also served as a member of the Public Health Council of Massachusetts (1976-1979), as chairman of the Health Care Technology Study Section of the National Center for Health Services Research (1982-1985), and as president of the Association of Schools of Public Health (1995-1996). Dr. Fineberg is co-author of the books *Clinical Decision Analysis*, *Innovators in Physician Education*, and *The Epidemic that Never Was*, an analysis of the controversial federal immunization program against swine flu in 1976. Dr. Fineberg is the recipient of several honorary degrees and the Joseph W. Mountin Prize from the US Centers for Disease Control. He earned his bachelor's and doctoral degrees from Harvard University.

Julio Frenk, MD, PhD, MPH, is Dean of the Faculty and T&G Angelopoulos Professor of Public Health and International Development at the Harvard School of Public Health. He serves as Chair of the Board of the Institute for Health Metrics and Evaluation at the University of Washington (IHME). Dr. Frenk assumed the position at Harvard after serving as a Senior Fellow in the Global Health Program of the Bill & Melinda Gates Foundation and as President of the Carso Health Institute in Mexico City, a foundation focusing on health-systems innovations in Latin America. Dr. Frenk served as Minister of Health of Mexico from 2000 to 2006. Frenk's career has also included executive positions at the World Health Organization and the Mexican Health Foundation. He is a member of

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

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

several professional associations, including the National Academy of Medicine of Mexico and the Institute of Medicine of the National Academy of Science in the United States. Among the 29 books and monographs he has authored are two best-selling novels for youth explaining the functions of the human body. Dr. Frenk holds a medical degree from the National University of Mexico, as well as a Master of Public Health and a joint doctorate in Medical Care Organization and in Sociology from the University of Michigan.

Jane Halton is Secretary of the Australian Department of Health and Ageing. Ms Halton currently chairs the National Aboriginal and Torres Strait Islander Health Council, is a member of the board of the Australian Institute of Health and Welfare, a board member of the National E-Health Transition Authority and a Commissioner of the Australian Commission on Safety and Quality. Jane Halton is the chair of the OECD's Health Committee. She was an Executive Board Member on the World Health Organization (WHO) 2004-2007 and President of the World Health Assembly (2007), and was Vice-Chair of the Executive Board 2005-2006 and Chair of the WHO Program, Budget and Administration Committee 2005-2007. Prior to her appointment in January 2002 as Secretary of the Department of Health and Ageing, Jane Halton was Executive Co-ordinator, Department of the Prime Minister and Cabinet (PM&C). Ms Halton holds an honours degree in Psychology from the Australian National University, is a fellow of the Australian Institute of Management and an honorary fellow of the Australian College of Health Service

Peter Piot, MD, PhD, is Professor of Global Health and Director of the London School of Hygiene & Tropical Medicine, London, UK. From 2009-2010, he was Professor of Global Health and Director of the Institute for Global Health at Imperial College, London, UK. He was the founding Executive Director of UNAIDS and Under Secretary-General of the United Nations from 1995 until 2008, and served as an Associate Director of the Global Programme on AIDS of the World Health Organization. Dr. Piot co-discovered the Ebola virus in Zaire in 1976 and led research on HIV/AIDS, women's health, and public health in Africa. He was a professor of microbiology and of public health at the Institute of Tropical Medicine, Antwerp, the Free University of Brussels, and the University of Nairobi. He also was a Senior Fellow at the University of Washington, a Scholar in Residence at the Ford Foundation, and a Senior Fellow at the Bill & Melinda Gates Foundation. He holds the chair for 2009-2010 in "Science against poverty" at the College de France in Paris and is a visiting professor at the London School of Economics. He is a member of the Institute of Medicine of the US National Academy of Sciences and of the Royal Academy of Medicine of his native Belgium. He also is a fellow of the Royal College of Physicians. He is the President of the King Baudouin Foundation, was knighted as a baron in 1995, and has published more than 500 scientific articles and 16 books.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

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

Professor K. Srinath Reddy is President of the Public Health Foundation of India. Until recently he headed the Department of Cardiology at All India Institute of Medical Sciences (AIIMS). He is Coordinator of the Initiative for Cardiovascular Health Research in Developing Countries (IC Health), a global partnership programme which promotes research for prevention of cardiovascular diseases in developing countries. He has served on many WHO expert panels and is on the Board of the World Heart Federation. He edited the National Medical Journal of India for 10 years and is on the editorial board of several international and national journals. He has more than 220 scientific publications in international and Indian peer-reviewed journals. Professor Reddy was awarded the WHO Director General's Award for Global Leadership in Tobacco Control at the 56th World Health Assembly in May 2003. He was conferred the prestigious national award PADMA BHUSHAN by the President of India on the occasion of the 57th Republic Day of India, in 2005. The Royal Society for the Promotion of Health, UK, awarded him the Queen Elizabeth Medal in 2005. He was elected Foreign Associate Member of the Institute of Medicine (US National Academies) in 2004. He has been recipient of research grants from the Indian Council of Medical Research, NIH (Fogarty), Wellcome Trust, WHO, British Heart Foundation and the Global Forum for Health Research.

David Roux is a co-founder of Silver Lake and Co-Chief Executive. He was formerly Chairman and CEO of Liberate Technologies, Executive Vice President at Oracle Corporation and Senior Vice President at Lotus Development. Mr. Roux began his technology career as co-founder and CEO of Datext, Inc., the first commercial CD-ROM publishing company. He serves on the board of Thomson S.A. and is Chairman of the Avaya and Serena Software boards. He is a trustee at both Environmental Defense and The Center for Advanced Study in the Behavioral Sciences at Stanford University and an advisor to the Positive Coaching Alliance. Mr. Roux holds an MBA from Harvard Business School and an MPhil from King's College, Cambridge University. He is a graduate of Harvard College.

Endang Rahayu Sedyaningsih, M.D. was appointed Minister of Health of the Republic of Indonesia in October 2009. She began her career in 1979 as clinician in the Jakarta Pertamina Hospital. She joined the public health service in 1980 as the Head of Waipare Health Center in East Nusa Tenggara Province for three years. In 1983, she moved to Jakarta and continued working in the public health service with the Jakarta Provincial Health Office until 1997, when she joined the National Institute of Health Research and Development (NIHRD) of the Ministry of Health. She was appointed as Director of the Center of Biomedical Research and Program Development, NIHRD, in 2006. In 2001, she worked as Temporary Technical Advisor in the Department of Communicable Disease Surveillance and Response at the headquarters of the World Health Organization, Geneva, Switzerland. She holds Master of Public Health and Doctor of Public Health degrees from

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

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

the Harvard School of Public Health and received her MD from the University of Indonesia, Jakarta.

Dr. Tomris Türmen is President, International Children's Center, and Head, Department of Pediatrics/Newborn Medicine, University of Ankara Medical School, Ankara, Turkey. During the past 14 years she worked at WHO leading international public health programs. In 2003, Dr. Türmen was appointed as the Representative of the Director-General of the World Health Organization by the late Director-General, Dr J. W. Lee. Dr. Türmen started her professional life as a clinician, academic and researcher, and then moved to public health with a particular focus on strengthening health systems and programs in resource-poor settings. She is committed to combat poverty and reduce inequities. She is a strong advocate of women's health, gender equality and human rights. Dr. Türmen is a leading figure in key health professional and women's associations and the author or co-author of many scientific papers and books. Dr. Türmen's degrees and fellowships include: M.D. (1970), Specialty diploma in Pediatrics (1974), Clinical and Research Fellow in Newborn Medicine, McGill University, Canada (1978-1980), Diplomate of American Board of Pediatrics (1981), Subspecialty diploma in Neonatology/Perinatology (1984).

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Institute for Health Metrics and Evaluation Board Reappointments (continued p. 6)

IHME BOARD APPOINTMENT DATES

	<u>Term of Appointment</u>	<u>Recommended Changes</u>
Lincoln Chen	1/1/08 to 12/31/11	7/1/11 to 6/30/13
Harvey Fineberg	1/1/08 to 12/31/11	7/1/11 to 6/30/13
Julio Frenk, <i>Board Chair</i>	1/1/08 to 12/31/11	7/1/11 to 6/30/14
Jane Halton	1/1/08 to 12/31/11	7/1/11 to 6/30/14
Peter Piot	6/1/10 to 5/31/13	6/1/10 to 6/30/13
Srinath Reddy	1/1/08 to 12/31/11	7/1/11 to 6/30/12
David Roux	1/1/08 to 12/31/11	7/1/11 to 6/30/14
Endang Rahayu Sedyaningsih	6/1/10 to 5/31/13	6/1/10 to 6/30/13
Tomris Turmen	1/1/08 to 12/31/11	7/1/11 to 6/30/13

Attachment

Recommendation letter from Paul G. Ramsey to Michael K. Young, October 28, 2011, with concurrence

UW Medicine

October 28, 2011

Michael K. Young
President
University of Washington
301 Gerberding Hall

Dear President Young:

I write to recommend renewal of terms for members of the Institute for Health Metrics and Evaluation (IHME) Board. All members whose terms end December 31, 2011 have agreed to term renewals.

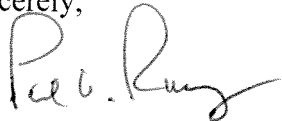
Under the IHME Board bylaws, the following proposed term renewals are purposefully staggered to ensure that "...the final terms of no more than one-third (1/3) of the members will expire simultaneously on the last day of June in any one year."

Name	Term of Appointment	Recommended Change
Lincoln Chen	1/1/08 to 12/31/11	7/1/11 to 6/30/13
Harvey Fineberg	1/1/08 to 12/31/11	7/1/11 to 6/30/13
Julio Frenk	1/1/08 to 12/31/11	7/1/11 to 6/30/14
Jane Halton	1/1/08 to 12/31/11	7/1/11 to 6/30/14
Peter Piot	6/1/10 to 5/31/13	6/1/10 to 6/30/13
Srinath Reddy	1/1/08 to 12/31/11	7/1/11 to 6/30/12
David Roux	1/1/08 to 12/31/11	7/1/11 to 6/30/14
Endang Rahayu Sedyaningsih	6/1/10 to 5/31/13	6/1/10 to 6/30/13
Tomris Turmen	1/1/08 to 12/31/11	7/1/11 to 6/30/13

The original term for IHME Board members was set on a calendar year but pursuant to the bylaws the terms need to be on the academic year. Thus, the difference in appointment terms.

Enclosed is a draft action item for the November Board of Regents meeting. With this letter, I request that you approve the recommendations and send it to the Board of Regents for their approval.

Sincerely,

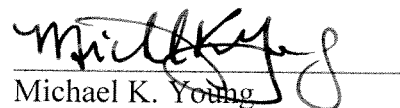


Paul G. Ramsey, M.D.
CEO, UW Medicine
Executive Vice President for Medical Affairs and
Dean of the School of Medicine,
University of Washington

A-3.1/211-11
11/17/11

Paul G. Ramsey, M.D.

Concurrence:



Michael K. Young
President
University of Washington

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Teaching and Learning: What we know and what we need

This will be an oral report for information only.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Report of Contributions – September, 2011

For information only.

Attachment

UW Foundation Report of Contributions for September 2011

Report of Contributions

All Areas | September 2011

ANNUAL PROGRESS BY CONSTITUENCY

School	Current Month				Year to Date			
	Gifts	Private Grants	Total	Donors ¹	Gifts	Private Grants	Total	Donors
UW Medicine	\$1,920,241	\$8,557,447	\$10,477,688	1,748	\$6,589,701	\$31,707,682	\$38,297,383	3,002
Arts and Sciences	\$1,266,046	\$2,482,945	\$3,748,991	1,544	\$3,434,379	\$3,377,392	\$6,811,771	3,280
Broadcast Services	\$544,485		\$544,485	586	\$604,096		\$604,096	6,190
Built Environments	\$15,599	\$2,500	\$18,099	93	\$153,824	\$2,500	\$156,324	129
Business School	\$526,380		\$526,380	525	\$1,342,577		\$1,342,577	960
Dentistry	\$137,430	\$21,067	\$158,497	162	\$556,358	\$21,067	\$577,425	401
Education	\$328,527	\$500,000	\$828,527	369	\$369,712	\$556,573	\$926,285	478
Engineering	\$1,174,973	\$119,991	\$1,294,964	435	\$1,983,981	\$981,050	\$2,965,031	906
Environment	\$93,623	\$593,741	\$687,364	245	\$539,081	\$1,474,702	\$2,013,783	539
Evans School of Public Affairs	\$37,919	\$356,789	\$394,708	96	\$71,646	\$356,789	\$428,435	158
Graduate School	\$78,972	\$288,084	\$367,056	29	\$192,070	\$719,240	\$911,310	58
Information School	\$29,599		\$29,599	236	\$81,127		\$81,127	361
Intercollegiate Athletics	\$2,865,072		\$2,865,072	1,290	\$8,364,649		\$8,364,649	3,252
Law	\$150,350		\$150,350	88	\$478,490	\$90,000	\$568,490	280
Libraries	\$76,134		\$76,134	214	\$187,732		\$187,732	702
Minority Affairs	\$38,528		\$38,528	125	\$66,302		\$66,302	187
Nursing	\$65,406	\$51,700	\$117,106	175	\$251,814	\$51,700	\$303,514	236
Pharmacy	\$147,268	\$121,855	\$269,123	171	\$258,086	\$462,685	\$720,771	330
President's Funds	\$69,069		\$69,069	191	\$109,379		\$109,379	319
Public Health	\$20,607	\$1,804,963	\$1,825,570	99	\$184,800	\$5,780,859	\$5,965,659	203
Social Work	\$326,266	\$158,496	\$484,762	63	\$362,421	\$163,496	\$525,917	116
Student Life	\$53,253		\$53,253	288	\$685,544		\$685,544	1,080
Undergraduate Academic Affairs	\$27,749		\$27,749	46	\$34,607	\$17,477	\$52,084	97
University Press	\$3,575		\$3,575	7	\$40,265		\$40,265	22
UW Alumni Association	\$62,582		\$62,582	1,097	\$194,184		\$194,184	3,516
UW Bothell	\$194,175	\$221,376	\$415,551	56	\$229,777	\$1,444,499	\$1,674,276	181
UW Tacoma	\$75,640	\$10,000	\$85,640	153	\$108,582	\$77,310	\$185,892	248
Other University Support	\$1,319,080	\$496,212	\$1,815,292	195	\$2,621,959	\$853,355	\$3,475,314	420
Total	\$11,648,549	\$15,787,166	\$27,435,715	9,534	\$30,097,144	\$48,138,376	\$78,235,519	25,834

MONTHLY HIGHLIGHTS

The UW received \$27.44M in total private voluntary support (\$11.65M in gifts and \$15.79M in grants) in the current month.

Areas including Arts and Sciences, Broadcast Services, Evans School of Public Affairs, Graduate School, Intercollegiate Athletics, Law, Libraries, Minority Affairs, Social Work, UW Alumni Association and UW Bothell are ahead of last year's year-to-date totals.

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

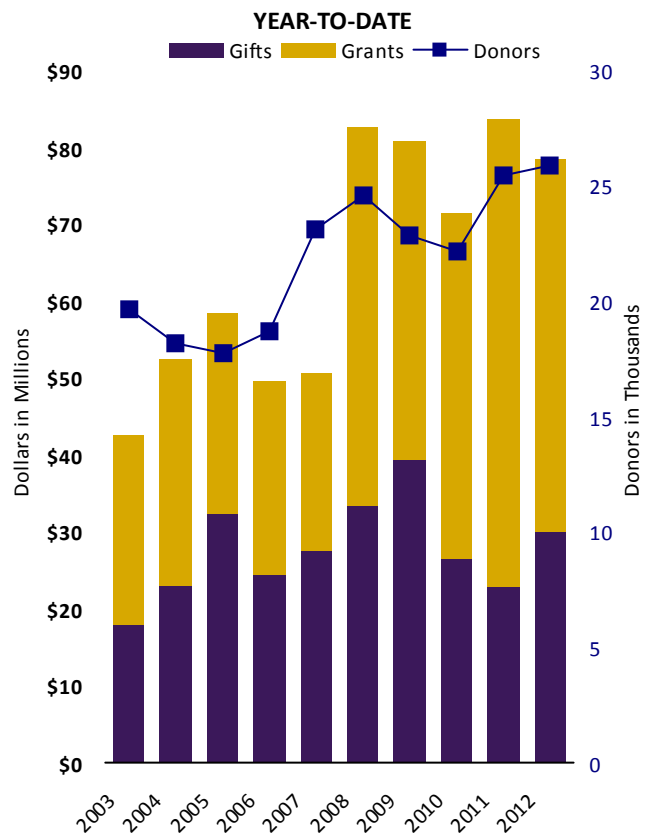
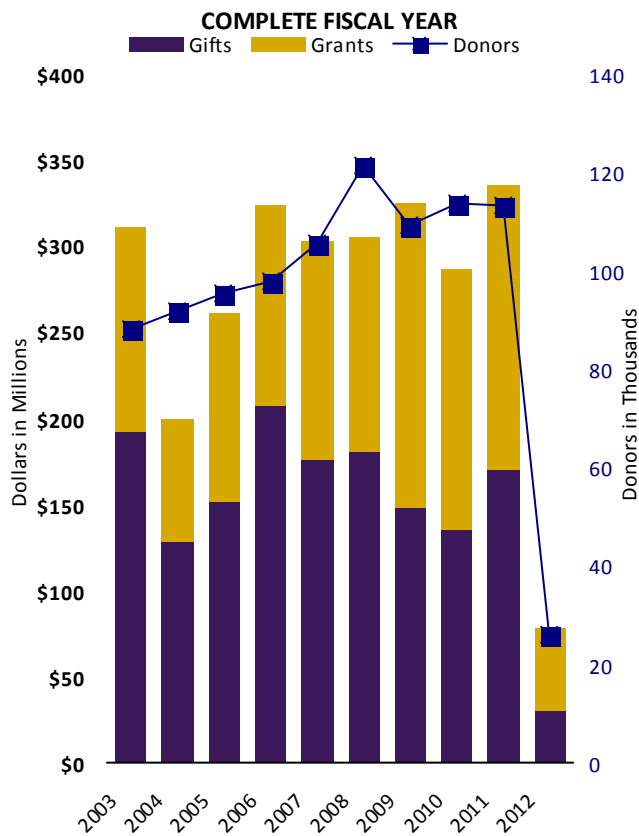
The donor total at the bottom of the chart is not a cumulative total of the rows above. The donor total is the number of unique donors who have been credited with a gift to the UW during the given time period.

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	\$10,477,688	1,748	\$38,297,383	3,002	\$45,384,429	3,854	\$127,994,691	15,832
Arts and Sciences	\$3,748,991	1,544	\$6,811,771	3,280	\$3,370,668	3,202	\$26,366,179	14,021
Broadcast Services	\$544,485	586	\$604,096	6,190	\$212,507	6,046	\$2,945,722	21,519
Built Environments	\$18,099	93	\$156,324	129	\$506,951	331	\$4,097,082	1,304
Business School	\$526,380	525	\$1,342,577	960	\$1,966,939	818	\$14,099,968	4,136
Dentistry	\$158,497	162	\$577,425	401	\$1,589,540	331	\$4,880,520	1,371
Education	\$828,527	369	\$926,285	478	\$1,231,159	255	\$4,453,458	1,322
Engineering	\$1,294,964	435	\$2,965,031	906	\$7,697,934	777	\$28,104,317	4,207
Environment	\$687,364	245	\$2,013,783	539	\$3,621,222	403	\$10,224,490	2,596
Evans School of Public Affairs	\$394,708	96	\$428,435	158	\$395,465	83	\$1,259,897	536
Graduate School	\$367,056	29	\$911,310	58	\$31,438	35	\$1,904,156	260
Information School	\$29,599	236	\$81,127	361	\$192,120	295	\$978,535	747
Intercollegiate Athletics	\$2,865,072	1,290	\$8,364,649	3,252	\$3,471,019	2,928	\$25,769,643	24,108
Law	\$150,350	88	\$568,490	280	\$500,339	260	\$3,954,968	1,671
Libraries	\$76,134	214	\$187,732	702	\$160,665	661	\$2,221,330	5,602
Minority Affairs	\$38,528	125	\$66,302	187	\$26,040	188	\$1,125,063	762
Nursing	\$117,106	175	\$303,514	236	\$770,976	216	\$2,572,650	1,476
Pharmacy	\$269,123	171	\$720,771	330	\$1,048,004	304	\$3,449,822	1,256
President's Funds	\$69,069	191	\$109,379	319	\$130,244	345	\$4,660,973	1,419
Public Health	\$1,825,570	99	\$5,965,659	203	\$6,867,775	171	\$20,982,432	728
Social Work	\$484,762	63	\$525,917	116	\$277,664	98	\$3,825,867	922
Student Life	\$53,253	288	\$685,544	1,080	\$984,482	477	\$24,665,211	3,351
Undergraduate Academic Affairs	\$27,749	46	\$52,084	97	\$312,562	99	\$2,135,761	545
University Press	\$3,575	7	\$40,265	22	\$97,675	43	\$1,525,915	215
UW Alumni Association	\$62,582	1,097	\$194,184	3,516	\$159,398	3,405	\$943,635	17,676
UW Bothell	\$415,551	56	\$1,674,276	181	\$636,295	134	\$1,890,127	753
UW Tacoma	\$85,640	153	\$185,892	248	\$458,184	246	\$5,207,539	798
Other University Support	\$1,815,292	195	\$3,475,314	420	\$1,359,722	1,013	\$2,397,723	2,095
Total¹	\$27,435,715	9,534	\$78,235,519	25,834	\$83,461,416	25,376	\$334,637,675	113,114

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

FISCAL YEAR COMPARISON OF TOTAL CONTRIBUTIONS



Fiscal Year	Complete Fiscal Year				Year to Date			
	Gifts	Private Grants	Total	Donors	Gifts	Private Grants	Total	Donors
2011-2012	\$30,097,144	\$48,138,376	\$78,235,519	25,834	\$30,097,144	\$48,138,376	\$78,235,519	25,834
2010-2011	\$170,201,978	\$164,435,696	\$334,637,675	113,114	\$22,792,648	\$60,668,767	\$83,461,416	25,376
2009-2010	\$135,813,022	\$150,815,796	\$286,628,819	113,746	\$26,555,244	\$44,732,283	\$71,287,527	22,118
2008-2009	\$148,364,809	\$175,713,667	\$324,078,477	109,083	\$39,551,169	\$41,037,329	\$80,588,498	22,791
2007-2008	\$180,735,444	\$124,224,214	\$304,959,657	121,447	\$33,546,899	\$48,925,994	\$82,472,893	24,511
2006-2007	\$176,490,215	\$126,399,369	\$302,889,584	105,353	\$27,414,529	\$23,052,463	\$50,466,991	23,091
2005-2006	\$207,744,231	\$115,261,186	\$323,005,417	97,876	\$24,257,352	\$25,307,056	\$49,564,408	18,667
2004-2005	\$151,969,925	\$108,802,371	\$260,772,296	95,227	\$32,475,755	\$25,933,731	\$58,409,486	17,729
2003-2004	\$128,174,367	\$71,603,323	\$199,777,690	91,903	\$23,128,776	\$29,149,098	\$52,277,874	18,183
2002-2003	\$192,573,183	\$118,677,722	\$311,250,905	88,259	\$17,877,664	\$24,671,474	\$42,549,138	19,588

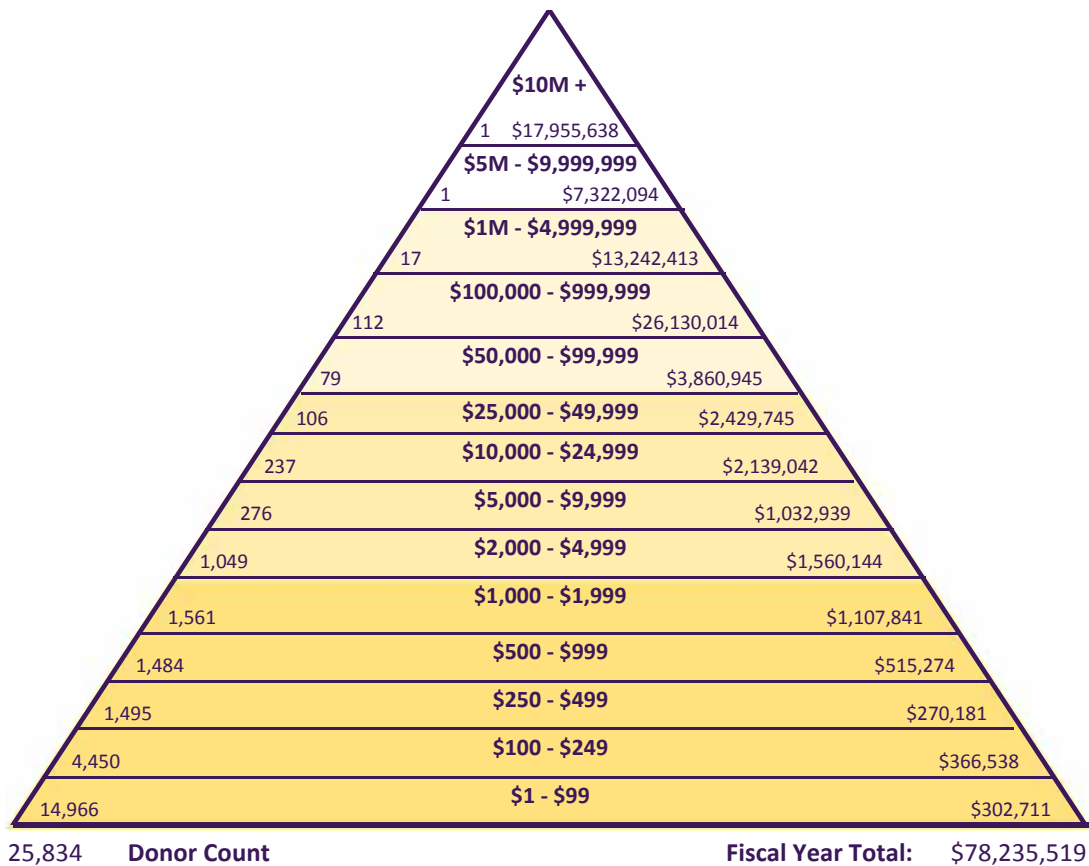
ANNUAL FUNDING THEME PROGRESS

Theme	Current Use	Year to Date	
		Endowment	Total
Student Support	\$1,274,000	\$2,405,031	\$3,679,032
Faculty Support	\$1,916,183	\$604,959	\$2,521,141
Program Support for Faculty and Students	\$61,526,496	\$2,354,119	\$63,880,615
Capital	\$1,907,495		\$1,907,495
Excellence Funds	\$5,908,834	\$338,402	\$6,247,236
Total	\$72,533,008	\$5,702,512	\$78,235,519

DEVELOPMENT ACTIVITY BY DONOR TYPE

Donor Type	Year to Date		Prior Year to Date		Prior Fiscal Year	
	Donors	Total	Donors ¹	Total	Donors	Total
Alumni	12,150	\$6,741,558	11,649	\$4,545,537	48,671	\$48,006,717
Corporations	657	\$9,279,102	586	\$11,807,828	2,568	\$48,099,904
Family Foundations	39	\$2,379,606	35	\$1,332,921	161	\$16,071,226
Foundations	145	\$33,350,100	147	\$32,666,805	446	\$97,547,429
Non-Alumni	12,677	\$6,388,872	12,791	\$6,206,825	60,669	\$49,015,743
Organizations	166	\$20,096,281	168	\$26,901,500	599	\$75,896,655
Total	25,834	\$78,235,519	25,376	\$83,461,416	113,114	\$334,637,675

DEVELOPMENT ACTIVITY PYRAMID



¹ 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.

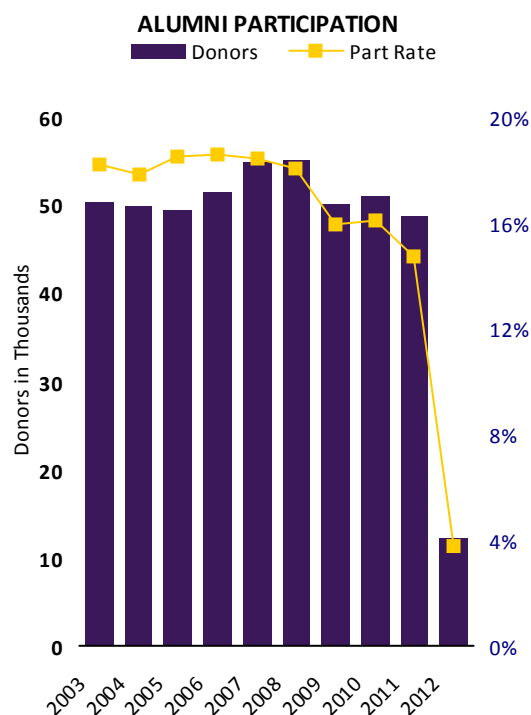
ANNUAL PROGRESS BY GIVING LEVEL

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +					\$17,955,638		\$17,955,638
\$5M - \$9,999,999						\$7,322,094	\$7,322,094
\$1M - \$4,999,999	\$1,001,760	\$1,023,552	\$1,153,193	\$1,050,000	\$6,569,165	\$2,444,743	\$13,242,413
\$100,000 - \$999,999	\$1,724,520	\$2,252,288	\$774,613	\$5,841,164	\$6,963,583	\$8,573,846	\$26,130,014
\$50,000 - \$99,999	\$600,133	\$698,479	\$140,000	\$523,629	\$1,229,877	\$668,827	\$3,860,945
\$25,000 - \$49,999	\$302,071	\$511,763	\$156,625	\$491,068	\$362,161	\$606,056	\$2,429,745
\$10,000 - \$24,999	\$549,156	\$368,792	\$97,485	\$662,953	\$157,697	\$302,959	\$2,139,042
\$5,000 - \$9,999	\$368,036	\$193,989	\$44,920	\$284,994	\$32,750	\$108,250	\$1,032,939
\$2,000 - \$4,999	\$786,774	\$418,351	\$9,000	\$248,187	\$50,569	\$47,264	\$1,560,144
\$1,000 - \$1,999	\$550,457	\$414,036	\$3,000	\$109,173	\$17,900	\$13,275	\$1,107,841
\$500 - \$999	\$296,410	\$173,437	\$600	\$34,173	\$6,150	\$4,504	\$515,274
\$250 - \$499	\$131,533	\$117,123		\$16,206	\$2,380	\$2,939	\$270,181
\$100 - \$249	\$228,824	\$120,561	\$100	\$14,342	\$1,757	\$953	\$366,538
\$1 - \$99	\$201,886	\$96,501	\$70	\$3,212	\$472	\$570	\$302,711
Total	\$6,741,558	\$6,388,872	\$2,379,606	\$9,279,102	\$33,350,100	\$20,096,281	\$78,235,519

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +					1		1
\$5M - \$9,999,999						1	1
\$1M - \$4,999,999	2	7	1	1	4	2	17
\$100,000 - \$999,999	17	21	5	24	23	22	112
\$50,000 - \$99,999	17	24	2	9	17	10	79
\$25,000 - \$49,999	18	39	5	15	12	17	106
\$10,000 - \$24,999	66	84	7	51	11	18	237
\$5,000 - \$9,999	103	90	7	54	6	16	276
\$2,000 - \$4,999	510	403	6	94	18	18	1,049
\$1,000 - \$1,999	720	718	3	95	15	10	1,561
\$500 - \$999	747	654	1	63	9	10	1,484
\$250 - \$499	648	776		54	7	10	1,495
\$100 - \$249	2,302	2,011	1	115	13	8	4,450
\$1 - \$99	7,000	7,850	1	82	9	24	14,966
Total	12,150	12,677	39	657	145	166	25,834

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	19,296	673	3.49%	308	1.60%
Arts and Sciences	148,325	5,598	3.77%	1,867	1.26%
Business School	38,811	1,823	4.70%	870	2.24%
Built Environments	8,372	282	3.37%	59	0.70%
Dentistry	4,598	315	6.85%	203	4.41%
Education	17,578	750	4.27%	63	0.36%
Engineering	33,380	1,133	3.39%	610	1.83%
Environment	11,457	344	3.00%	112	0.98%
Evans School of Public Affairs	2,773	157	5.66%	45	1.62%
Interdisc. Grad. Programs	2,239	95	4.24%		
Interschool Programs	2,406	146	6.07%		
Information School	4,882	385	7.89%	296	6.06%
Law	8,074	355	4.40%	142	1.76%
School of Nursing	8,737	372	4.26%	127	1.45%
Pharmacy	3,705	242	6.53%	166	4.48%
Public Health	4,728	166	3.51%	20	0.42%
Social Work	6,543	226	3.45%	57	0.87%
UW Bothell	8,323	260	3.12%	55	0.66%
UW Tacoma	9,481	224	2.36%	79	0.83%
Unspecified	9,066	318	3.51%		
ALL UW TOTAL	324,647	12,150	3.74%		



ALUMNI PARTICIPATION BY CONSTITUENCY (PREVIOUS FISCAL YEAR)

Area	Solicitable	To UW				To Unit			
		Year to Date		FY Total		Year to Date		FY Total	
		Donors ¹	Part Rate	Donors	Part Rate	Donors	Part Rate	Donors	PFY Final
UW Medicine	19,185	730	3.81%	3,576	18.64%	362	1.89%	2,273	11.85%
Arts and Sciences	151,787	5,279	3.48%	20,278	13.36%	1,206	0.79%	5,558	3.66%
Business School	39,725	1,681	4.23%	7,407	18.65%	463	1.17%	2,384	6.00%
Built Environments	8,496	293	3.45%	1,328	15.63%	70	0.82%	521	6.13%
Dentistry	4,650	269	5.78%	1,116	24.00%	129	2.77%	601	12.92%
Education	18,092	724	4.00%	3,180	17.58%	70	0.39%	542	3.00%
Engineering	33,868	1,085	3.20%	4,885	14.42%	407	1.20%	2,235	6.60%
Environment	11,635	358	3.08%	1,711	14.71%	119	1.02%	746	6.41%
Evans School of Public Affairs	2,747	133	4.84%	561	20.42%	23	0.84%	193	7.03%
Interdisc. Grad. Programs	2,200	74	3.36%	323	14.68%				
Interdisc. Undergrad. Programs									
Interschool Programs	2,459	147	5.98%	503	20.46%				
Information School	4,950	348	7.03%	981	19.82%	179	3.62%	464	9.37%
Law	8,186	359	4.39%	1,701	20.78%	128	1.56%	891	10.88%
School of Nursing	8,909	337	3.78%	1,709	19.18%	98	1.10%	883	9.91%
Pharmacy	3,690	230	6.23%	947	25.66%	161	4.36%	689	18.67%
Public Health	4,683	171	3.65%	736	15.72%	27	0.58%	234	5.00%
Social Work	6,753	205	3.04%	971	14.38%	40	0.59%	465	6.89%
UW Bothell	8,069	233	2.89%	803	9.95%	46	0.57%	271	3.36%
UW Tacoma	9,452	247	2.61%	772	8.17%	116	1.23%	373	3.95%
Unspecified	9,472	310	3.27%	1,540	16.26%				
ALL UW TOTAL	330,521	11,588	3.51%	48,671	14.73%				

¹ 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 ¹	Donors	Members	Non Members
UW Medicine	19,296	1,792	213	11.89%	2.06%
Arts and Sciences	148,325	18,153	2,044	11.26%	1.83%
Business School	38,811	6,946	902	12.99%	1.85%
Built Environments	8,372	1,085	108	9.95%	1.48%
Dentistry	4,598	966	151	15.63%	3.66%
Education	17,578	2,768	313	11.31%	1.77%
Engineering	33,380	4,349	396	9.11%	1.89%
Environment	11,457	1,382	108	7.81%	1.69%
Evans School of Public Affairs	2,773	315	45	14.29%	3.17%
Interdisc. Grad. Programs	2,239	204	24	11.76%	2.36%
Interdisc. Undergrad. Progra					
Interscholar Programs	2,406	531	66	12.43%	2.93%
Information School	4,882	736	132	17.93%	5.11%
Law	8,074	995	124	12.46%	2.64%
School of Nursing	8,737	1,280	132	10.31%	2.39%
Pharmacy	3,705	610	104	17.05%	3.65%
Public Health	4,728	374	36	9.63%	2.20%
Social Work	6,543	560	58	10.36%	2.12%
UW Bothell	8,323	705	44	6.24%	1.56%
UW Tacoma	9,481	620	26	4.19%	1.26%
Unspecified	9,066	1,803	170	9.43%	1.12%
Non-Alumni		7,174	1,592	22.19%	
Total	324,647	51,059	6,237	12.22%	

Alumni Activity

1 in 3 registrants at 2011 UW events were UWAA members
1 in 2 registrants at 2011 UW events were UW donors
7 in 10 registrants at 2011 UW events were Solicitable Alumni
1 in 50 UWAA members attended a 2011 UW event
1 in 3 2010-2011 Football/Basketball season ticket holders were UWAA members
3 in 5 UWAA members were 2010-2011 Football/Basketball season ticket holders

Top 10 Membership by Class Year

Class Year	Part. Rate	Class Year	Population
1955	22.88%	2011	1,358
1953	21.70%	1971	1,104
1954	21.60%	1973	1,066
1946	21.41%	1974	1,042
1959	21.38%	1970	1,030
1956	20.90%	1972	1,010
1950	20.27%	1976	991
1958	20.22%	1975	981
1957	20.12%	1977	931
1952	20.01%	1968	889

Activity Participation - Rolling 3 Year Total ³

School ²	Participants	Part. Donors	% Donors	Alum Non-Part.	Alum Non-Par Donor	% Non-Part Donor
Intercollegiate Athletics	1,831	1,791	97.82%			
UW Medicine	4,428	3,139	70.89%	21,185	3,003	14.18%
Arts and Sciences	4,901	3,120	63.66%	19,886	1,959	9.85%
Built Environments	1,146	680	59.34%	2,515	262	10.42%
Business School	3,969	1,761	44.37%	8,272	1,107	13.38%
Dentistry	1,945	764	39.28%	2,511	356	14.18%
Education	1,751	387	22.10%	13,687	691	5.05%
Engineering	1,775	979	55.15%	10,056	1,190	11.83%
Environment	990	619	62.53%	4,250	501	11.79%
Evans School of Public Affairs	929	311	33.48%	2,197	265	12.06%
Graduate School	378	148	39.15%	2,155	4	0.19%
Information School	753	247	32.80%	4,092	596	14.57%
Law	2,232	858	38.44%	6,498	959	14.76%
Libraries	1,235	1,195	96.76%			
Nursing	743	386	51.95%	3,767	581	15.42%
Pharmacy	319	231	72.41%	1,597	399	24.98%
Public Health	623	216	34.67%	3,400	322	9.47%
Social Work	805	277	34.41%	4,915	526	10.70%
UW Bothell	436	246	56.42%	1,402	106	7.56%
UW Tacoma	307	215	70.03%	1,691	171	10.11%

¹ Members include paid Annual Members, Lifetime Members, and TPC Level Donors

² 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.

³ 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 –September, 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 report.

Attachments

Grant and Contract Awards Summary for September 2011

Grant and Contract Awards Summary

to

The Board of Regents

of the

University of Washington

for

September 2011

Office of Research

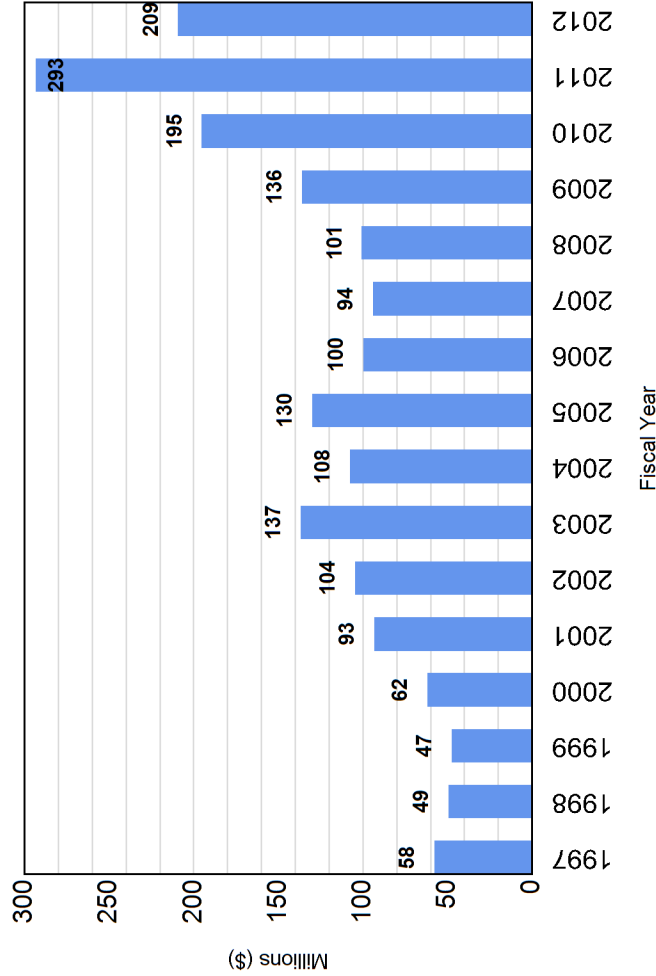
Office of Sponsored Programs

The numbers provided in this report are subject to adjustment at the time that the Annual Report of Sponsored Activity is published.
The changes would reflect modifications and additions to existing awards.

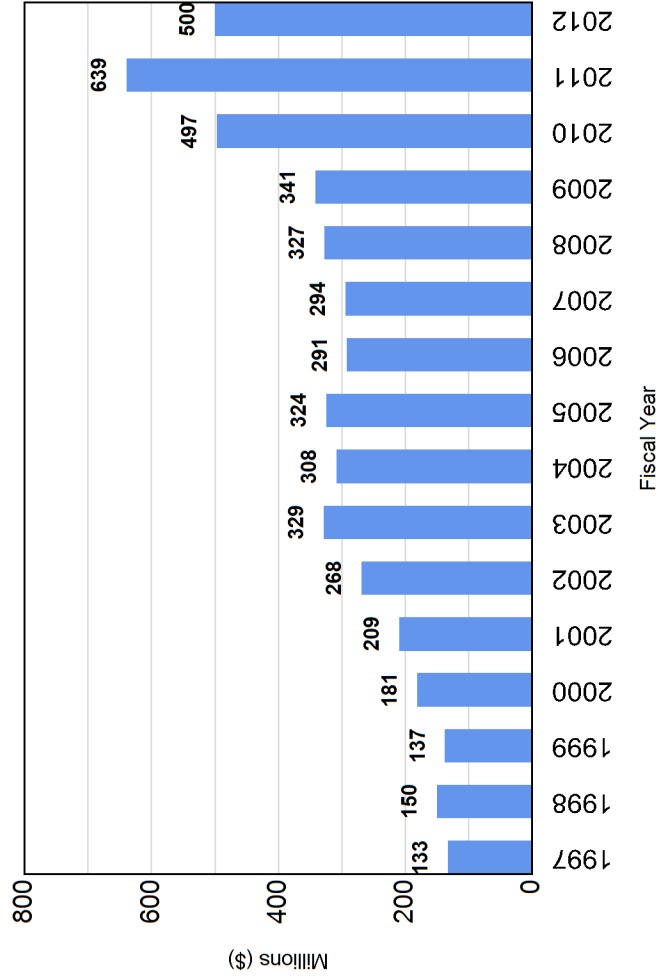
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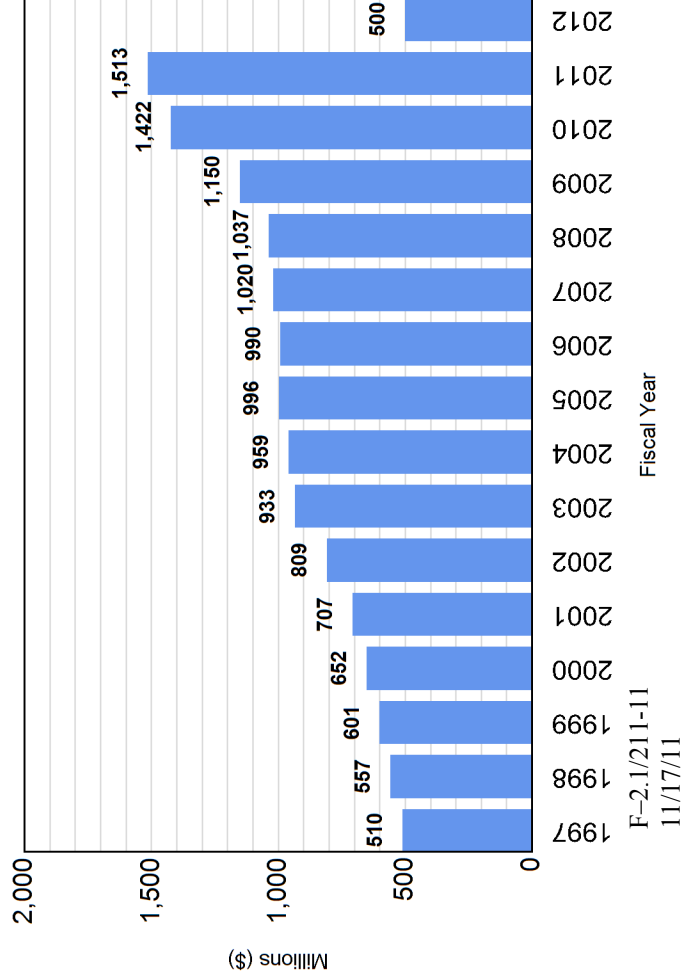
September Only Comparison of Grant & Contract Awards



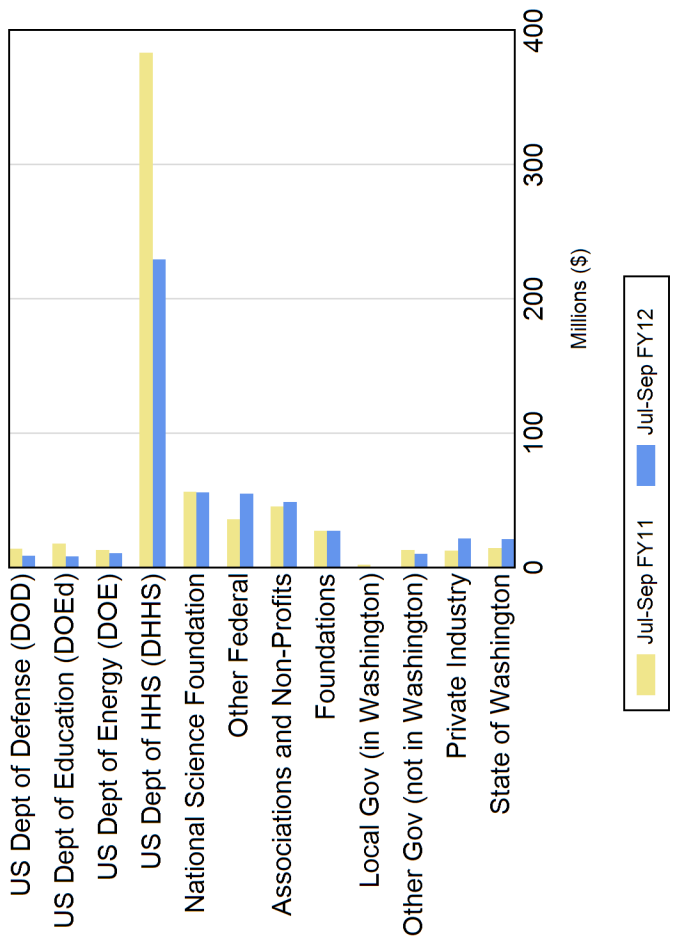
Fiscal Year to Date Comparison of Grant & Contract Awards



Complete Fiscal Year Comparison of Grant & Contract Awards



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



Summary of Grant and Contract Awards

Fiscal Year 2011-2012

Month	RESEARCH AND OTHER		TRAINING		Total Grants and Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 72,776,120	\$ 30,196,740	\$ 7,642,882	\$ 2,388,481	\$ 113,004,200
August	\$ 127,093,600	\$ 38,322,890	\$ 11,366,250	\$ 954,419	\$ 177,737,200
September	\$ 142,422,700	\$ 57,708,360	\$ 7,741,284	\$ 1,267,491	\$ 209,139,900
FY12 to Date	\$342,292,509	\$126,228,000	\$26,750,411	\$4,610,391	\$499,881,311
FY11 to Date	\$448,674,998	\$108,681,275	\$73,302,031	\$7,944,992	\$638,603,296
Over (Under) Previous Year	(\$106,382,489)	\$17,546,725	(\$46,551,620)	(\$3,334,601)	(\$138,721,984)

Comparison of Grant and Contract Awards by Agency

Fiscal Years 2010-2011 and 2011-2012

Agency	Jul-Sep FY11	Jul-Sep FY12
US Department of Defense (DOD)	\$ 14,355,601	\$ 9,072,893
US Department of Education (DOEd)	\$ 18,192,941	\$ 8,359,176
US Department of Energy (DOE)	\$ 13,175,461	\$ 10,911,726
US Department of Health and Human Services (DHHS)	\$ 383,495,805	\$ 229,429,767
National Science Foundation (NSF)	\$ 56,454,212	\$ 56,019,130
Other Federal	\$ 36,303,009	\$ 55,250,229
Subtotal for Federal :	\$ 521,977,029	\$ 369,042,920
Associations and Non-Profits	\$ 45,575,102	\$ 49,165,363
Foundations	\$ 27,476,227	\$ 27,694,910
Local Government (in Washington)	\$ 2,375,287	\$ 174,821
Other Government (not in Washington)	\$ 13,451,908	\$ 10,599,107
Private Industry	\$ 12,789,692	\$ 21,640,509
State of Washington	\$ 14,958,050	\$ 21,563,681
Subtotal for Non-Federal :	\$ 116,626,267	\$ 130,838,391
Grand Total :	\$ 638,603,296	\$ 499,881,311
Amount of Increase (Decrease) :		(\$ 138,721,984)
Percent of Increase (Decrease) :		(21.7 %)

Comparison of Grant and Contract Awards by School/College

Fiscal Years 2010-2011 and 2011-2012

School/College	Jul-Sep FY11	Jul-Sep FY12
Upper Campus		
Architecture and Urban Planning	\$ 1,595,904	\$ 95,500
Arts and Sciences	\$ 36,491,041	\$ 32,903,796
College of the Environment	\$ 42,426,436	\$ 74,708,416
Director of Libraries	\$ 113,381	\$ 5,336,571
Education	\$ 5,800,431	\$ 9,233,726
Educational Outreach	\$ 75,000	\$ 50,000
Engineering	\$ 46,168,430	\$ 42,362,521
Evans School of Public Affairs	\$ 1,270,069	\$ 1,058,851
Executive Vice President		\$ 19,981
Foster School of Business	\$ 894,700	\$ 275,043
Graduate School	\$ 640,473	\$ 2,599,999
Information School	\$ 949,038	\$ 2,130,529
Law	\$ 1,380,616	\$ 3,011,758
Office of Research	\$ 26,968,323	\$ 17,770,134
Provost		\$ 29,468
Social Work	\$ 12,628,552	\$ 6,559,840
Undergraduate Education	\$ 341,438	\$ 57,475
VP Minority Affairs	\$ 6,597,431	\$ 3,787,795
Subtotal :	\$ 184,341,263	\$ 201,991,404
Health Sciences		
Dentistry	\$ 1,740,249	\$ 1,318,137
Medicine	\$ 345,341,646	\$ 227,087,192
Nursing	\$ 10,550,875	\$ 6,130,009
Pharmacy	\$ 6,371,574	\$ 5,255,383
Public Health	\$ 77,497,536	\$ 30,445,926
Subtotal :	\$ 441,501,879	\$ 270,236,648
Special Programs		
Alcohol and Drug Abuse Institute	\$ 2,601,975	\$ 2,003,448
CHDD Administration	\$ 1,327,618	\$ 5,941,003
Regional Primate Center	\$ 6,553,080	\$ 17,561,943
Subtotal :	\$ 10,482,673	\$ 25,506,394
Other UW Campuses		
Bothell	\$ 1,197,891	\$ 1,782,817
Tacoma	\$ 1,079,589	\$ 364,049
Subtotal :	\$ 2,277,480	\$ 2,146,866
Grand Total :	\$ 638,603,296	\$ 499,881,311

Summary of Grant Awards**Fiscal Year 2011-2012***Excluding private awards from Foundations, Industry, Associations and Others*

Month	RESEARCH AND OTHER		TRAINING		Total Grants
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 71,450,980	\$ 5,019,858	\$ 7,510,674	\$ 126,824	\$ 84,108,340
August	\$ 120,682,900	\$ 2,948,988	\$ 11,366,250	\$ 314,640	\$ 135,312,800
September	\$ 138,462,000	\$ 9,825,795	\$ 7,721,284	\$ 172,830	\$ 156,181,900
Year to Date	\$ 330,595,900	\$ 17,794,640	\$ 26,598,200	\$ 614,294	\$ 375,603,100

Summary of Grant Awards

Fiscal Year 2011-2012

Private awards from Foundations, Industry, Associations and Others

Month	RESEARCH AND OTHER	TRAINING	Total Grants
July	\$ 21,192,800	\$ 165,382	\$ 21,358,180
August	\$ 20,388,870	\$ 425,819	\$ 20,814,690
September	\$ 37,401,440	\$ 1,061,446	\$ 38,462,890
Year to Date	\$ 78,983,100	\$ 1,652,647	\$ 80,635,750

Summary of Contract Awards

Fiscal Year 2011-2012

Month	RESEARCH AND OTHER		TRAINING		Total Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 1,325,143	\$ 3,984,090	\$ 132,208	\$ 2,096,275	\$ 7,537,716
August	\$ 6,410,709	\$ 14,985,040	\$ 0	\$ 213,960	\$ 21,609,700
September	\$ 3,960,724	\$ 10,481,130	\$ 20,000	\$ 33,215	\$ 14,495,070
Year to Date	\$ 11,696,580	\$ 29,450,250	\$ 152,208	\$ 2,343,450	\$ 43,642,490

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

September 2011

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

**Office of Research
Office of Sponsored Programs**

Detail of Public Grant Awards

Federal

US Department of Defense (DOD)

US Department of Defense (DOD)

To: Steven VanNoy, Asst Professor \$ 1,108,082
 Psychiatry
 For: Development and Validation of a Theory Based Screening Process
 for Suicide Risk
 Eff: 6/24/2011 Classified: No

Total for US Department of Defense (DOD): \$ 1,108,082

Total for US Department of Defense (DOD): \$ 1,108,082

US Department of Education (DOEd)

US Department of Education (DOEd)

To: Loueta D. Johnson, Director \$ 1,846,187
 V Pres/V Prov Omad
 For: Two Valleys One Vision GEAR UP program 2006-2012
 Eff: 9/29/2011 Classified: No

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

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

US Department of Energy (DOE)

US Department of Energy (DOE)

To: Thomas Jarboe, Professor \$ 1,045,926
 Aero And Astro
 For: Helicity Injected Torus (HIT) Current Drive Program
 Eff: 6/1/2011 Classified: No

Total for US Department of Energy (DOE): \$ 1,045,926

Total for US Department of Energy (DOE): \$ 1,045,926

US Department of Health and Human Services (DHHS)

Administration for Children and Families (ACF)

To: Susan Sandall, Associate Professor \$ 8,000,000
 Dept Of Education
 For: National Center on Quality Teaching and Learning
 Eff: 9/15/2011 Classified: No

Total for Administration for Children and Families (ACF): \$ 8,000,000

Centers for Disease Control and Prevention (CDC)

To: Scott Barnhart, Professor \$ 1,940,000
 Global Health
 For: Establishing and Strengthening CoE's as Regional Health System
 Hubs
 Eff: 9/30/2011 Classified: No

Total for Centers for Disease Control and Prevention (CDC): \$ 1,940,000

Detail of Public Grant Awards

Federal

US Department of Health and Human Services (DHHS)

National Institutes of Health (NIH)

To:	Richard Kronmal, Professor Biostatistics	\$ 1,002,936
For:	CVD and Metabolic Complications of HIV/AIDS Data Coordinating Center	
Eff:	7/1/2011	Classified: No
To:	Charles E. Murry, Professor Pathology	\$ 2,490,839
For:	STEM CELLS AND CARDIOVASCULAR REPAIR	
Eff:	6/1/2011	Classified: No
To:	Donald L. Patrick, Professor Health Services/Main	\$ 1,487,276
For:	Patient reported outcomes in routine clinical care of patients infected with HIV	
Eff:	8/1/2011	Classified: No
To:	John Stamatoyannopoulos, Associate Professor Genome Sciences	\$ 1,306,200
For:	Northwest Reference Epigenome Mapping Center (Roadmap Supplement)	
Eff:	7/1/2011	Classified: No
To:	Thomas Montine, Acting Chair Pathology	\$ 1,684,578
For:	Pacific Northwest Udall Center	
Eff:	8/1/2011	Classified: No

National Center for Research Resources (NCRR)

To:	Mary Disis, Professor Department Of Medicine	\$ 9,615,754
For:	Institute of Translational Health Sciences (ITHS)	
Eff:	6/1/2011	Classified: No
	<i>Total for National Center for Research Resources (NCRR):</i>	<i>\$ 9,615,754</i>

National Human Genome Research Institute (NHGRI)

To:	John Stamatoyannopoulos, Assistant Professor Genome Sciences	\$ 2,615,448
For:	A Comprehensive catalog of human DNaseI hypersensitive sites	
Eff:	7/1/2011	Classified: No
	<i>Total for National Human Genome Research Institute (NHGRI):</i>	<i>\$ 2,615,448</i>

Detail of Public Grant Awards

Federal

US Department of Health and Human Services (DHHS)

National Institutes of Health (NIH)

National Institute of Child Health and Human Development (NICHD)

To: Michael Guralnick, Director \$ 2,813,072
Chdd Administration

For: Fragile X Research Center 2011-2012

Eff: 7/1/2011 Classified: No

To: Bryan King, Professor \$ 2,157,213
Psychiatry

For: UW Autism Center of Excellence

Eff: 8/1/2011 Classified: No

Total for National Institute of Child Health and Human Development (NICHD): \$ 4,970,285

National Institute on Drug Abuse (NIDA)

To: Dennis Donovan, Director \$ 1,138,013
Alc/Drug Abuse Instit

For: Clinical Trials Network: Pacific Northwest Node

Eff: 9/1/2011 Classified: No

Total for National Institute on Drug Abuse (NIDA): \$ 1,138,013

Total for National Institutes of Health (NIH): \$ 26,311,329

Total for US Department of Health and Human Services (DHHS): \$ 36,251,329

National Science Foundation (NSF)

National Science Foundation (NSF)

To: Craig Lee, Apl-principal Oceanographer \$ 1,034,410
Applied Physics Lab

For: The Arctic Observing Network at Critical Gateways--A Sustained
Observing System at Davis Strait

Eff: 7/1/2010 Classified: No

To: Gaetano Borriello, Professor \$ 2,000,926
Computer Science & Eng

For: SHB:Large:Collaborative Research:From the Ground Up -- Mobile
Tools for Grass Roots Programs in Public Health

Eff: 9/1/2011 Classified: No

To: Karen Goldberg, Professor \$ 3,000,000
Chemistry

For: Center for Enabling New Technologies Through Catalysis Year 5

Eff: 8/1/2007 Classified: No

Total for National Science Foundation (NSF): \$ 6,035,336

Total for National Science Foundation (NSF): \$ 6,035,336

Detail of Public Grant Awards

Federal

Other Federal

Environmental Protection Agency (EPA)

To: Elaine Faustman, Professor \$ 1,103,599
 Enviro & Occup Health

For: Center for Child Environmental Health Risks Research (EPA)
 Eff: 9/25/2009 Classified: No

To: Joel Kaufman, Professor \$ 2,448,847
 Enviro & Occup Health

For: Prospective Study of Atherosclerosis, Clinical Cardiovascular
 Disease, and Long-Term Expsoure to Ambient Particulate Matter
 and Other Air Pollutants in a Mult-Ethnic Cohort
 Eff: 8/1/2004 Classified: No

Total for Environmental Protection Agency (EPA): \$ 3,552,446

National Oceanic and Atmospheric Administration (NOAA)

To: Thomas Ackerman, Director \$ 7,847,444
 Jisao Main

For: Joint Institute for the Study of the Atmosphere and Ocean Tasks I &
 II
 Eff: 7/1/2010 Classified: No

To: Stephen Riser, Professor \$ 3,046,768
 Oceanography

For: Argo: Global Observations for Understanding and Prediction of
 Climate Variability
 Eff: 7/1/2010 Classified: No

Total for National Oceanic and Atmospheric Administration (NOAA): \$ 10,894,212

US Department of Agriculture (USDA)

To: Richard Gustafson, Professor \$ 15,600,000
 Sch/Forest Resources

For: System for Advanced Biofuels Production from Woody Biomass in
 the Pacific Northwest
 Eff: 9/1/2011 Classified: No

Total for US Department of Agriculture (USDA): \$ 15,600,000

US Department of State

To: Susan Whiting, Adjunct Associate Professor \$ 1,492,000
 Law

For: Mediating in the Countryside: Transparent and Accountable Dispute
 Resolution in China
 Eff: 9/16/2011 Classified: No

To: Jonathan Eddy, Professor \$ 1,221,706
 Law

For: Afghan Legal Educators II additional supplemental funding
 Eff: 10/1/2011 Classified: No

Total for US Department of State: \$ 2,713,706

Total for Other Federal: \$ 32,760,364

Total for Federal: \$ 79,047,224

Detail of Public Grant Awards

State of Washington

Washington State Department of Services for the Blind

To: Kurt Lewis Johnson, Professor \$ 1,520,000
Rehabilitation Medicin
For: Older Blind Independent Living Interagency Agreement (ILOB 2012-
2013)
Eff: 10/1/2011 Classified: No

Total for Washington State Department of Services for the Blind: \$ 1,520,000

Washington State Life Sciences Discovery Fund Authority (LSDFA)

To: Michael Schwartz, Professor \$ 3,994,222
Department Of Medicine
For: A Program for Cell-Based Diabetes Therapy
Eff: 9/1/2011 Classified: No

Total for Washington State Life Sciences Discovery Fund Authority (LSDFA): \$ 3,994,222

Total for State of Washington: \$ 5,514,222

Total Public Grants: \$ 84,561,446

Detail of Private Grant Awards

Associations and Non-Profits

Fred Hutchinson Cancer Research Center (FHCR)

To: Janine Maenza, Clinical Assistant Professor-salaried \$ 2,810,052
Department Of Medicine
For: HVTN Core Travel Budget 2011-2012
Eff: 6/1/2011 Classified: No

Total for Fred Hutchinson Cancer Research Center (FHCR): \$ 2,810,052

Total for Associations and Non-Profits: \$ 2,810,052

Foundations

Gordon and Betty Moore Foundation

To: Keiko Torii, Professor \$ 1,666,665
Biology
For: Investigating dynamics of cell-cell interactions during plant epidermal
tissue development
Eff: 9/16/2011 Classified: No

Total for Gordon and Betty Moore Foundation: \$ 1,666,665

Total for Foundations: \$ 1,666,665

Total Private Grants: \$ 4,476,717

Detail of Contract Awards

Associations and Non-Profits

Consortium for Ocean Leadership, Inc.

To:	John R. Delaney, Professor School Of Oceanography	\$ 10,659,040
For:	Ocean Observatories Initiative: Regional Scale Nodes	
Eff:	9/1/2009	Classified: No
To:	John R. Delaney, Professor School Of Oceanography	\$ 1,991,626
For:	Ocean Observatories Initiative: Regional Scale Nodes	
Eff:	9/1/2009	Classified: No
To:	John R. Delaney, Professor School Of Oceanography	\$ 2,767,118
For:	Ocean Observatories Initiative: Regional Scale Nodes	
Eff:	1/1/2010	Classified: No
Total for Consortium for Ocean Leadership, Inc.:		\$ 15,417,784

Health Alliance International (HAI)

To:	King Holmes, Chair Global Health	\$ 1,480,958
For:	Mozambique Health Committee 7	
Eff:	5/1/1992	Classified: No
Total for Health Alliance International (HAI):		\$ 1,480,958

Total for Associations and Non-Profits: \$ 16,898,742

Private Industry

Intel Corporation

To:	Dieter Fox, Associate Professor Computer Science & Eng	\$ 5,100,000
For:	ISTC Research Agreement	
Eff:	9/1/2011	Classified: No
Total for Intel Corporation:		\$ 5,100,000

Total for Private Industry: \$ 5,100,000

Total Contracts: \$ 21,998,742

Grand Total for all Awards \$ 111,036,905

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 5EE 5SE Nursing Unit Renovation Project No. 203416
Actions Reported: Select Architect/Adopt Budget

On April 15, 2011, an architectural agreement was awarded to Buffalo Design, Inc., for the UWMC 5EE 5SE Nursing Unit Renovation project under their existing Master Term for Architectural Services contract. The agreement amount is \$94,509 for basic services versus a budget value of \$204,293 for design consultants. The balance of the design budget is intended for the previously completed predesign and the following consultant services: hazardous materials, testing and balancing, permit expedition, commissioning, and a testing engineer.

Buffalo Design, Inc. is a local Seattle firm established in 1986. The firm has an extensive history of successful design projects at the University of Washington Medical Center and Harborview Medical Center, including the UWMC MICC ADA toilet conversion, UWMC Cart Washer replacement, UWMC 8SE Infusion Clinic, HMC Burn Treatment Hydrotherapy Renovation, and the HMC Transfusion Support Services. They also have a broad range of successful project types at other regional hospitals.

The UWMC 5EE 5SE Nursing Unit is the first project of a phased multi project plan to improve the family wait area experience on 5EE and 5SE, renovate the clinical integration center on 5EE and 5SE, renovate observation stations on 5EE, 5NN and 5SE, create multidisciplinary spaces for teams, consolidate sleep areas, provide additional offices for staff, relocation of a staff break and locker room and improve equipment supply organization. Design is expected to be complete by the end of October 2011 with construction beginning in December, and lasting through November 2012.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 2)

The project budget was originally established in April 2011 for \$889,783. The Construction Document phase estimate forecasted a project cost of \$1,177,000 and a budget adjustment was completed on October 17, 2011. Funding of \$1,177,000 is provided from the University of Washington Medical Center. No donor funding is being contemplated nor are any naming opportunities envisioned.

Budget Summary:	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$177,870	\$204,293
Total Construction Cost*	\$624,150	\$842,511
Other Costs	\$18,611	\$29,925
Project Administration	\$79,152	\$100,271
Total Project Budget	\$899,783	\$1,177,000

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

2. Campus Wide Bike Shelters and Enclosures Project No. 203480 Action Reported: Establish Budget

On August 22, 2011, the Capital Projects Office established the budget for the Campus Wide Bike Shelters and Enclosures project. Consultant selection is in progress.

The project will develop a model to predict bicycle parking demand, provide guidance in siting and develop a prototypical design for both the shelter and enclosure that would be adaptable to various campus locations. The goal is to install 30+ shelters and 20+ enclosures campus wide by the end of 2012. The actual number of shelters and enclosures to be installed will be determined at a later date once construction costs are confirmed. Design is expected to complete by March 2012 with construction beginning in June, and lasting through December 2012.

The project budget is established at \$1,500,000. Funding of \$1,500,000 is provided by Transportation Services. No donor funding is being contemplated nor are any naming opportunities envisioned.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 3)

Budget Summary	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$247,189	\$247,189
Total Construction Cost	\$1,111,644	\$1,111,644
Other Costs	\$43,993	\$43,993
Project Administration	\$97,174	\$97,174
Total Project Budget	\$1,500,000	\$1,500,000

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

3. UW High Voltage Infrastructure Improvement Project No. 203729 Actions Reported: Select Architect/Adopt Budget

On October 7, 2011, an engineering agreement was awarded to Affiliated Engineers Inc., for the UW High Voltage Infrastructure Improvement project. In July 2011, the Capital Projects Office advertised for firms interested in providing engineering services. Seven firms responded to the Request for Qualifications for this project and four firms were interviewed on August 2, 2011: Affiliated Engineers Inc., URS, Casne Engineering and Harris Group. The agreement amount is \$393,000 for basic services versus a budget value of \$512,230 for design consultants. The balance of the design budget is intended for hazardous materials consultant and testing engineer.

Affiliated Engineers Inc. (AEI) is a firm with experience working with the UW since 1990. AEI has a history going back eighty years, with a consulting practice that has steadily grown since 1927 from one location in Madison, Wisconsin. Nationally, AEI is a firm of over 500 engineers in ten offices, with over 50 staff in the Seattle area. In addition to the many projects they have worked on here at the Seattle campus they have also worked at both medical centers, as well as on other university infrastructure upgrades.

The High Voltage Infrastructure Improvement Project will support ongoing reliability of the Seattle campus power distribution system by replacing equipment based on capacity, age, hazardous materials considerations (e.g. PCB-containing transformers), and worker-safety issues. Feeder cables, switches, transformers, and related equipment will be replaced as needed in both the primary (normal power) distribution system and the emergency power distribution

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 4)

system. Design is expected to complete by March 2012 with construction beginning in May, and lasting through April 2013.

The project budget is established at \$4,365,000. Funding of \$4,365,000 is provided from the 2011-2013 State Capital Budget. No donor funding is being contemplated nor are any naming opportunities envisioned.

Budget Summary:	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$512,230	\$512,230
Total Construction Cost*	\$3,321,135	\$3,321,135
Other Costs	\$220,435	\$220,435
Project Administration	\$311,200	\$311,200
Total Project Budget	\$4,365,000	\$4,365,000

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

4. Classroom Support Services Classroom Improvements Project No. 203733 Actions Reported: Select Architect/Adopt Budget

On September 28, 2011, an architectural agreement was awarded to Hoshide Wanzer Williams Architects for the Classroom Support Services (CSS) Classroom Improvements project. In August 2011, the Capital Projects Office selected three firms: SHKS Architects, Hoshide Wanzer Williams Architects and ARC Architects via the Shared Procurement Portal and interviewed them on September 8, 2011. The agreement amount is \$127,155 for basic services versus a budget value of \$248,415 for design consultants. The balance of the design budget is intended for hazardous materials consultant, interior design and furniture consultant and audio/video (A/V) equipment design consultant.

Hoshide Wanzer Williams Architects has a long history working on projects for the University of Washington. Over the past thirteen years the firm has completed a total of 43 projects on the main campus, Magnuson Health Sciences Center, Harborview Medical Center and Friday Harbor Laboratories. Recent projects include renovations for the Department of Anesthesiology, Rehabilitation Medicine, and the Hitchcock Hall 132 Classroom.

The CSS Classroom Improvement project is a 16,000 SF remodel of 15 different classrooms, seminar rooms and auditoria across campus. These classrooms are

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 5)

located in five different buildings: Gould, Condon, Gowen, Miller and Thomson Halls. The proposed scope includes ADA barrier removal, new room finishes (paint and window coverings), new furniture, technology upgrades to existing A/V equipment and possibly new ceilings and lighting. Design is expected to be completed by January 2012 with construction beginning in April with all improvements scheduled to be completed in time for Fall Quarter 2012.

The project budget is established at \$2,597,000. Funding of \$2,597,000 is provided from the UW Undergraduate Academic Affairs Budget. No donor funding is being contemplated nor are any naming opportunities envisioned.

Budget Summary:	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$248,415	\$248,415
Total Construction Cost*	\$1,322,213	\$1,322,213
Other Costs	\$824,656	\$824,656
Project Administration	\$201,716	\$201,716
Total Project Budget	\$2,597,000	\$2,597,000

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

5. School of Medicine Magnuson Health Sciences F Wing Third Floor Office Remodel - Project No. 203788
Actions Reported: Select Architect and Establish Budget

On October 26, 2011, an architectural agreement was awarded to Perkins+Will for the Magnuson Health Sciences F Wing Third Floor Office Remodel project under their existing Master Term Agreement. The agreement amount is \$256,355 for basic services versus a budget value of \$480,060. The balance of the design budget is intended for hazardous materials consultant, audio video/electronic consultant, acoustical consultant, and interior furnishings consultant.

Perkins+Will is the 30+ employee Seattle office of a national recognized planning, architecture and interior design firm, with over 1,000 total employees. Founded in 1935, the national firm has developed particular experience in the design and construction of Higher Education Projects. Perkins+Will has experience at the University of Washington, having completed the design and Master Use Permit for the Education Outreach Building and Visitor Center, as well as the design work associated with HUB Renovation. The firm's national

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 6)

experience includes planning and design of over thirty College and University Student Centers totaling over 4,000,000 square feet.

This project will convert a series of vacant labs and various storage spaces on the third floor of the Magnuson Health Sciences Center F-Wing into new offices and conference rooms for the School of Public Health and the School of Medicine. Approximately 6,600 SF will be included in the remodel. Initial work for the consultant team will include refining the program as currently envisioned by the clients and validating construction costs. Design is expected to complete by June 2012 with construction beginning in August, and lasting through February 2013.

The project budget is established at \$3,300,000. Funding of \$2,900,000 is provided from the School of Medicine, \$400,000 is funded by the School of Public Health. No donor funding is being contemplated nor are any naming opportunities envisioned.

Budget Summary	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$480,060	\$480,060
Total Construction Cost*	\$2,498,701	\$2,498,701
Other Costs	\$85,674	\$85,674
Project Administration	\$235,565	\$235,565
Total Project Budget	\$3,300,000	\$3,300,000

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

REPORT OF ACTIONS TAKEN UNDER **SPECIFIC** DELEGATED AUTHORITY – CAPITAL PROJECT BUDGETS

1. Ethnic Cultural Center Expansion, Project No. 201725
Action Reported: Award Construction Contract

In July 2009, the Board of Regents approved delegation of authority to the President to award a construction contract for the Ethnic Cultural Center Expansion project, subject to the scope, budget, and funding remaining within 10% of the established budget. On September 19, 2011, under Specific Delegated Authority, the Capital Projects Office awarded a construction contract to Andersen Construction Company of Seattle, Washington, in the amount of

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 7)

\$8,619,000 for the Ethnic Cultural Center (ECC) Expansion, Project No. 201725. Seven bids were received for this project; the highest bid was \$9,696,400. The budgeted construction cost was \$8,600,000.

Andersen Construction is a general contractor that has recently successfully completed the Department of Otolaryngology Lobby Expansion for the University of Washington Medical Center. They are also currently working on the School of Nursing Administration Renovation and the South Campus Center Public Spaces projects. Andersen has been in business since 1950 and was the general contractor for the Safeco Tower (UW Tower).

This project will demolish the existing facility and construct a three-story building and half basement of approximately 28,000 square feet to address the need for additional student organization spaces, conference and meeting rooms, support spaces, computer room, performing arts practice room, and administrative space to meet current demand and reasonable future growth. The murals that were painted on the walls of the original building have been preserved and will be reinstalled in the new ECC. Site improvements will seek to create landscape open space and landscape buffers to adjacent University facilities and public right of ways.

The ECC program is temporarily located in Condon Hall during the construction phase. Construction of the new facility began on October 3, 2011. Construction is scheduled to be complete in November 2012 for occupancy at the start of Winter Quarter 2013.

The approved project budget is \$15,500,000 (does not include capitalized interest or cost of issuance). Funding for the project is from the following sources:

Internal Lending Program – Student Fees	\$14,550,000
Existing Bond Proceeds	<u>\$ 950,000</u>
	\$15,500,000

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 8)

Budget Summary	Current Approved Budget	Forecast Cost at Completion
Total Consultant Services	\$ 1,842,733	\$2,308,722
Total Construction Cost *	\$12,232,950	\$11,648,621
Other Costs	\$724,055	\$811,046
Project Administration	\$700,262	\$679,841
Total Project Budget	\$15,500,000	\$15,448,230

* Includes construction contract amount, contingencies and state sales tax

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

1. APEX Profiling Floats
Action Reported: Purchase of 91 Profiling Floats

Under delegated authority, the Director of Purchasing Services, or his designee, has issued a sole source purchase order to Teledyne for a quantity of 91 APEX Profiling Floats of various configurations, for the Oceanography Department.

The value of this order will be \$1,385,285 (tax exempt), including \$45,000 for shipping. Of the 91 floats, 30 have a 5% discount (\$21,600 savings) and 30 have a 6% discount (\$32,100 savings) for a total savings of \$53,700.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Appointment of Insurance Broker of RecordRECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents appoint Parker, Smith & Feek, Inc. as Insurance Broker of Record for a five year period effective December 1, 2011, with an option to extend for an additional five year period subject to satisfactory performance.

BACKGROUND

The University uses insurance brokers to obtain the best possible insurance coverage from worldwide insurance carriers and to consult on risk management and insurance matters. The Board of Regents has previously appointed Parker, Smith & Feek for all lines of coverage, including construction-related, property, casualty, and student health insurance. The firm's services and expertise has fully satisfied the University's requirements. The current appointment will expire on December 1, 2011.

On July 1, 2011, the Risk Management Office issued a Request for Proposal for firms interested in providing insurance brokerage service and related consulting services. Five firms responded and three of those firms were invited to be interviewed by a panel with representatives from the Office of Risk Management, Health Sciences Risk Management, the Benefits Office and the Real Estate Office. The interviews evaluated the firms' respective qualifications to provide insurance brokerage service and related consulting services as well as corporate integrity, compensation, and, in the case of the incumbent, Parker, Smith & Feek, opportunities to optimize services

The panel found that Parker, Smith & Feek has demonstrated its commitment to the University by its excellent service delivery, attention to quality and market-responsive compensation arrangements. Its regional depth and breadth of expertise is enhanced by its membership in Assurex, an international insurance brokerage consortium which has been useful in placing coverage for the University's global activities. It has worked diligently to develop new products and approaches for the student health plans and has provided uncompensated consulting services for the Real Estate Office, Oceanography, the Capital Projects Office, the UW Bothell and UW Tacoma student affairs offices, the Center for Commercialization, and the Benefits Office. It pays special attention to the emerging regulatory issues affecting the student health plans so that the

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Appointment of Insurance Broker of Record (continued p. 2)

University will remain in full compliance with all relevant laws. Its total compensation for the past fiscal year was \$1,052,660 on a premium volume of \$31M. For the property/casualty placements, this equates to an 8.8% rate, compared to the property/casualty industry average of 11.3%, and for the student benefits placements, a 1.7% rate compared to the benefits industry average of 2-3%.

It is the panel's recommendation that Parker, Smith & Feek be reappointed.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Investment Performance Report, First Quarter Fiscal Year 2012

For information only.

Attachment

UW Investment Performance Report, First Quarter Fiscal Year 2012

UNIVERSITY OF WASHINGTON

Investment Performance Report

First Quarter Fiscal Year 2012

As of September 30, 2011

Treasurer, Board of Regents
Treasury Office

Published November 2011

UNIVERSITY OF WASHINGTON
INVESTMENT PERFORMANCE REPORT
FIRST QUARTER FISCAL YEAR 2012

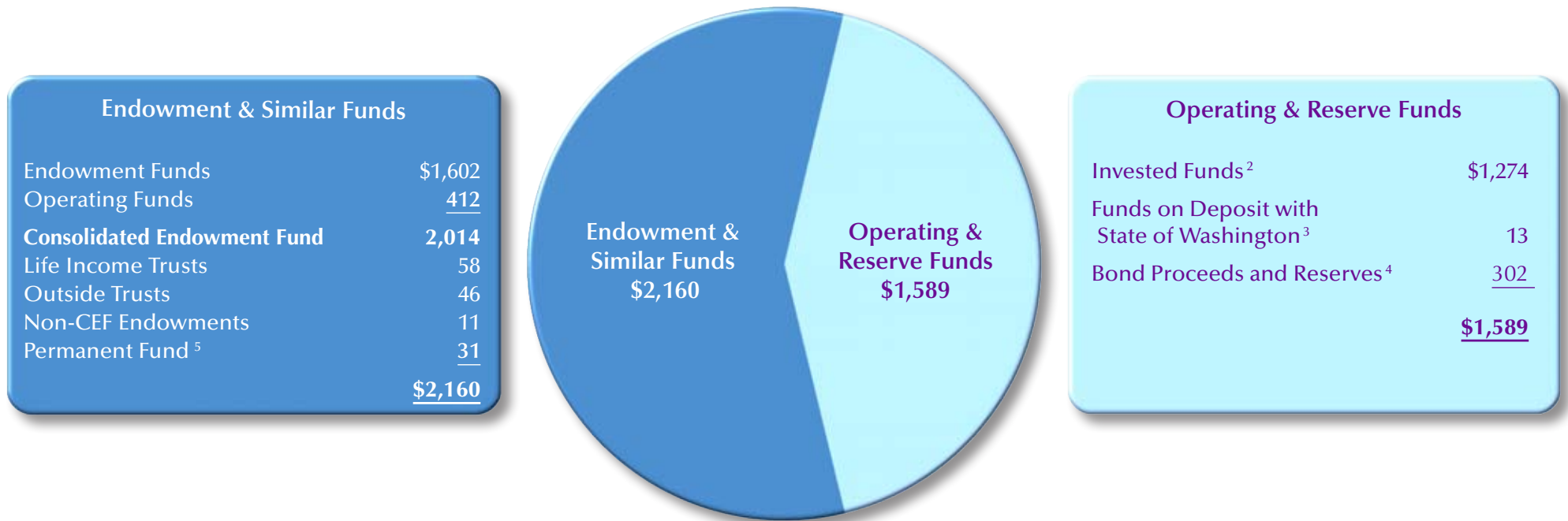
As of September 30, 2011

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TREASURY ASSETS¹ AS OF SEPTEMBER 30, 2011

\$ = millions



¹ Total market value of assets at 9/30/11: \$3.7 billion. Includes assets whose management falls under the auspices of the Finance & Audit Committee of the Board of Regents, excluding Metro Tract and Forest Trust Lands.

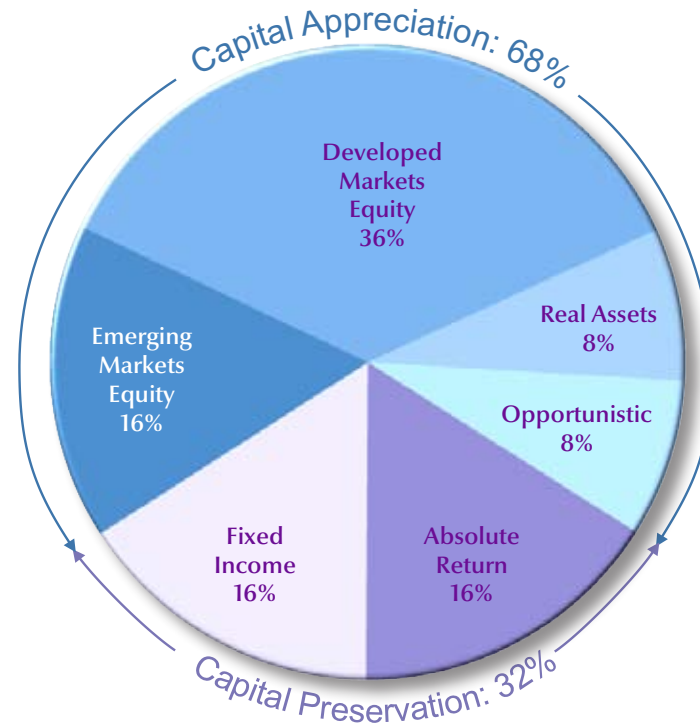
² The Invested Funds holds Consolidated Endowment Fund units valued at \$412 million. To avoid double counting, the dollars are included only in the CEF totals.

³ Bond Retirement Fund and Building Fund.

⁴ Debt service reserve funds and construction project funds which have not yet been disbursed.

⁵ Proceeds from sale of land grants and subsequent investment returns on deposit with the state of Washington.

CEF ASSET ALLOCATION¹ FOR THE QUARTER ENDING SEPTEMBER 30, 2011



Current Allocation (\$ = millions)			Policy	Range
			Target	
Emerging Markets Equity	\$325	16%	17%	
Developed Markets Equity	\$725	36%	36%	
Real Assets	\$163	8%	11%	
Opportunistic	\$151	8%	6%	
Capital Appreciation ²	\$1,364	68%	70%	55%–85%
Absolute Return	\$323	16%	15%	
Fixed Income ³	\$327	16%	15%	
Capital Preservation	\$650	32%	30%	15%–45%
Total CEF	\$2,014	100%		

¹ Exposures at 9/30/11: International: 34%, Foreign Currency: 32%

² Private Investments: current exposure: 28%, uncalled capital commitments: 11%

³ Includes allocation to cash.

CEF PERFORMANCE SUMMARY FOR THE QUARTER ENDING SEPTEMBER 30, 2011

ROLLING YEAR RETURNS¹ (%)

	Rolling Years			
	1* Qtr FY 2012	1-Year	5-Year	10-Year
Total CEF Return	-6.8	1.5	2.7	6.6
Strategy Weighted Policy Benchmark	-7.2	3.3	3.5	6.5
70% MSCI ACWI/30% BC Govt Bond	-10.7	-2.0	1.7	5.5
Capital Appreciation	-9.3	1.3	2.0	6.5
MSCI ACWI	-17.3	-5.5	-1.1	5.0
Capital Preservation	-1.1	1.1	3.7	5.9
BC Government Bond	5.8	5.6	6.6	5.4

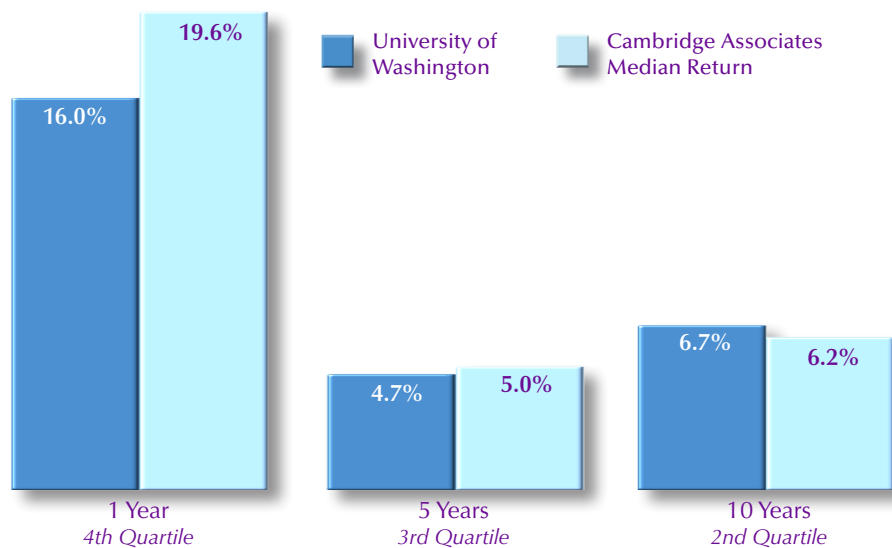
¹Total Return: average annual compound return (dividend or interest plus capital appreciation or depreciation)

FISCAL YEAR RETURNS¹ (%)

	FYTD 2012	Fiscal Years			
		2011	2010	2009	2008
Total CEF Return	-6.8	16.0	12.5	-23.3	1.9
Strategy Weighted Policy Benchmark	-7.2	19.9	9.8	-16.9	0.9
70% MSCI ACWI/30% BC Govt Bond	-10.7	21.8	10.9	-18.6	-3.2
Capital Appreciation	-9.3	21.5	13.7	-29.2	1.0
MSCI ACWI	-17.3	30.8	12.3	-28.9	-8.8
Capital Preservation	-1.1	3.6	10.8	-9.6	4.0
BC Government Bond	5.8	2.3	6.5	6.6	9.7

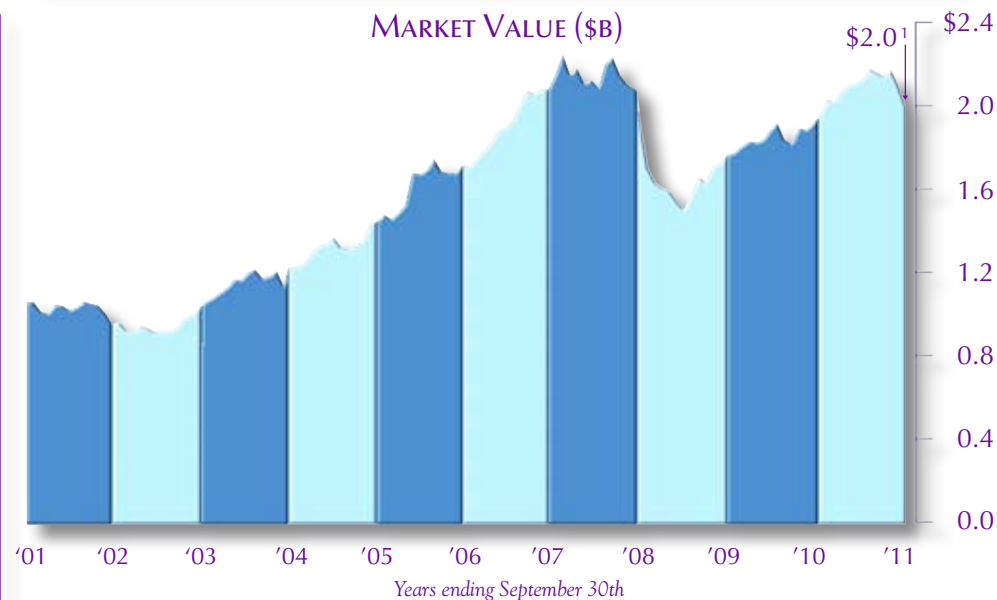
¹Total Return: average annual compound return (dividend or interest plus capital appreciation or depreciation)

CAMBRIDGE ASSOCIATES ENDOWMENT UNIVERSE¹



¹For periods ending 6/30/2011

MARKET VALUE (\$B)



¹Reflects inclusion of IF units in CEF, starting 2001. Value without IF units would be \$1.6

CEF PERFORMANCE BY STRATEGY

Total Return¹ as of September 30, 2011

		1 st Qtr FY '12	1 Year	3 Years	5 Years	10 Years
Consolidated Endowment Fund		6.8	1.5	1.8	2.7	6.6
Capital Appreciation	Capital Appreciation	-9.3	1.3	1.1	2.0	6.5
	MSCI ACWI	-17.3	-5.5	1.1	-1.1	5.0
	Emerging Markets Equity	-17.3	-10.2	10.3	10.4	19.2
	MSCI EMF	-22.5	-15.9	6.6	5.2	16.4
	Developed Markets Equity	-9.0	3.6	1.3	1.1	5.5
	MSCI World	-16.5	-3.8	0.5	-1.7	4.2
	Real Assets ²	3.6	16.7	-7.5	1.5	—
	NCREIF Property Index ²	3.9	16.7	-2.6	3.4	—
	CA Natural Resources ²	3.1	26.3	5.1	13.0	—
	Opportunistic ³	-4.2	2.7	—	—	—
MSCI ACWI	-17.3	-5.5	—	—	—	
Capital Preservation	Capital Preservation	-1.1	1.1	3.0	3.7	5.9
	BC Government Bond	5.8	5.6	6.4	6.6	5.4
	Absolute Return (including historic MAS returns)	-2.7	1.7	5.6	5.1	7.9
	HFRI (conservative plus historic MAS benchmark)	-4.1	-1.2	2.4	3.0	4.9
	Fixed Income	0.5	1.0	1.4	2.7	3.7
BC Government Bond	5.8	5.6	6.4	6.6	5.4	
Public Market Indices						
	S&P	-13.9	1.1	1.2	-1.2	2.8
	NASDAQ	-12.9	2.0	3.5	0.4	4.4
	NAREIT	3.9	16.7	-2.6	3.4	7.6
	MSCI EAFE	-19.0	-8.9	-0.7	-3.0	5.5
	BC High Yield	-2.9	5.2	15.1	7.8	9.1
	CG World Bond Index(unhedged to USD)	2.4	4.6	7.7	7.5	7.4

¹ Total Return: average annual compound return (dividend or interest plus capital appreciation or depreciation)

² Reported on a quarter lag.

³ New strategy reflecting data starting 7/1/2010.

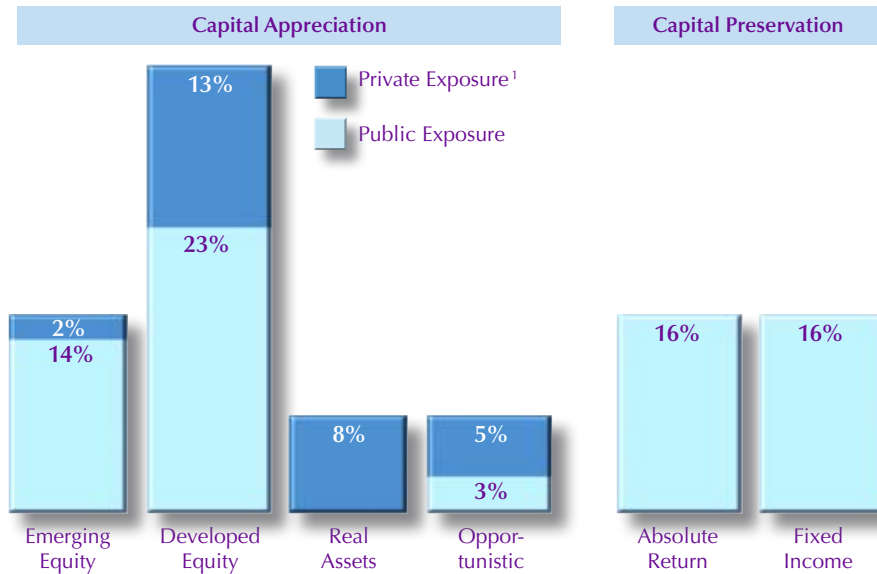
CEF ACTIVITY AS OF SEPTEMBER 30, 2011

\$ = millions

	<u>FYTD 2012</u>	<u>FY 2011</u>	<u>FY 2010</u>	<u>5 Years</u>	<u>10 Years</u>
Beginning Balance	\$2,154	\$1,830	\$1,649	\$1,723	\$1,022
Gifts	32	63	43	371	656
Transfers	4	5	5	39	87
Total Additions	\$36	\$68	\$48	\$410	\$743
Operating Funds Purchases	0	51	8	121	208
Net Investment Return	(150)	301	201	243	907
Distributions	(21)	(76)	(59)	(387)	(708)
Administrative Fees	(1)	(4)	(4)	(19)	(31)
Advancement Support	(4)	(16)	(14)	(77)	(126)
Ending Balance	\$2,014	\$2,154	\$1,830	\$2,014	\$2,014
Net Change	(\$140)	\$325	\$181	\$291	\$992

CEF EXPOSURES FOR THE QUARTER ENDING SEPTEMBER 30, 2011

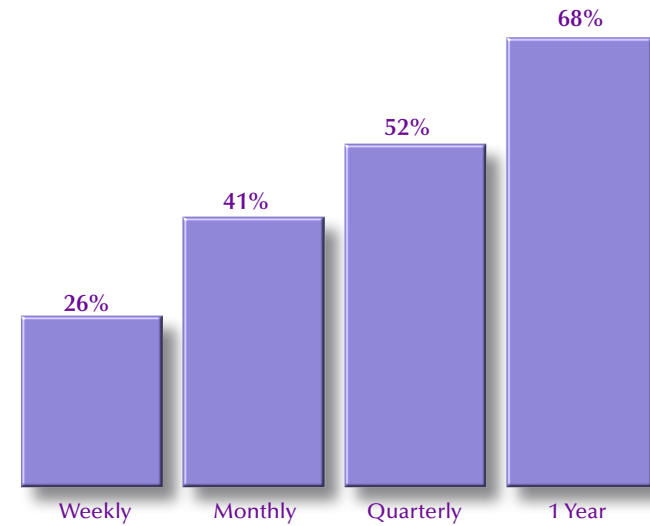
PUBLIC/PRIVATE EXPOSURE BY STRATEGY



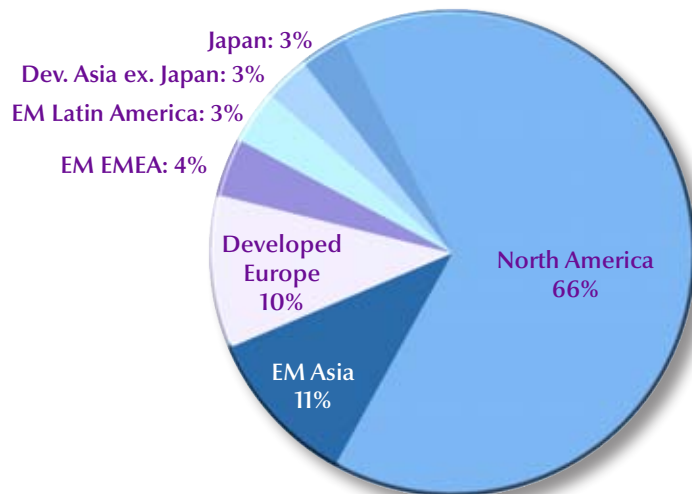
¹ 28% current exposure to private investment and 11% uncalled capital commitments.

SHORT-TERM LIQUIDITY ESTIMATES

AS % OF CEF

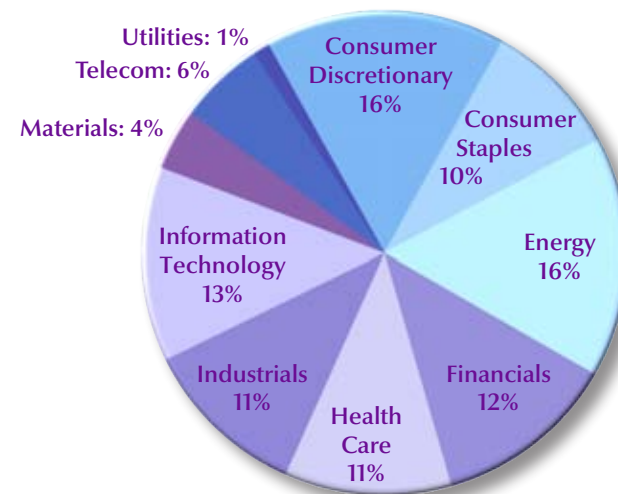


GEOGRAPHIC EXPOSURE¹



¹ At 9/30/11 foreign currency exposure: 32%.

EQUITY SECTOR EXPOSURE¹



¹ Emerging Markets, Developed Markets, Real Assets and select Absolute Return equity.

INVESTED FUNDS FOR THE QUARTER ENDING SEPTEMBER 30, 2011

TOTAL RETURN¹ (%)

	1 st Qtr FY 2012	1-Year	5-Year	10-Year
IF including CEF units	-0.6	2.1	3.8	4.8
Weighted Benchmark	-0.4	2.8	4.5	5.0
IF excluding CEF units	1.9	2.4	4.4	4.0
Weighted Benchmark	2.1	2.4	4.8	4.1
Cash	0.1	0.3	3.1	3.1
Cash Benchmark ²	0.0	0.1	2.9	2.9
Liquidity	3.0	3.8	5.2	4.5
LB Intermediate Govt Bond	3.2	3.7	5.9	4.8

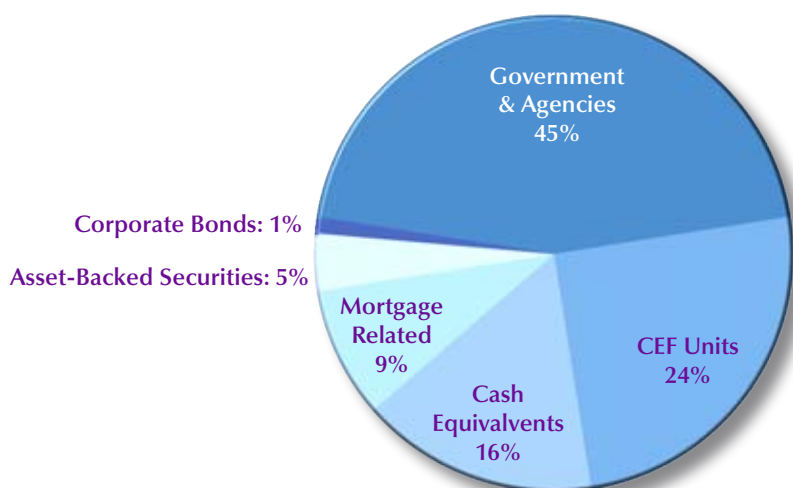
¹ Total Return: average annual compound return (dividend or interest plus capital appreciation or depreciation)

² Citi 2-year Treasury prior to 10/1/2008; 3 month T-Bill thereafter.

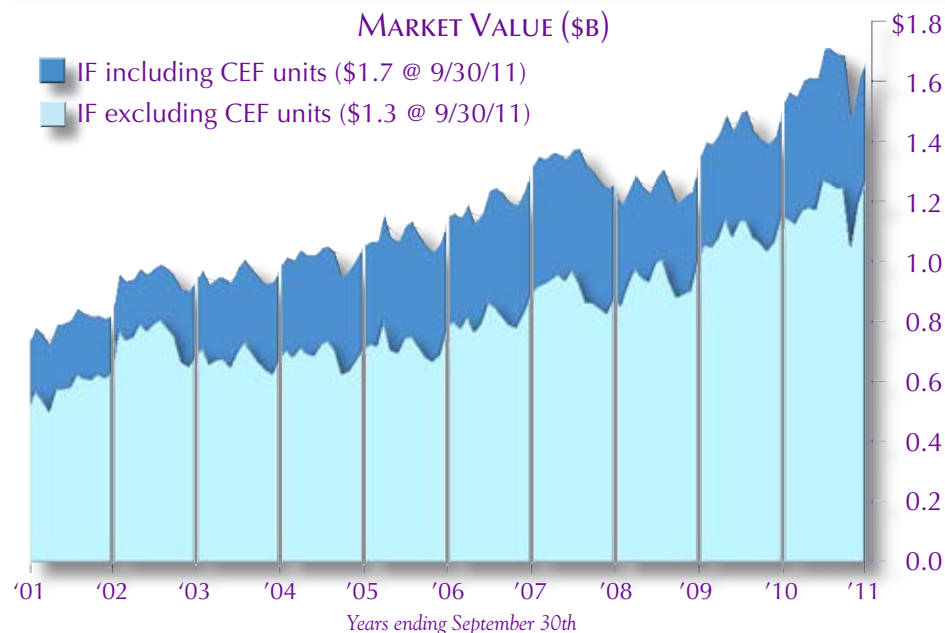
FUND ALLOCATION BY POOL (\$M)

	Fund Allocation		Range	Duration in Years	
				Actual	Maximum
Cash Pool	\$491	29%	10%–40%	0.5	3.0
Liquidity Pool	\$783	46%	30%–60%	3.5	4.1
Total Cash & Liquidity Pool	\$1,274	76%			
CEF Units held by IF	\$412	24%	15%–40%		
Total Invested Funds	\$1,685	100%			

MIX OF INVESTMENTS



MARKET VALUE (\$B)



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Internal Lending Program Quarterly Report for the Quarter Ended September 30, 2011

For information only.

Attachment

Internal Lending Program Quarterly Report, Quarter Ended September 30, 2011

Average
Cost of
Debt
4.3%

Internal Lending Program Quarterly Report

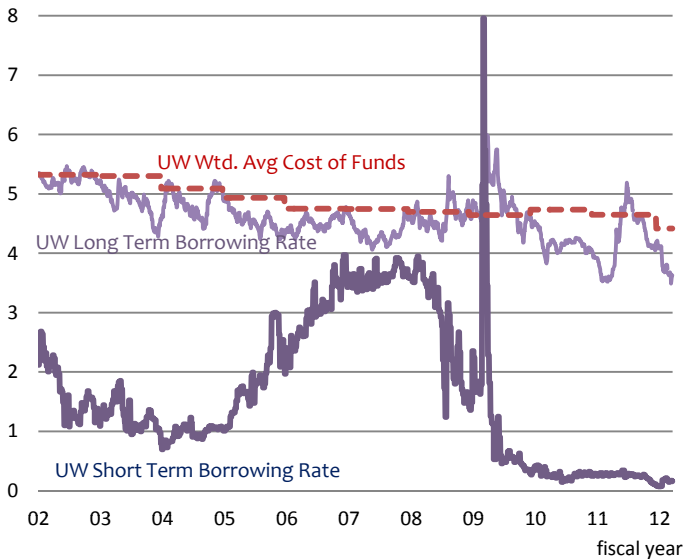
Quarter Ended September 30, 2011

(dollars in millions)

Internal
Lending
Rate
5.5%

Interest Rates

Short & mid-term interest rates remain low despite the return of tax exempt supply to the municipal market. Uncertainty surrounding the global markets continues to cause volatility. If the UW issued long term tax-exempt bonds today, the overall rate would be about 4.0%.



External Borrowing

The University borrowed \$211 million in July 2011 at 3.88%. Of the total ILP debt issued this quarter, the remaining \$11 million was related to refundings of State of Washington issued debt.

Debt Issued to Fund ILP	Issued FY12	Total Outstanding	Wtd. Avg Rate	Wtd. Avg Maturity (yrs)
Commercial Paper	0	50	0.2%	0.09
Variable Rate	0	0	n/a	n/a
Fixed Rate	222	861	4.1%	16.4
ILP Total	222	911	3.9%	15.5
Non-ILP Debt	0	616	4.8%	14.2
Total Debt	222	1,527	4.3%	15.0

Note: Used \$0m of \$290m General Revenue authorization.

Internal Lending

In the first quarter, the large increase in internal lending for the service mission is due to converting \$81 million of non-ILP debt to ILP debt.

	By Mission			Total
	Education	Research	Service	
Beginning Bal Jul-11	113	111	609	833
Additions	0	1	117	118
Reductions	(2)	(3)	(5)	(10)
Annual Activity	(2)	(2)	112	108
Total Receivable	111	109	721	941

Cash Position

The large increase is due to project proceeds from the 2011A General Revenue Bond issuance.

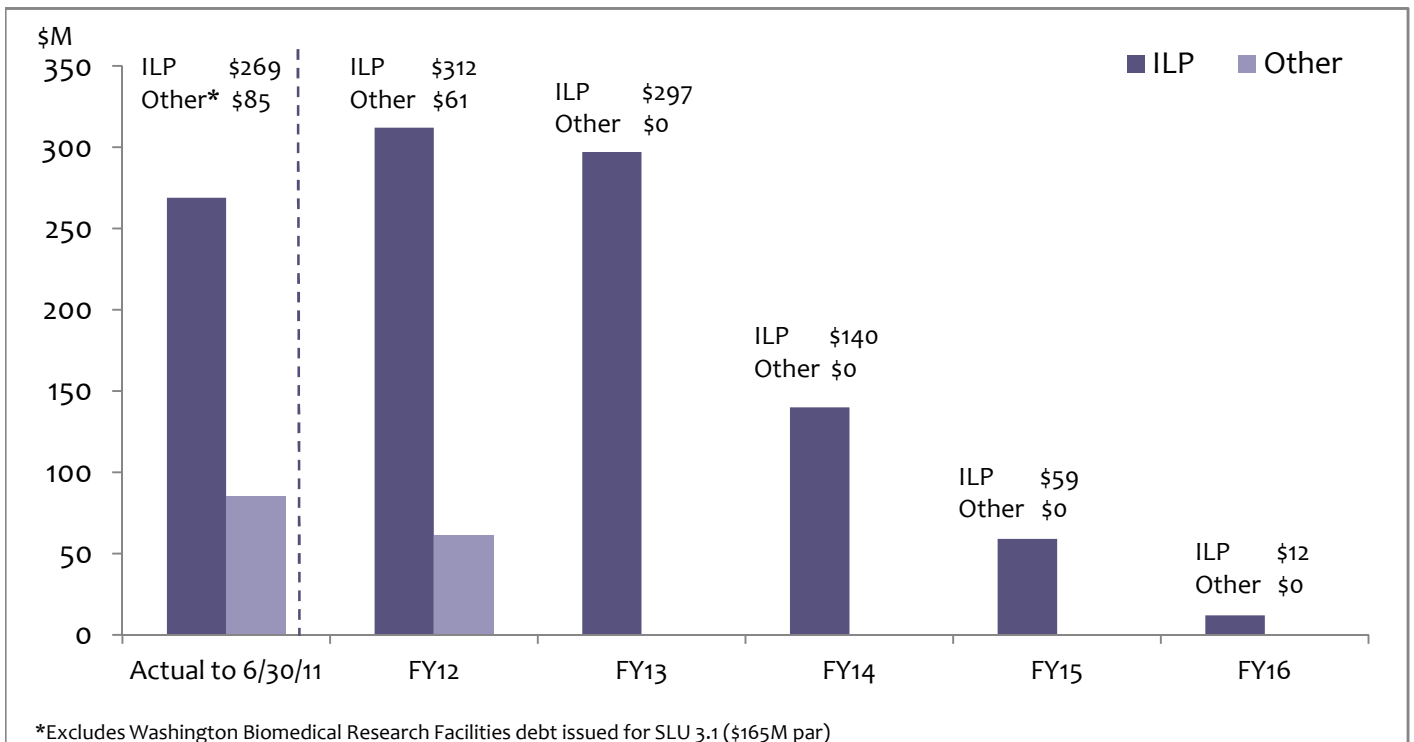
Beginning Balance Jul-10	\$51.2
Internal Debt Service	18.3
External Debt Service	(6.3)
Net Debt Proceeds	74.1
Expenses	0.1
Ending Balance Jun-11	\$137.4

Approved Funding - by Project and Source

Project Name	Date Approved	Total Budget	ILP	Other	Spent to Date (all sources)
UWMC Expansion	Feb-08	170	160	10	73%
AAALAC Projects	Mar-08	28	25	3	94%
J-Wing	Jul-08	24	16	8	82%
AAALAC Budget Increase	Nov-08	7	7	0	38%
Housing Phase 1	May-09	164	164	0	55%
Molecular Engineering - ICR only	Jun-09	25	20	5	20%
HUB Renovation	Jul-09	128	117	11	36%
ECC Renovation	Jul-09	16	15	1	13%
Hall Health Renovation	Jul-09	11	8	3	73%
UWMC, Phase 1 Increase	Jan-10	45	0	45	53%
Tacoma Phase 3 - ILP only	May-10	54	6	48	68%
Husky Stadium Renovation	Nov-10	260	250	10	2%
Housing Phase 2	Feb-11	286	286	0	3%
UW Bothell Acquisition	Feb-11	13	13	0	85%
Bothell Sports Field	Jun-11*	4	2	2	0%
Total		1,235	1,089	146	33%

*approved under delegated authority; dropped PACCAR Business School as of Sep-11

Funding Forecast for Approved Projects - by Source



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Internal Audit – Planned Activities for 2012

This item is for information only.

Attachment

Internal Audit 2012 Audit Plan



INTERNAL AUDIT

UNIVERSITY *of* WASHINGTON

2012 Audit Plan

Finance, Audit and Facilities Committee
Board of Regents

November 2011

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Executive Summary

The 2012 Audit Plan contains key information on our planned audit activity for calendar year 2012. The plan was based on the results of our annual risk assessment process.

Audit Goals

Internal Audit's major goals for 2012 are:

- Complete audits within fifteen of the highest risk ranked units of the University;
- Provide the University with value added recommendations to improve controls, mitigate identified risks and increase efficiency within operations;
- Expand our audit universe to include Valley Medical Center and also consider expanding to newly created or acquired UW operations;
- Continue to develop our student intern program; and
- Continue to lead and participate in the Pacific Northwest College and University Internal Audit Conference.

Audit Plan 2012

The University of Washington Internal Audit Plan for 2012 is designed to provide audit coverage across the entirety of the University, deploying Internal Audit resources in an effective and efficient manner.

To focus on the appropriate areas, we considered the strategic plans and initiatives the University has articulated over the last two years including Two Years Two Decades (2Y2D), Activity Based Budgeting (ABB), and Organizational Effectiveness Initiative.

We continue to focus on the highest risk areas as identified in our risk assessment. The Audit Plan was developed through the completion of a risk assessment project which included interviews with senior management, review of strategic, financial and historical information regarding the individual University audit units as defined by Internal Audit.

The Audit Plan documents presented here include:

- Overview of the Audit Plan;
- Analysis of Audit Coverage by University Auditable Units from 2008 - 2012;
- Heat Map of University Auditable Units;
- Listing of Planned Audit Projects; and
- Allocation of Audit Resources.

2012 Audit Plan

Internal Audit engages in three primary activities – audits, management advisory services, and investigations. Our focus is to actively work with the schools, colleges and the UW Health System to assist management in addressing strategic, financial, operational, and compliance risks and exposures. Internal Audit focuses on both University wide and departmental level control systems and processes. In order to focus our audit resources, we consider the work completed by other audit professionals and compliance officers across the University such as KPMG LLP, Peterson Sullivan LLP, State Auditor’s Office, UW Medicine Compliance and other regulatory agencies in both setting our overall audit plan and in planning the work conducted on any specific project. Additionally, we provide liaison services between the University and external audit parties to assist in the effective conduct of outside auditor’s projects.

Internal Audit’s goals for 2012 are:

- Complete audits within fifteen of the highest risk ranked units of the University;
- Provide the University with value added recommendations to improve controls, mitigate identified risks and increase efficiency within operations;
- Expand our audit universe to include Valley Medical Center and also consider expanding to newly created or acquired UW operations;
- Continue further implementation of modules included in our new Internal Audit electronic work paper system;
- Deploy our team in the most effective and efficient manner;
- Continue to develop our student intern program;
- Continue to strengthen our audit team through focused industry training;
- Continue to lead and participate in the Pacific Northwest College and University Internal Audit Conference (hosted by UW for the past two years); and
- Continue to coordinate with and participate in the further development of the University-wide enterprise risk management framework.

The University of Washington Internal Audit Plan for 2012 is designed to provide audit coverage across the entirety of the University, deploying Internal Audit resources in an effective and efficient manner. The methodology that we utilized for performing our risk assessment and developing our audit plan is included in Appendix A. We have included a heat map representing the results of our risk assessment on page 4.

To enable us to focus on the appropriate areas, we considered the strategic plans and initiatives the University has articulated over the last two years including 2Y2D, ABB, Organizational Effectiveness Initiative and the need to expand future revenue streams. We have also acknowledged the increasing external forces (State budget reductions, changes in Federal regulations) that could adversely impact the internal controls processes previously developed within the University.

Analysis of Coverage of University Auditable Units

The University auditable units, listed below, are ranked from high to low in terms of the relative risk based on the 2012 risk assessment performed by Internal Audit (IA). Additionally, we have included the relative ranking from previous risk assessments. The previous year columns identify the relative IA risk ranking in those periods and the type of audit work conducted within the respective unit.

AUDITABLE UNIT	2012		2011/2010		2009/2008	
	Rank	Audit Coverage	Rank	Audit Coverage	Rank	Audit Coverage
UW Health System	1	IA	1	IA	2	IA
School of Medicine	2	IA	2	IA	1	IA
Health Sciences Administration	3	IA	16	Reg	5	IA
Intercollegiate Athletics	4	IA	3	IA	9	IA
Grant and Contract Accounting	5	IA	10	IA	17	Reg
UW Information Technology	6	IA	24	IA	8	IA
Office of Research	7	-	6	IA	25	IA
Housing and Food Services	8	IA	14	Ext	28	Ext
UW Tacoma	9	IA	25	IA	13	IA
Student Life	10	-	35	IA	36	IA
Educational Outreach	11	-	15	-	4	IA
School of Dentistry	12	-	12	IA	6	-
School of Public Health	13	-	13	IA	7	-
Capital Projects	14	-	7	IA	11	-
UW Bothell	15	-	26	IA	12	IA
Office of the President/Provost	16	-	37	IA	33	IA
School of Nursing	17	IA	19	IA	14	IA
College of Arts and Sciences	18	IA	21	IA	3	IA
Student Financial Aid	19	Reg	5	-	34	Reg
Office of Planning and Budgeting	20	-	20	-	37	-
Facilities Services	21	Ext	29	IA	27	-
Human Resources	22	-	18	IA*	19	-
Finance	23	-	8	IA	26	IA
Center for Commercialization	24	-	17	-	21	-
College of the Environment	25	-	4	Reg	23	Reg
University Advancement	26	-	23	-	10	IA
Treasury Office	27	Ext	11	Ext	30	Ext
College of Education	28	-	30	IA*	35	-
College of Engineering	29	-	9	IA	15	-
Information School	30	-	38	IA*	38	-
School of Law	31	-	34	IA*	22	-
School of Social Work	32	-	36	IA	24	-
Foster School of Business	33	-	28	IA*	16	IA
Evans School of Public Affairs	34	-	33	IA*	32	-
School of Pharmacy	35	-	32	-	18	-
Graduate School	36	-	22	IA*	29	-
College of the Built Environments	37	-	27	IA*	31	-
Libraries	38	-	31	-	20	-

Legend: IA - Audited by Internal Audit
 IA* - Audited by Internal Audit as part of a University wide process audit
 Ext - Audited by KPMG LLP or Peterson Sullivan LLP
 Reg - Audited by Regulatory Agencies, including State Auditor's Office

University Auditable Units - Heat Map

Likelihood	Ranking of Audit Unit within University					
	Almost certain					1 2
	Likely			17	12	9 8 5 11 6
	Possible			28 25 21 31 27 29	19 18 16 15 10	7
	Unlikely		38	37 35 33 32 30 36 34	24 23 20	14
	Remote					
		Insignificant	Minor	Moderate	Major	Critical
Impact						

Listing of University Auditable Units

(Numbers in chart below correspond to the chart above)

1	UW Health System	20	Office of Planning and Budgeting
2	School of Medicine	21	Facilities Services
3	Health Sciences Administration	22	Human Resources
4	Intercollegiate Athletics	23	Finance
5	Grant and Contract Accounting	24	Center for Commercialization
6	UW Information Technology	25	College of the Environment
7	Office of Research	26	University Advancement
8	Housing and Food Services	27	Treasury Office
9	UW Tacoma	28	College of Education
10	Student Life	29	College of Engineering
11	Educational Outreach	30	Information School
12	School of Dentistry	31	School of Law
13	School of Public Health	32	School of Social Work
14	Capital Projects	33	Foster School of Business
15	UW Bothell	34	Evans School of Public Affairs
16	Office of the President/Provost	35	School of Pharmacy
17	School of Nursing	36	Graduate School
18	College of Arts and Sciences	37	College of the Built Environments
19	Student Financial Aid	38	Libraries

Planned Audit Projects

We will continue to focus on the high risk areas as identified in our risk assessment. We identified both audit units and university wide processes within which to focus our audit activities during 2012. Additionally, as part of our risk assessment, we continued our focus begun in 2011 to consider audit projects whose results could be shared across the campus to improve control effectiveness. We will conduct audits in the units identified below. Additionally, based on risk and controls reviews conducted in the audit planning process, we may validate and/or expand upon the areas of focus and risks in each respective audit unit.

Our risk assessment process will be further refined for the UW Health System to include a more in-depth identification of audit units and possible audit projects within the system. This process will include expanded meetings with the executives within the UW Health System, operational management and meetings with the Boards of UW Medicine and the respective Medical Centers. We expect this process will further refine the projects to be included in our audit plan.

Audit Unit	Audit Focus
UW Health Systems	Charge capture, pre-implementation reviews, conflict of interest, IT change management, and additional audits
School of Medicine	Federal grant activities controls reviews
Health Sciences Administration	Hall Health charge capture
Intercollegiate Athletics - 2012	Governance, fin. aid, practice sessions, rules compliance
Grant and Contract Accounting	Sponsor billing and collection process
UW Information Technology	Rate setting, ISB compliance audit
Housing and Food Services	IT applications review
UW Tacoma	Facilities use audit
School of Nursing	Grant, contract and department operations
College of Arts and Sciences	Federal grant activities controls review
Multiple Audit Units	Student fees - stewardship and expenditure controls
Multiple Audit Units	Recharge center audits
Multiple Audit Units	Sponsored research contracts

Audit Resources

The audit plan for calendar year 2012 is based on a professional staffing complement of thirteen FTE. The plan represents the anticipated minimum level of staffing in 2012 to account for the uncertainty around the budget discussions of the University and the expectation that Internal Audit will participate in any University wide cuts. Additionally, Internal Audit plans to continue augmenting our staff complement with UW student interns.

Approximately 50% of the Internal Audit's available resources are committed to the completion of planned audit projects and follow-up audit procedures. The annual audit plan is designed to provide appropriate coverage utilizing a variety of audit methodologies: audits of individual units both on campus and within the UW Health System, functional and process audits, University-wide reviews, and information system projects. Internal Audit semi-annually conducts follow-up audit procedures to ensure that management is implementing controls as described within their responses to Internal Audit report findings.

In selecting specific units/functions for inclusion in the audit plan we placed priority on providing coverage of higher risk units/processes, and areas of interest to University and UW Health System administrative leadership.

We have a number of audit projects from our 2011 Audit Plan which will be carried over to the 2012 Audit Plan as they continue to be considered high risk. Additionally, we will have a number of audit projects begun in 2011 which will carryover for completion in early 2012. The amount of carryover work is in line with a normal audit process where audits begun in the last few months of the year are completed and issued early in the following year.

The remainder of our FY 2012 audit resources is allocated as follows:

- 9% for employee professional development, internal quality improvement projects (LEAN), our Quality Assurance Review and ongoing expansion and maintenance of our electronic work paper system.
- 18% to accommodate requests from the President, the Board, or other executive management and consultations with University departments. Additionally we plan to incur hours conducting investigations into whistleblower claims, regulatory, ethics and fraud allegations.
- 6% for risk mitigation efforts such as the audit liaison function for the University, training provided to University personnel, and University risk mitigation committee work.
- 17% has been further allocated for internal administrative functions, including employee performance evaluations, interviews of Internal Audit candidates and manager/staff meetings.

Appendices

Risk Assessment Methodology / Development of Annual Plan

We use a two year risk assessment model to prioritize audit coverage and ensure timely reviews of high exposure areas.

We began the process by utilizing previous Internal Audit risk assessments as a starting point. We identified the risk categories to be considered in the risk assessment and updated the categories to acknowledge the changing profile of the University.

The following risk categories were considered in the development of our annual plan:

Strategic Risk	Impairment to the strategic mission of the University.
Operational Risk	Impairment of the ability to carry out day-to-day operations of the University.
Compliance Risk	Failure to comply with laws, regulations and internal policies designed to safeguard the University.
Financial Risk	Loss of financial resources or assets.
Reputational Risk	Risk that public image or reputation is damaged by actions of a unit or individual connected to the University.

We reviewed risk assessment models used by peer institutions and utilized their experience and knowledge of university and medical center operations to ensure our risk assessment model included factors relevant to the University of Washington and UW Health System.

We gathered information about any trends or emerging risks, significant changes in organizations, information systems complexity, prior audits/results, and obtained input from key senior management regarding high risk areas. We also reviewed the new and developing information being provided to the University from the President and Provost offices over the last twelve months. We then evaluated both the financial and budgetary data for all audit units identified and updated our current risk assessment model and related risk rankings identified during the last few years.

The above risk factors were then grouped to determine likelihood and impact, and arrive at an overall risk ranking, creating the heat map shown on page 4.

Our proposed audit projects for 2012 were then selected from a number of the highest ranked auditable areas and individual audit units within these groupings.

The list of the proposed audit projects is included in the audit plan on page 5.

Internal Audit Charter

Mission -The mission of Internal Audit is to assist the Board of Regents and University management in the discharge of their oversight, management and operating responsibilities. This is achieved by providing independent assurance, consulting and education services to the University community. Our services add value by improving the control, risk management and governance processes to help the University achieve its business objectives.

Authority - Internal Audit functions under the authority of the Finance, Audit and Facilities Committee of the Board of Regents of the University of Washington.

Internal Audit is authorized to have full, free, and unrestricted access to information including records, computer files, property, and personnel of the University. Internal Audit is free to review and evaluate all policies, procedures and practices of any University activity, program or function.

In performing the audit function, Internal Audit has no direct responsibility for, or authority over any of the activities reviewed. Therefore, the internal audit review and appraisal process does not in any way relieve other persons in the organization of the responsibilities assigned to them.

Scope - The scope of the internal audit activity encompasses the examination and evaluations of the adequacy and effectiveness of the University's system of internal control and the quality of the performance in carrying out assigned responsibilities including appropriate training and consulting assistance. Internal auditors are concerned with any phase of University activity in which they may be of service to management. This involves going beyond the accounting records to obtain a full understanding of operations under review.

Independence - To permit the rendering of impartial and unbiased judgment essential to the proper conduct of audits, internal auditors will be independent of the activities they audit. This independence is achieved through organizational status and objectivity.

Organizational Status: The Executive Director of Internal Audit is responsible to the Treasurer, Board of Regents, whose scope of responsibility and authority assures that audit findings and recommendations will be afforded adequate consideration and the effectiveness of action will be reviewed at an appropriate level. The Executive Director of Internal Audit has direct access to both the President and the Board of Regents, and may take matters to them that are believed to be of sufficient magnitude and importance to require their immediate attention.

Objectivity: Because objectivity is essential to the audit function, an internal auditor does not develop and install procedures, prepare records, or engage in any other activity which the auditor would normally review and appraise and which could reasonably be construed to compromise the auditor's independence. The auditor's objectivity is not adversely affected, however, by determining or recommending standards of control to be adopted in the development of systems and procedures under review.

Responsibility - The internal audit staff has a responsibility to report to University management on the areas examined and to evaluate management's plans or actions to correct reported findings. In addition, the Executive Director of Internal Audit has a responsibility to report at least annually to the Board of Regents Finance, Audit and Facilities Committee and to inform the Board of any significant findings that have not been reasonably addressed by University management.

The Executive Director of Internal Audit will coordinate internal and independent outside audit activities to ensure adequate coverage and minimize duplicate efforts.

Standards - The responsibility of Internal Audit is to serve the University in a manner that is consistent with the standards established by the internal audit community. At a minimum it shall comply with the relevant professional audit standards and code of conduct of the Institute of Internal Auditors (IIA) and the Association of College and University Auditors (ACUA).

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Energy Services Master Agreement – Select Energy Services ContractorRECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award an Energy Services Master Agreement to McKinstry Essention, Inc. subject to successful negotiation. The University is authorized through RCW 39.35C to contract with energy services performance contracting companies. Previously, the Capital Projects Office conducted energy services performance contracting projects through an interagency agreement with the Washington State General Administration's Energy Saving Performance Contracting program.

BACKGROUND

The Capital Projects Office has selected an energy services performance contracting company for an Energy Services Master Agreement for various energy and other resource conservation projects located at University of Washington campuses, facilities, UW Medical Center and Harborview Medical Center.

This agreement is envisioned for the purpose of identifying, developing, designing, constructing, installing, and implementing energy and resource conservation projects. As individual projects arise, the parties will negotiate a scope of work and fee to conduct an energy audit and prepare associated energy services proposals. The energy audits with associated energy services proposals will be authorized in a Work Order. If an energy audit and energy services proposal meet the University's conservation goals and economic payback criteria, the parties may negotiate a scope of work, a guaranteed maximum price, guaranteed minimum energy savings, and measurement and verification procedures for the project. The project will then be authorized, subject to regular Regent rules for delegations of authority authorizing project activity, by an amendment to the Work Order. The Energy Services Contractor will then proceed to design and build the project. The Energy Services Contractor guarantees that energy and resource conservation savings will be achieved.

There is no minimum or maximum amount of work that will be authorized under this Energy Services Master Agreement. The Energy Services Master Agreement will be in effect for three years. If the Energy Services Company performs well, the Agreement may be extended each year upon mutual agreement of the parties for up to an additional three years for a total of six years.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Energy Services Master Agreement – Select Energy Services Contractor (continued p. 2)

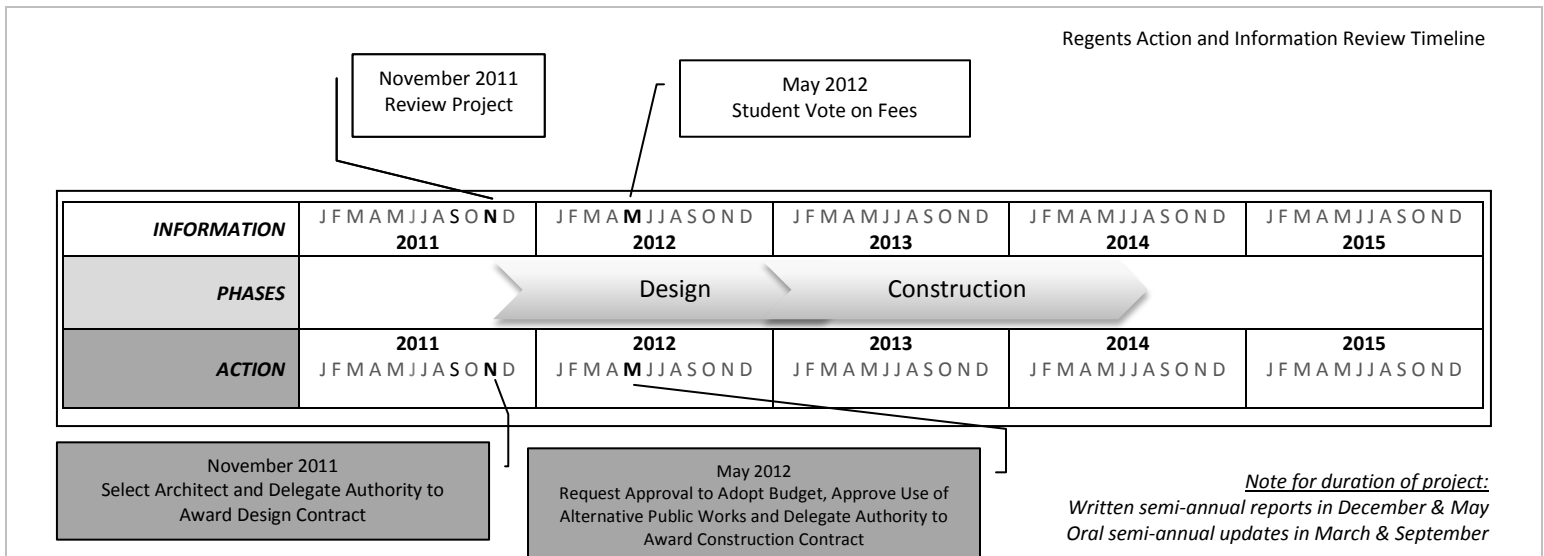
In August, 2011, the Capital Projects Office advertised for firms interested in providing Energy Services Master Agreement. Six firms responded to the Request for Qualifications, and three firms were invited to submit proposals including more a detailed technical proposal and a fee proposal. Technical proposals were reviewed and the finalist firms were interviewed and scored on September, 26, 2011. Finalist firms' price proposals were opened on October 21, 2011. McKinstry Essention, Inc. had the highest combined point score for both price and qualifications.

McKinstry Essention, Inc is a subsidiary of McKinstry. McKinstry, established in Seattle in 1960, is a full-service mechanical and electrical design and contracting firm with over 1,700 employees. McKinstry has the expertise and capability to deliver consulting, construction and energy management services. McKinstry Essention, Inc. has successfully completed a number of energy conservation projects at the University including the Chemistry Building Build Controls Retrofit, Chilled Water System Pressure Independent Control Valves and UW Tower Lighting Retrofit projects. McKinstry Essention, Inc. is currently in the construction phase of the UW Smart Grid project.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Bothell Student Activity Center – Select Architect and Delegate Authority to Award a Design Contract



RECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the President be delegated authority to award a design contract for the UW Bothell Student Activity Center Project with the firm to be recommended by the University’s Architectural Commission at their December 2011 meeting, subject to successful negotiation of an architectural agreement.

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 first alternate.

BACKGROUND

In October 2011, the leadership of UW Bothell (UWB) and UWB student government met with representatives of the Capital Projects Office and stated their intention of initiating a project for a Student Activity Center. A concept study by THA Architecture identifying four options for the project had been completed in March 2011, and the UWB administration subsequently worked with UW administration and UWB student government regarding funding and potential support for student fees.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Bothell Student Activity Center – Select Architect and Delegate Authority to Award a Design Contract (continued, page 2)

In November 2011, the Capital Projects Office advertised for firms interested in providing architectural services. A shortlist of approximately three firms will be selected by a review committee in late November, and those three firms will be interviewed by the University's Architectural Commission on December 11, 2011. The Architectural Commission is charged with identifying the most qualified firm as well as one or two alternate qualified firms, if any, ensuring that negotiations can continue in a timely manner. It is expected that negotiations will be concluded with the recommended firm by the end of December 2011, and work will begin on initial program and scope definition in January 2012. The recommendation of the Architectural Commission will be reported to the Board of Regents at the January meeting.

UW Bothell is co-located with Cascadia Community College on a 132-acre campus established in 2000. UWB currently has a growing enrollment of almost 3,800 students and has rapidly evolved into a four-year institution after initially accepting only upper division and graduate students. The campus recently acquired its first on-campus student housing, and newly leased and built out space in the UWB Beardslee Building has further expanded the campus footprint. Given the enrollment growth and expanded facilities, the student population is currently underserved relative to traditional campus amenities such as a student union. The project will provide space for food service, student leadership and clubs, fitness and recreation, casual study, and, potentially, events space.

The proposed site is east of Campus Way and south of the North Creek Events Center adjacent to a successfully restored 58-acre wetland, one of the largest and most significant floodplain restorations in the Pacific Northwest. Further, it has been considered as one of the best urban wetlands restorations in the country by the Department of Ecology and the Army Corps of Engineers. The site is also adjacent to a proposed all-weather, multi-use sports field which UWB is executing as a separate project to be completed in the summer of 2012.

It is possible that the UW Bothell Student Activity Center project will be accomplished in phases, as funding allows. The architect may develop a phasing plan, including cost estimates for each phase. Provided that the University remains satisfied with its work, the architect will design each phase of the project.

SCHEDULE, BUDGET AND FUNDING

The architect will begin initial project development and conceptual design activities in January 2012. Project phases, budgets and schedules will be determined as part of the project development. The total cost of the fully

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Bothell Student Activity Center – Select Architect and Delegate Authority to Award a Design Contract (continued, page 3)

developed project is yet to be determined, but may exceed \$25 million. Funding for the start of the proposed design effort will be provided by UW Bothell student reserve funds, and the full project is proposed to be paid for by bonds supported by UW Bothell student fees, pending approval by the student body. Participation in funding from the students or administration of the co-located Cascadia Community College may be considered during this initial phase. Donor funding and/or naming opportunities are not specifically being contemplated at this time, but may be considered as the project develops.

FUTURE REGENT ITEMS

We will come back to the Regents following the student vote in May 2012 to request approval to adopt budget, approve the use of alternative public works (if applicable), and delegate authority to award a construction contract.

Attachment

UW Bothell Master Plan Campus Map



Bothell Cemetery

DEVELOPMENT RESERVE

BEARDSLEE BUILDING

HUSKY VILLAGE

CORP YARD

110th Ave. NE

NEW SOUTH GARAGE

A-1

CCC-GLA

CENTRAL PLANT EXP.
CENTRAL PLANT

TRULY HOUSE

A-3

A-4

CCC-2

A-5

SOUTH GARAGE

UWB-2

LB EXPANSION

CCC-1

NORTH GARAGE
NORTH GARAGE EXP.

CONSERVATORY

UWB-1

STUDENT ACTIVITY CENTER

LBA

LB-1

LB-2

CCC-2

A-7

CHASE HOUSE

ASSEMBLY HALL

A-6

MULTI-PURPOSE SPORTS FIELD

HWY. 522

Proposed Wetland Trail

I-405

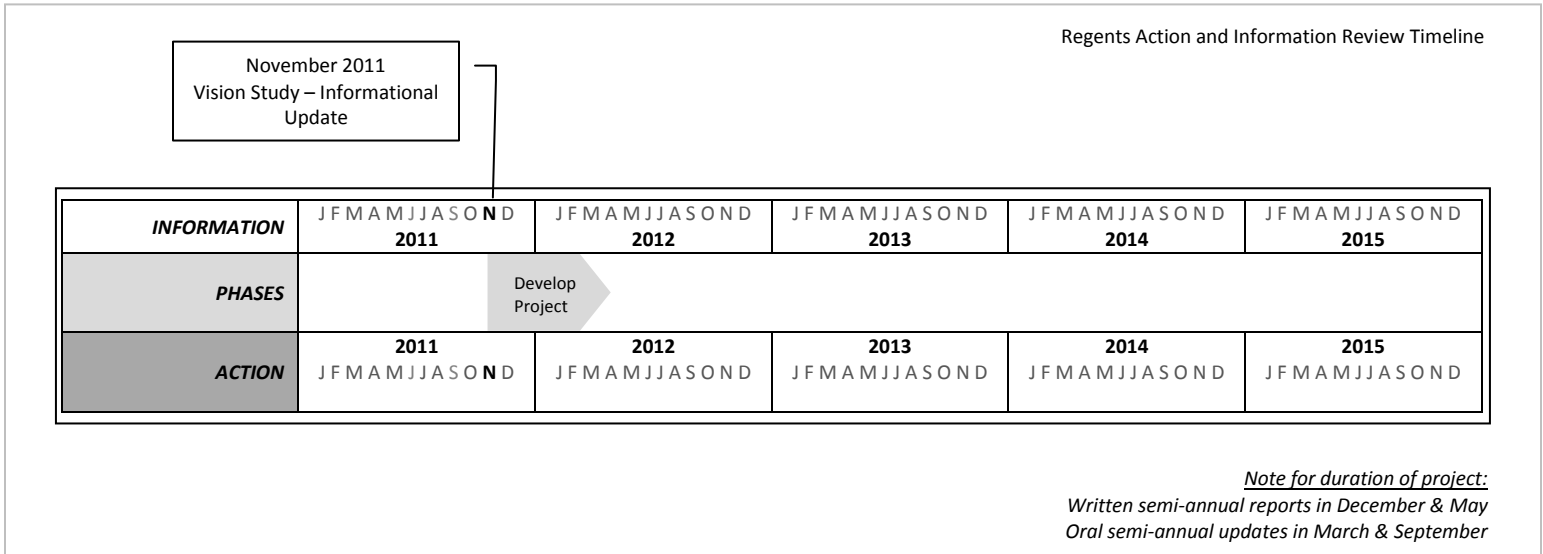
KEY

- Academic
- Housing
- Student Life
- Parking/ Services
- Existing Buildings

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Burke-Gilman Trail Corridor Vision Study and Grant Application – Informational Update



INFORMATION

This presentation is to share a plan to create a study for development of the Burke-Gilman Trail. The vision study will position the University to incrementally make improvements to the Burke-Gilman Trail as funding opportunities arise. No action is required – this update is for comment and general information.

BACKGROUND

The Burke-Gilman Trail Corridor is a Rails-to-Trails bicycle and pedestrian thoroughfare that defines the eastern and southern borders of the Seattle upper campus. It enters northeast campus west of Montlake Boulevard and runs north of NE Pacific Street to the west where it exits campus near the Benjamin Hall building. It is both a significant regional transportation conduit and a defining landscape feature of the campus.

The Burke-Gilman Trail Corridor is widely used by bicycle commuters coming to the University as well as those passing through the campus. At the Montlake Triangle, the Burke-Gilman Trail meets the Lake Washington Loop which is another major regional bicycle thoroughfare. It is also widely used by pedestrians

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Burke-Gilman Trail Corridor Vision Study and Grant Application – Informational Update (continued, p. 2)

moving across campus. The Burke-Gilman Trail Corridor separates the University upper campus from the south campus and east campus features. As such, people moving from place to place on campus frequently cross the trail at key locations. These multiple uses and interfaces between the campus and the Burke-Gilman Trail invite a comprehensive study to inform better management of pedestrian and bicycle traffic in and around the trail.

Similar to Rainer Vista, the Burke-Gilman Trail Corridor is a significant feature that defines much of our campus edge. Few places in the country provide such a wonderful series of urban, natural and campus experiences as part of a regionally significant and well used multi-modal trail. This study will help identify opportunities and provide the vision to leverage important infrastructural upgrades to maximize the benefit to the University.

This effort will be informed by and in context with the other developments in the Montlake vicinity, including the Sound Transit station, the renovation of Husky Stadium, the SR 520 project and plans for the Montlake Triangle, the Pend Oreille Entrance, the Hec Edmundson Pavilion Pedestrian Bridge and Rainier Vista.

PROJECT DESCRIPTION

UW Transportation has initiated preparation of this study. This includes preparation of a grant application to the Puget Sound Regional Council which administers Federal Transit Administration funding for multi-modal projects. The University Architect and Capital Projects Office are working with the Architectural Commission to select a landscape architect who will conduct the design development for trail expansion and help prepare the grant application.

Upon selection, a landscape architect will work with Transportation Services and campus stakeholders to develop the Burke-Gilman Trail Corridor vision for improvements to the entire length of the trail on the UW Campus. The initial grant application will focus on improvements to a specific section of the trail.

SCHEDULE, BUDGET AND FUNDING

It is anticipated that actual projects to improve the Burke-Gilman Trail Corridor Reconstruction will be accomplished in phases, as funding allows. The landscape architect will develop a potential phasing plan, including cost estimates for each phase.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Burke-Gilman Trail Corridor Vision Study and Grant Application – Informational Update (continued, p. 3)

The landscape architect will begin initial project development activities in late November 2011. The study is planned to be complete by the end of March 2012.

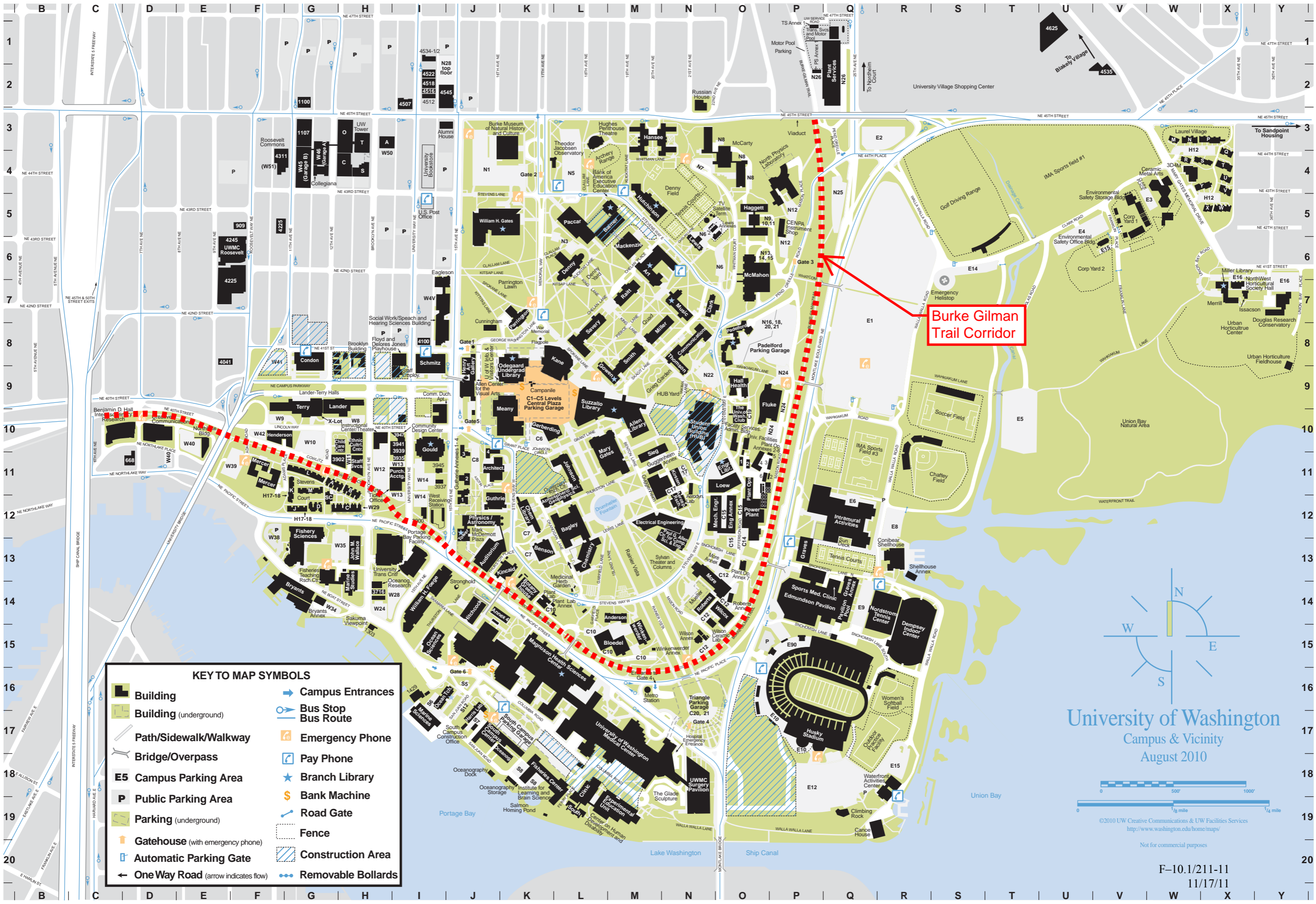
Grant application materials will be prepared for submission on or before April 1, 2012. The University should be notified if the grant application is successful in fall 2012. Project phases, budgets and schedules will be determined as part of the project development.

The budget for the visioning study and preparation of grant application materials is \$300,000; funded is provided by UW Transportation Services. The total cost of the fully developed Burke-Gilman Trail Corridor Reconstruction could exceed \$5 million, although the initial phase will be less than \$5 million. No other funding sources have been identified at this time.

FUTURE REGENT ITEMS

Late Spring 2012 Present completed vision study

Attachment
Campus map

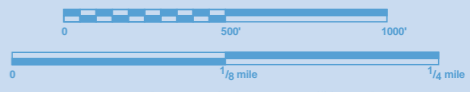


Burke Gilman Trail Corridor

KEY TO MAP SYMBOLS

	Building		Campus Entrances
	Building (underground)		Bus Stop
	Path/Sidewalk/Walkway		Bus Route
	Bridge/Overpass		Emergency Phone
	E5 Campus Parking Area		Pay Phone
	P Public Parking Area		Branch Library
	Parking (underground)		Bank Machine
	Gatehouse (with emergency phone)		Road Gate
	Automatic Parking Gate		Fence
	One Way Road (arrow indicates flow)		Construction Area
			Removable Bollards

University of Washington
 Campus & Vicinity
 August 2010

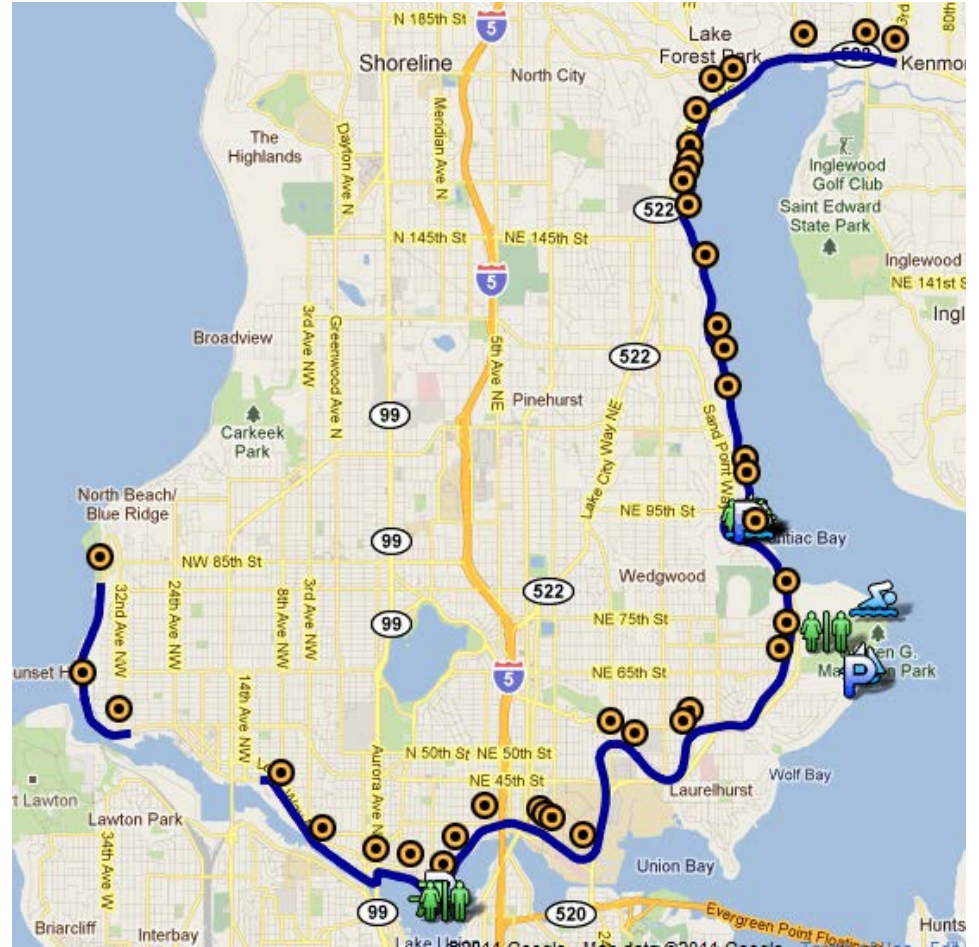


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<http://www.washington.edu/home/maps/>

Not for commercial purposes

Burke-Gilman Trail Corridor Vision Study







UW Commute - Mode Split Over Time

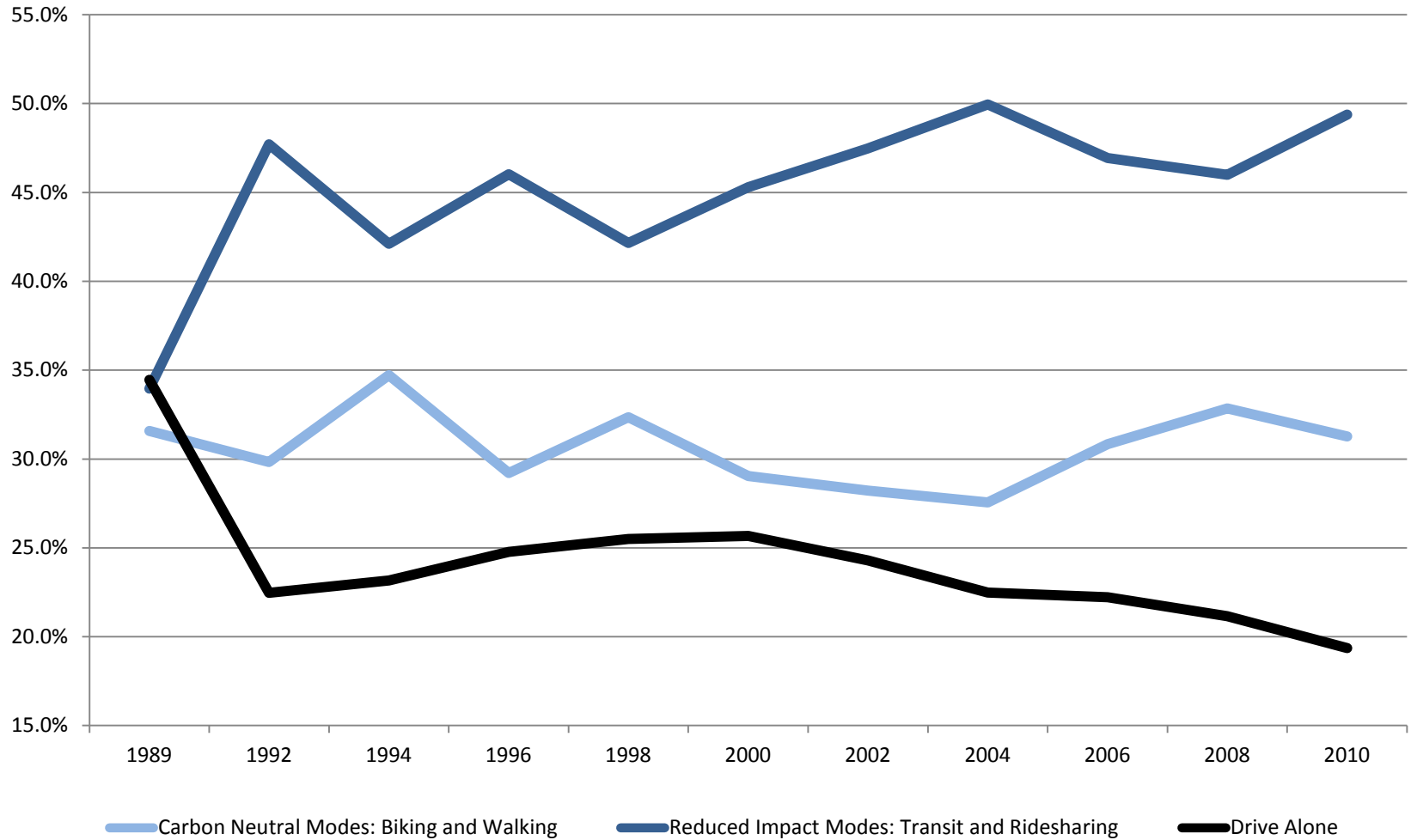




Figure 1. Major Development Projects Impacting the Burke-Gilman Trail



UNIVERSITY OF WASHINGTON BURKE-GILMAN TRAIL CORRIDOR STUDY

JULY 2011



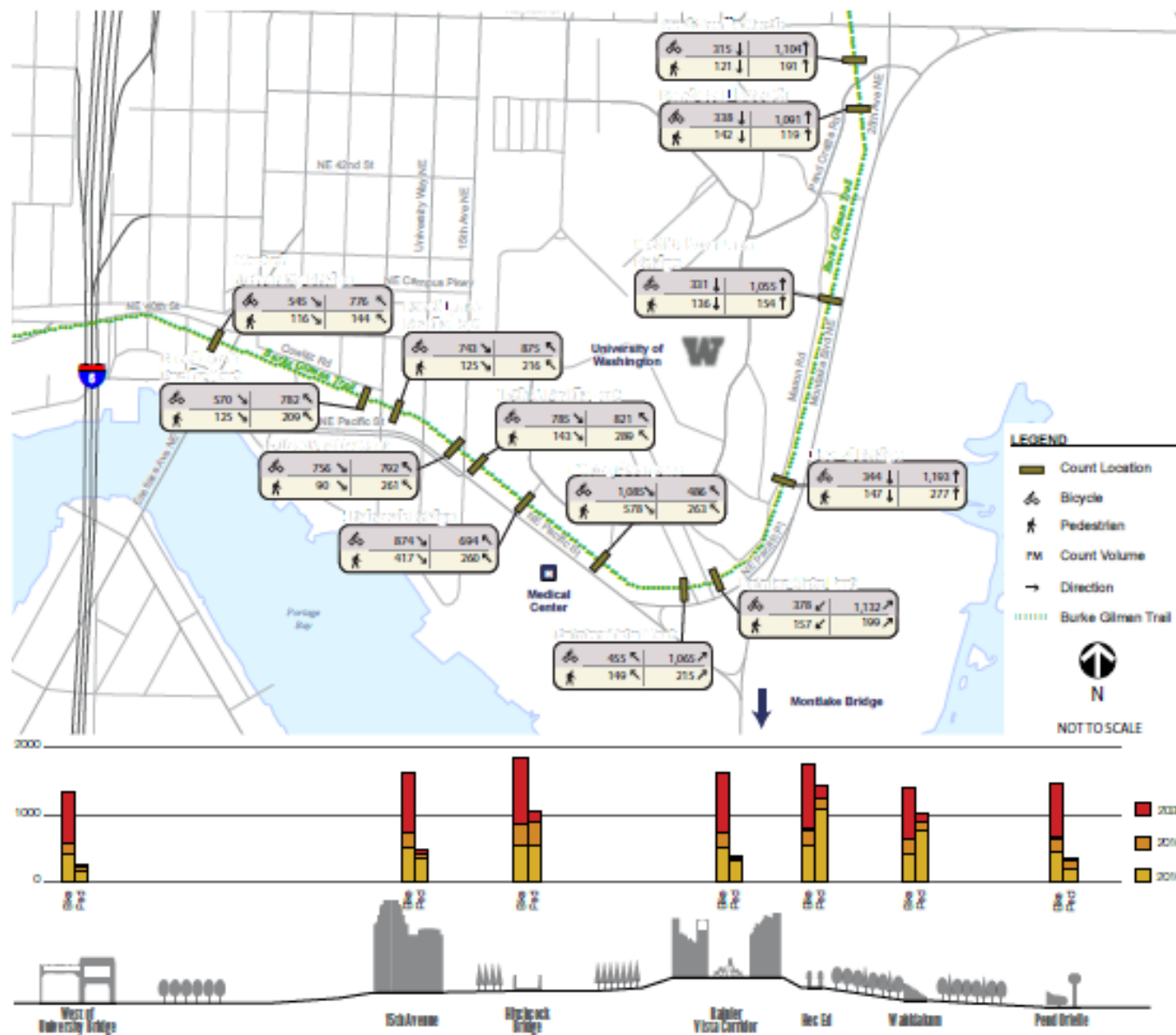


Figure 24. Trail count location and volumes with graph of projected traffic counts, 2030 (PM peak hour). Top graphic lists projected through volumes (not crossing/turning) at peak hour, including both background growth and LINK generated traffic. Bar chart reflects same numbers but also includes crossing/turning volumes at each respective point.



Figure 13. 15th Avenue NE



Figure 10. Pend Oreille Road



Figure 3. Mixed traffic conditions on Burke-Gilman Trail at Hec Edmundson Bridge



Figure 12. University Way NE



Figure 11. Brooklyn Avenue NE



Figure 1. Major Development Projects Impacting the Burke-Gilman Trail

VII. STANDING COMMITTEES**B. Finance, Audit and Facilities Committee**Advancement Return on InvestmentINFORMATION

The material presented here offers FY11 and FY 07-11 average Advancement Returns, and Revenue and Expenditures.

Attachments

1. Cost Per Dollar Raised for Fiscal Year 2010-2011 and 5-Year Average
2. Expenditure History by Fiscal Year
3. Revenue and Expenditures FY2006-2007 Through FY2011-2012
4. University Advancement Revenue Sources

University Advancement

Cost Per Dollar Raised for Fiscal Year 2010-2011 and 5-Year Average

Constituency Unit	Costs	Gifts	Grants	Total Gifts & Grants	FY 10-11 Cost/Dollar	5-Year Average Cost/Dollar
UW Medicine	5,045,814	32,304,175	95,690,516	127,994,691	0.039	0.038
Arts and Sciences	3,376,084	16,192,654	10,173,525	26,366,179	0.128	0.121
Built Environments	334,353	2,619,591	1,477,491	4,097,082	0.082	0.135
Business School	1,629,538	14,099,968	-	14,099,968	0.116	0.100
Dentistry	396,600	4,764,453	116,067	4,880,520	0.081	0.127
Education	640,321	1,846,448	2,607,010	4,453,458	0.144	0.153
Engineering	2,287,265	11,788,821	16,315,497	28,104,318	0.081	0.100
Environment	1,117,799	3,779,039	6,445,452	10,224,491	0.109	0.091 *
Evans School of Public Affairs	288,575	374,545	885,352	1,259,897	0.229	0.184
Graduate School	460,549	2,645,866	784,205	3,430,071	0.134	0.182
Information School	353,573	457,303	521,232	978,535	0.361	0.243
Intercollegiate Athletics	1,857,477	25,769,643	-	25,769,643	0.072	0.075
Law	908,001	3,594,968	360,000	3,954,968	0.230	0.387
Libraries	361,056	2,221,330	-	2,221,330	0.163	0.290
Minority Affairs	402,158	531,804	593,259	1,125,063	0.357	0.540 *
Nursing	360,647	1,616,596	956,054	2,572,650	0.140	0.115
Pharmacy	352,557	1,501,664	1,948,158	3,449,822	0.102	0.094
Public Health	215,661	910,235	20,072,196	20,982,431	0.010	0.015
Social Work	761,880	2,186,902	1,638,965	3,825,867	0.199	0.191
Student Life	341,078	24,665,211	-	24,665,211	0.014	0.069 *
Undergraduate Academic Affairs	275,357	648,495	1,487,266	2,135,761	0.129	0.316 *
UW Bothell	450,754	690,202	1,199,925	1,890,127	0.238	0.448
UW Tacoma	678,487	5,199,510	8,029	5,207,539	0.130	0.129
Other Constituencies ¹	2,981,416	9,792,555	1,155,498	10,948,053	0.272	na
AVP Constituency Programs ²	994,980	-	-	-	na	na
Total Constituency Units³	26,871,980	170,201,978	164,435,697	334,637,675	0.080	0.077
University-Wide Services⁴	13,697,481	-	-	-	na	na
Total	40,569,461	170,201,978	164,435,697	334,637,675	0.121	0.119

Costs Detail:

Constituency Units	12,975,469
University Advancement	27,593,992
Total	40,569,461

Notes

* 3-year averages; new units in FY 08-09

- Other Constituencies* includes: UW Alumni Association (membership-related), Broadcast Services (UWTV, KUOW Radio and KEXP Radio), President's Funds, Applied Physics, Naval Science, and Provost's Office
- AVP Constituency Programs* includes: AVP Constituency and Corporate & Foundation Relations
- Total Constituency Units costs* includes: Unit and University Advancement costs for a combined total of \$26,871,980. Detail:

Constituency Units	12,975,469
University Advancement	13,896,511

- University-Wide Services* includes: Advancement Services, Finance & Administration (includes rent), Individual Giving Programs, VP Advancement, UW Marketing and UW Foundation Support

University Advancement Expenditure History by Fiscal Year

	FY 06-07	FY 07-08	FY 08-09	FY 09-10	FY 10-11
Constituency Units¹	11,371,291 46%	13,317,777 47%	14,667,293 51%	12,211,942 48%	13,896,511 50%
<i>University-Wide Services:</i>					
Fund Raising²	4,916,040 20%	5,436,772 19%	5,181,453 18%	5,261,426 21%	4,846,110 18%
Marketing & Communications³	3,085,532 13%	3,973,621 14%	3,808,892 13%	2,535,639 10%	2,576,125 9%
Other Services⁴	5,130,218 21%	5,806,792 20%	5,168,689 18%	5,344,236 21%	6,275,246 23%
Subtotal: University-Wide Services	13,131,789 54%	15,217,185 53%	14,159,034 49%	13,141,301 52%	13,697,481 50%
TOTAL⁵	24,503,080 100%	28,534,962 100%	28,826,327 100%	25,353,243 100%	27,593,992 100%

Notes

1. *Constituency Units* includes: Constituency Units, AVP Constituency, UW Medicine, UW Alumni Association (effective FY 09-10), and Corporate & Foundation Relations (effective FY 10-11)
2. *Fund Raising* includes: Annual Giving, AVP Individual Giving Programs, Planned Giving, Principal Giving, Regional Giving, Strategy & Planning, and VP Advancement. Corporate & Foundation Relations was included prior to FY 10-11
3. Alumni & Constituent Relations was included in *Marketing & Communications* prior to FY 09-10
4. *Other Services* includes: Advancement Research & Relationship Management, AVP Advancement Services, Stewardship, Gift Processing, Information Management, Finance & Administration (includes rent), and UW Foundation Support
5. Constituency Unit Advancement costs for FY 10-11 totaled \$12,975,469. These costs are not reflected in the above figures

University Advancement Revenue and Expenditures FY 2006-2007 Through FY 2011-2012

	FY 06-07	FY 07-08	FY 08-09	FY 09-10	FY 10-11	FY 11-12 Projected
Beginning Fund Balance	5,288,849	7,384,741	8,195,638	6,572,641	7,401,555	9,306,368
80 Basis Points Endowment Fee	15,093,784	16,901,481	14,317,691	14,256,637	15,687,771	16,700,000
Parking	866,216	1,543,000	1,148,270	437,586	578,040	600,000
Endowment Suspense	1,128,425	1,418,000	700,000	512,017	1,101,035	450,000
Gift Interest	6,505,963	7,126,000	7,410,931	7,478,391	7,356,973	7,500,000
Institutional Support (DOF)	3,728,205	3,846,090	4,173,071	3,729,410	4,386,483	4,424,139
Total Revenue	27,322,594	30,834,571	27,749,963	26,414,041	29,110,302	29,674,139
Total Expenditures	(24,503,080)	(28,534,962)	(28,826,327)	(25,353,243)	(27,593,992)	(33,537,997)
Non-Operating Adjustments	(723,622)	(1,488,712)	(546,633)	(231,883)	188,504	
Ending Fund Balance	7,384,741	8,195,638	6,572,641	7,401,555	9,306,368	5,642,511

Notes

FY 11-12 Projected

Calculations for *80 Basis Points, Parking, Endowment Suspense, Gift Interest and Institutional Support (DOF)* based on projections from UW Treasury

80 Basis Points Endowment Fee distribution rate of 0.8% of CEF average balance (20-quarter rolling average)

Parking distribution rate of 4% for two quarters (2% annual) of newly invested endowments

Endowment Suspense distribution rate of 3% of year-end suspense balance

Gift Interest distribution rate of 2% of year-end current use balance

Institutional Support (DOF):

FY 09-10: cut of 11%

FY 10-11: cut of 2.3% offset by 8 months' decentralized benefits dollars

FY 11-12: cut of 5% offset by decentralized benefits increases

Total Expenditures

Constituency Unit Advancement costs for FY 10-11 totaled \$12,975,469. These costs are not reflected in the above figures

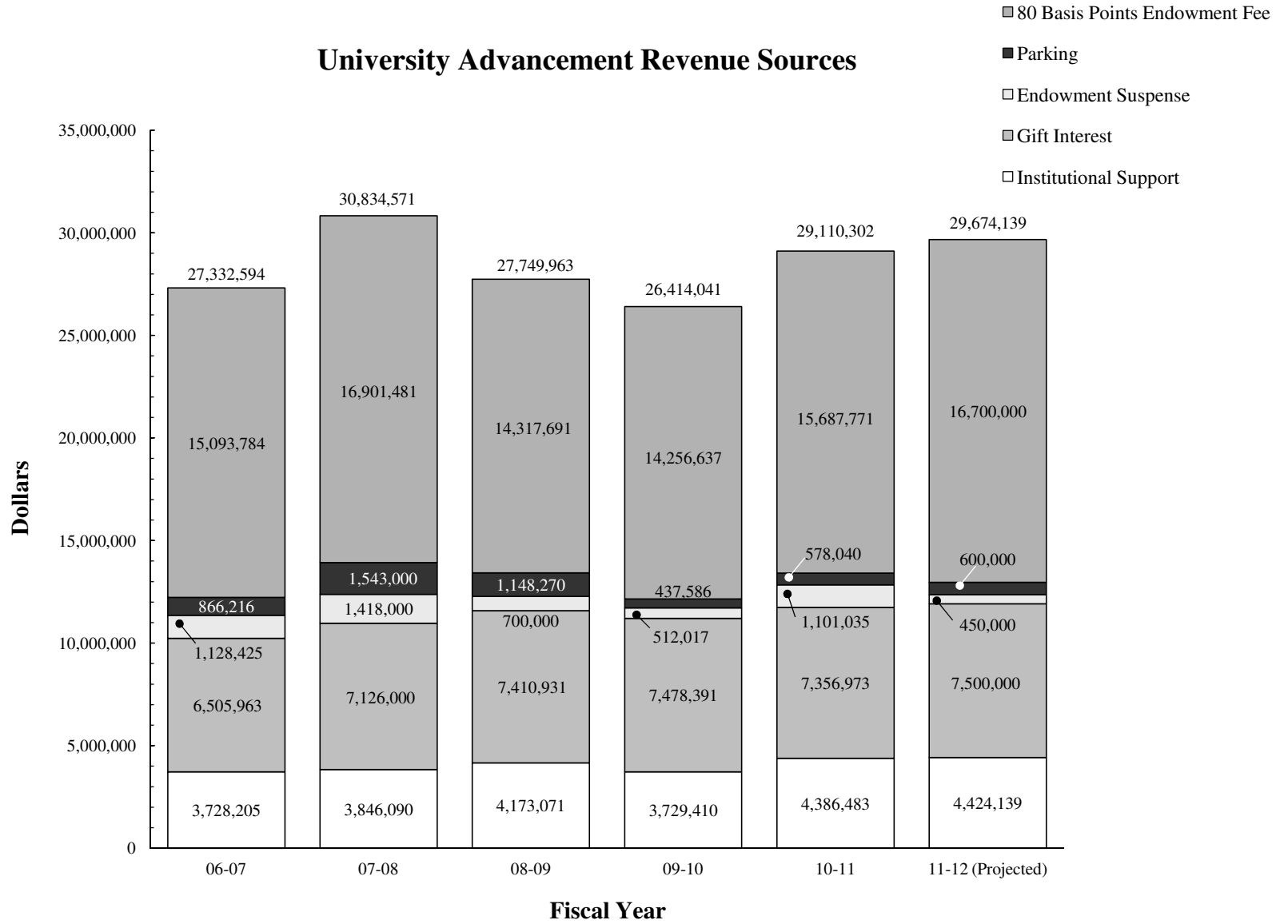
Non-Operating Adjustments

Non-Operating Adjustments are due to capital expenditures (FY 07-08 only) and timing differences

Ending Fund Balance

Advancement leadership strives to maintain a reserve of 3 months' expenditures in the *Ending Fund Balance* to hedge against volatility in revenue sources

University Advancement Revenue Sources



VII. STANDING COMMITTEES**B. Finance, Audit and Facilities Committee**

UW Medicine/Northwest Hospital - Approve Strategic Investment in Electrophysiology/Cardiac Catheterization Lab to Support Northwest Hospital as a Site of Service for UW Medicine Regional Heart Center

RECOMMENDED ACTION

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

- 1) the Electrophysiology/Cardiac Catheterization Lab expansion project for UW Medicine Regional Heart Center at Northwest Hospital, and
- 2) the transfer of \$9,390,000 from UW Medical Center to support the project.

PROJECT DESCRIPTION

The Northwest Hospital (NWH) project includes design, construction and equipping of a second cardiovascular procedural suite for primary electrophysiology (EP) use and secondary cardiac catheterization use, in an area adjacent to NWH's Emergency Department. The project is consistent with the UW Medicine Strategic Plan and will strengthen the UW Medicine Regional Heart Center in northern King County and southern Snohomish County, utilizing the existing model of each program site operating the facility under its own license. Providing the services under the UW Medicine Regional Heart Center brand coordinates the services pursuant to the UW Medicine strategic plan and leverages an existing strong brand presence. In addition, expansion will keep tertiary and quaternary services within the UW Medicine system for the benefit of other hospitals within the UW Medicine system.

BACKGROUND

In January 2010, as the NWH affiliation with UW Medicine was initiated, the UW Medicine Regional Heart Center and NWH met and identified priority opportunities to develop a UW Medicine Regional Heart Center presence at Northwest. Planning began, focusing on building a second cardiovascular procedure suite at NWH to accommodate EP procedures. The secondary purpose of the procedural suite addition is to create capacity for growth in acute cardiac interventions and general cardiac catheterization services.

The resulting project supports the strategic goals and growth targets of the UW Medicine Strategic Plan, including growth in cardiac services at NWH and related

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Medicine/Northwest Hospital - Approve Strategic Investment in Electrophysiology/Cardiac Catheterization Lab to Support Northwest Hospital as a Site of Service for UW Medicine Regional Heart Center (continued, p. 2)

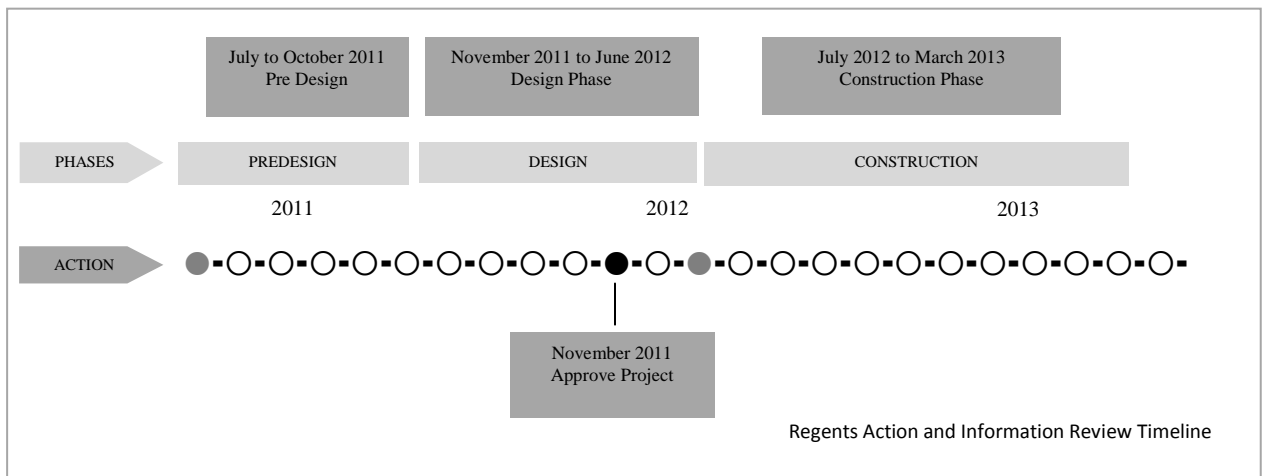
quaternary service growth at UW Medical Center (UWMC). The financial support from UWMC will expedite the project for the benefit of UW Medicine.

The preliminary design for the project has been done by Northwest Hospital and their design firm, ZGF. Design and construction will continue under the direction of Northwest Hospital. Funding for the project will be provided by UWMC over a two year period, FY 2012 and FY2013.

PROJECT SCOPE

The project includes design, construction and equipping of a second cardiovascular procedural suite for primary EP use and secondary cardiac catheterization use, in an area adjacent to Northwest Hospital's Emergency Department, It also includes the renovation of adjacent areas to accommodate waiting area, pre- and post-procedural patient care unit, and other cardiac diagnostics (Echocardiography and ECG).

PROJECT TIMELINE



Design, engineering and permitting will extend until June 2012 and construction from July 2012 through March 2013.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Medicine/Northwest Hospital - Approve Strategic Investment in Electrophysiology/Cardiac Catheterization Lab to Support Northwest Hospital as a Site of Service for UW Medicine Regional Heart Center (continued, p. 3)

PROJECT BUDGET AND FINANCIAL ANALYSIS

The total project budget is \$9,390,000, including construction project costs of \$6,340,000 and furnishings and equipment of \$3,050,000.

All funds will be provided by UWMC from patient revenues. The FY 2012 project costs are included in the approved UWMC FY2012 budget.

REVIEW AND APPROVALS

The project and the associated funding plan have been reviewed and approved by the UW Medicine Board and the Senior Vice President.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Medicine Board Annual Financial Report

This report is for information only.

Attachment

UW Medicine Board Annual Financial Report to the UW Board of Regents,
November, 2011



UW MEDICINE BOARD
ANNUAL FINANCIAL REPORT TO THE UW BOARD OF REGENTS

NOVEMBER, 2011



EXECUTIVE SUMMARY

UW Medicine performed well financially in FY 2011. External factors contributed to a challenging environment for UW Medicine as the economy remained weak and further reductions were made to federal programs and the Washington State Budget. In general, patient volumes were less than anticipated at UW Medicine and other health systems throughout the state and nation. Financial performance was enhanced in FY 11 by various programs including the American Recovery and Reinvestment Act (ARRA) and the Washington State Hospital Safety Net Assessment program.

FY 2011 marked the first full year of operations for Northwest Hospital as part of UW Medicine, and the strategic alliance adding Valley Medical Center as the eighth entity was completed with an effective date of July 1, 2011.

Total revenue for UW Medicine was \$3.2 billion in FY 2011, a 10% increase compared to FY 2010. Net income from operations for the UW Medicine health system (which excluded revenue in the School of Medicine, and included the practice plans) was \$131.7 million (5.8%). The consolidated balance sheet for UW Medicine's healthcare programs remained stable. Cash increased by over \$100 million during the year, but remains below the Moody's "A" rated level.

The School of Medicine (SOM) faced additional reductions in State funding, although research revenue remained strong. Overall revenues for the SOM increased 12% in FY 2011 from the prior year primarily due to grant activity. Reserves also increased primarily as a result of net practice plan income and investment income on the practice plan reserves.

With the addition of Valley Medical Center, UW Medicine became the largest healthcare system in Western Washington, strategically expanding our service area in part as preparation for healthcare reform. UW Medicine began an Accountable Care Organization (ACO) assessment with Chartis, LLC to evaluate strategic opportunities and positioning of the health system going forward in anticipation of health reform. UW Medicine is well positioned to meet the requirements of an ACO based on the system expansion and integration that has been implemented over the past two years. Going forward we will build on this success to focus on high quality patient care and cost control as payment reforms are implemented.

Financial Highlights for FY 2011

UW Medical Center (UWMC)

UWMC had positive financial results due to strong tertiary and quaternary patient volumes including neonatal intensive care admissions and solid organ transplants. Reimbursement improved due to the Hospital Safety Net Assessment program as well as revenue cycle improvements attributed to the successful EPIC billing system conversion and improved collections on patient accounts. Net income from operations was \$54.1 million (6.4%).

Harborview Medical Center (HMC)

Harborview experienced lower overall patient volumes including elective services, lower than anticipated acuity and a rise in the uninsured population. Offsetting these variances were positive changes in payer mix and strong expense control. HMC's charity care was consistent with the prior year at \$189 million for FY 2011 compared to \$187 million in FY 2010. HMC sustained a loss from operations of (\$10.0) million.

On July 1, 2010, Airlift Northwest (ALNW) was dissolved as a separate entity, and ownership and operational control transferred to the University of Washington. In accordance with Governmental Accounting Standards Board (GASB) guidance, the transfer of HMC's 70% ownership percentage in ALNW resulted in a \$9.5 million non-operating expense on the financial statements of HMC for FY 2011.

Northwest Hospital (NWH)

Both inpatient and outpatient volumes were below budget at Northwest Hospital during FY 2011. While many initiatives are under way that will improve NWH's performance, the positive impact has not yet been realized. NWH reported a loss from operations of (\$15.5) million.

UW Neighborhood Clinics (UWNC)

UWNC required \$8.6 million of operating funding in FY 2011, \$1 million in excess of expectations. The variance from budget was largely due to mid year approved strategic initiatives to expand the hours of operation and add urgent care services to select clinics. During FY 2011 construction was substantially completed for the new Ravenna clinic which opened in October 2011. There was also lower than expected revenue from a fee increase and an increase in the governmental payer mix.

University of Washington Physicians (UWP)

FY 2011 revenues were \$231.0 million, an increase of \$12.5 million over FY 2010. The increase is associated with a 3% increase in volumes (as measured in relative value units) as well as accelerated payments from the State Enhanced Trauma Fund of \$5.7 million over FY 2010. UWP reserves increased, primarily due to positive investment income. Children's University Medical Group (CUMG) revenues of \$128.0 million were up by \$5.3 million over FY 2010.

Seattle Cancer Care Alliance (SCCA)

SCCA had a very strong year financially, with a change in net assets of \$28.0 million. The majority of the positive financial performance is attributable to the outpatient services program and the recognition of \$7.4 million of restricted donations for the SCCA's proton facility project. UW Medical Center records SCCA financial results using the equity method, reporting one-third of the total change in net assets as "non-operating revenue."

Airlift Northwest (ALNW)

Flight volumes at ALNW were impacted by inclement weather during FY 2011 with the number of flights at 14% lower than budget. Despite the lower volumes, leadership provided excellent expense management and cost reductions, which resulted in ALNW recording operating income of \$0.8 million in FY 2011. Effective July 1, 2010, ALNW was dissolved as a separate entity, with ownership transferred to the University of Washington. This change in ownership had no impact on the management structure or day to day operations; however HMC was required to report a one time non-operating expense of \$9.5 million to record the transfer of ownership interest.

UW School of Medicine (SOM)

The State of Washington support for the SOM was reduced by \$4.7 million in FY 2011. Fortunately, educational support from Alaska, Montana, Idaho and Wyoming remained stable and grant funded research continued to increase. Overall, revenue for the SOM increased from \$1.1 billion in FY 2010 to \$1.2 billion in FY 2011, an increase of 12%.

Private Support

Total private support for UW Medicine for FY 2011 was \$128.0 million, comprising 38% of the University's private support for the year. Private grants decreased in FY 2011 to \$95.7 million from \$101.9 million in FY 2010, and gifts decreased to \$32.3 million in FY 2011 compared to \$35.3 million in FY 2010. The decrease in private grants reflects, in part, the impact of the economic recession on funding from private foundations.

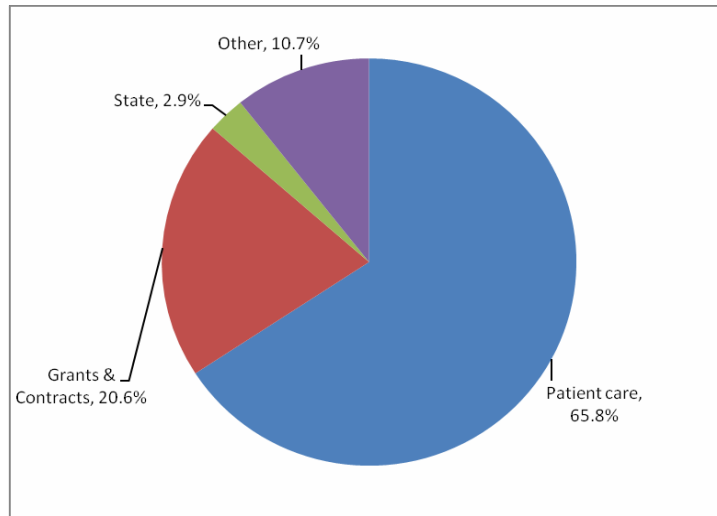
Transfers and Support

Approximately \$615 million of total revenues were transferred between various UW Medicine entities and affiliates to support teaching, research, and patient care activities. In FY 2011, the major components included: \$276 million from the physician practice plans (UWP and CUMG) to support School of Medicine faculty salaries, clinical department operations, and central SOM expenditures; \$170 million from UWMC, HMC, and the Seattle Children's Hospital, to SOM clinical departments to provide faculty salary and program support; \$42 million from UWMC and HMC to the SOM clinical departments to support graduate medical education; \$26 million in purchases of SOM developmental lab services by the medical centers; \$22 million from the medical centers, practice plans, and SOM to support the central administrative and service functions of UW Medicine; \$7 million in UWMC and HMC purchases of services from the Consolidated Laundry; and \$6 million in research facilities support from SOM to HMC. There was \$66 million in purchases of supplies and services between UWMC, Fred Hutchinson, and the Seattle Cancer Care Alliance related to the operation of inpatient and outpatient oncology services at the SCCA and UWMC.

KEY STATISTICS & RESULTS

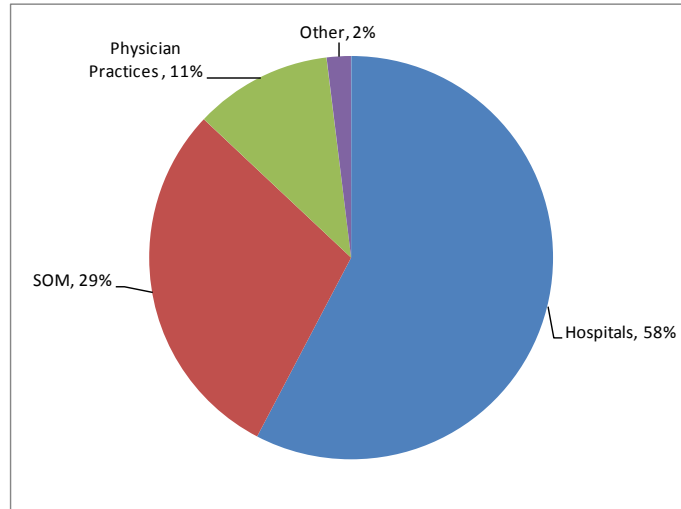
UW Medicine revenues were \$3.2 billion in FY 2011. This represents an increase of approximately 10% compared to FY 2010. The following charts summarize the sources of revenue for UW Medicine. Over the last five years, total UW Medicine revenue has increased at an average rate of 9% per year. These increases have occurred in the setting of a competitive local health care market, significant reductions in state-funded programs and a very competitive process for peer reviewed research grant funding.

Fiscal Year 2011 – Revenue by source



(Other includes support from Wyoming, Alaska, Montana, and Idaho, and revenue from endowments and gifts).

Fiscal Year 2011 – Revenue by entity



(Other includes Airlift Northwest and the Consolidated Laundry.)

UW Medicine financial support comes predominantly from patient care revenues (65.8%) and research grants and contracts (20.6%). The following sections highlight the performance in each of these areas.

PATIENT CARE

The following table summarizes operating revenue received by the UW Medicine healthcare system in FY 2010 and FY 2011. This table does not include research grants and other funds received by the School of Medicine and does not include revenue from the Seattle Cancer Care Alliance outpatient services.

UW Medicine Health System	Operating Revenue (in millions)	
	2010	2011
Harborview Medical Center	\$ 703.3	\$ 730.4
UW Medical Center	811.5	849.7
Northwest Hospital & Medical Center	133.4*	276.7
UW Physicians	218.5	231.0
UW Neighborhood Clinics	24.0	25.2
Children's University Medical Group	122.7	128.0
Airlift Northwest	32.3	34.5
Eliminations and Other	(19.8)	(15.2)
Total	\$ 2,025.9	\$ 2,260.3

*NWH 2010 reflects 6 months of operations

Net operating income from UW Medicine clinical operations for FY 2011, after adjusting for revenues counted in more than one entity (e.g., UWP billings for physicians working in UWNC), was \$131.7 million or 5.8% of operating revenue. UWMC generated \$54.1 million of operating income, Harborview lost \$10.0 million, and Northwest Hospital had an operating loss of \$15.5 million. Airlift NW generated \$0.8 million of operating income. The UW Neighborhood Clinics required \$8.6 million in support from UWMC and Harborview to offset expenses. UWNC losses for primary care are consistent with experiences at other comparable practices in academic medical centers and private settings. The secondary and tertiary care generated by UWNC results in significant revenue at UW Medicine hospitals. The net income (operating and non operating) generated by UWP, \$100.2 million, and CUMG, \$27.4 million, is distributed to the School of Medicine departments, Dean's office, and Seattle Children's Hospital (for a portion of CUMG revenue) to support operations.

The following tables provide benchmark comparisons for the medical centers.

Ratio/Indicator	Moody's "A"	UW Medical Center	Harborview Medical Center	Northwest Hospital & Medical Center
Operating margin	2.6%	6.4%	(1.4)%	(5.6)%
Debt to capitalization	38.6%	22.6%	0.9%	53.7%
Days cash on hand	179.7	148.4	100.3	63.6
Days in A/R (net)	44.4	44.9	63.4	42.7

- Harborview provided over \$189 million of charity care in FY 2011 as measured by foregone charges – an increase of \$2 million over FY 2010.
- The Harborview debt to capitalization number reflects the capital support provided by King County through voter-approved general obligation bonds.
- Days in accounts receivable remained relatively flat, which was a positive result given the conversion of the UWMC and HMC hospital billing systems August 1, 2010.

5-YEAR PERFORMANCE COMPARISON

The overall patient care activity of the UW Medicine Health System remains stable. The following tables summarize the clinical activity for the owned and managed components of UW Medicine and the SCCA.

Harborview Medical Center

Statistic	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Admissions	18,538	18,597	19,424	19,578	19,879
Patient Days	133,345	136,662	136,687	135,124	136,619
Outpatient visits	218,229	230,315	224,769	246,420	241,924
Emergency visits	76,491	68,987	65,515	62,174	61,307
Average Length of Stay	7.2 days	7.4 days	7.0 days	6.9 days	6.9 days

UW Medical Center

Statistic	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Admissions	18,866	18,993	19,322	19,260	18,919
Patient Days	115,659	115,270	113,468	114,362	115,447
Outpatient visits	327,297	324,812	333,675	323,393	306,825
Emergency Visits	27,868	29,038	27,046	25,602	24,119
Average Length of Stay	6.1 days	6.1 days	5.9 days	5.9 days	6.1 days

Northwest Hospital & Medical Center

Statistic	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Admissions					10,743
Patient Days					47,194
Outpatient visits					418,442
Emergency Visits					35,146
Average Length of Stay					4.4 days

UW Neighborhood Clinics

Statistic	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Clinic Visits	218,561	201,645	188,148	193,280	189,597
New Patients	14,867	11,768	10,264	11,567	11,894

Seattle Cancer Care Alliance

Statistic	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Clinic Visits	43,230	48,928	54,851	60,046	72,217
Admissions	428	573	607	560	643

Inpatient admissions for the SCCA 20 bed unit at UWMC are included in the UWMC admissions total.

RESEARCH PROGRAMS

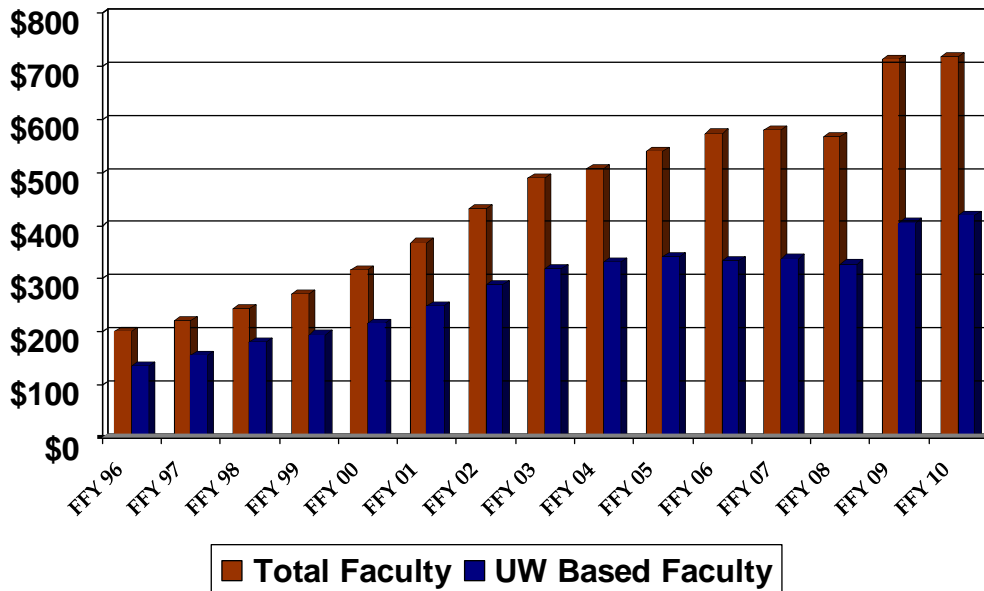
UW Medicine research continues to grow. UW School of Medicine grant and contract awards through the University of Washington totaled \$673 million in FY11. This was an \$18 million (3%) increase over FY10. ARRA awards were \$94M in FY11 and \$90M in FY10 (14% of total awards in both years). The following table summarizes the UW-based SOM research awards over the past four years.

(\$ in millions)

	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011 (prelim)	Average annual change
Federal	\$376.0	\$371.5	\$361.8	\$470.6	\$475.1	6%
Non-federal	\$118.1	\$145.8	\$204.4	\$185.2	\$198.2	14%
Total	\$494.1	\$517.3	\$566.2	\$655.8	\$673.3	8%

NIH awards represent the largest single source of awards received by UW Medicine faculty. The following chart tracks the growth of NIH awards to UW Medicine faculty over the past 15 federal fiscal years ending in federal fiscal year 2010. NIH funding is on a federal fiscal year basis and comparative information is not available until several months after the close of the fiscal year on September 30.

NIH Grant Awards to UW Medicine
(\$ in millions)



Note: Average annual growth rate: 9% for total faculty; 8% for UW-based faculty.

In federal fiscal year 2010, there were 884 separate NIH awards to 550 UW-based SOM Principal Investigators. There were an estimated 903 UW-based SOM regular and research faculty working on those grants. In addition to these NIH awards managed by the University of

Washington, 449 NIH awards were received by School of Medicine faculty and were managed by affiliated institutions (e.g., Fred Hutchinson Cancer Research Center, Seattle Children’s Hospital, and Seattle Biomedical Research Institute). In total, NIH awards to UW Medicine faculty were \$717.8 million in federal fiscal year 2010, an increase of \$4.6 million (1%) over federal fiscal year 2009. A significant component of the NIH growth is attributable to grants funded through the American Recovery and Reinvestment Act (ARRA).

UW Medicine faculty were second in the country among all medical schools, and first among public medical schools, in NIH research funding based on federal fiscal year 2010 awards.

-----\$ in millions -----

Institution	2006 NIH Awards	2010 NIH Awards	% change
Harvard	\$1,172.5	\$1,729.2	47.5%
U of Washington	\$573.2	\$717.8	25.2%
U of Pennsylvania	\$485.7	\$662.0	36.3%
UCLA	\$425.2	\$569.4	33.9%
UCSF	\$433.8	\$535.9	23.5%
Johns Hopkins	\$471.6	\$480.0	1.8%
Columbia	\$320.8	\$473.1	47.5%
Michigan	\$325.5	\$447.1	37.4%
Washington Univ.	\$360.1	\$431.6	19.9%
Duke	\$349.9	\$412.6	17.9%
U of Pittsburgh	\$341.8	\$410.9	20.2%
Yale	\$305.1	\$408.8	34.0%
Vanderbilt	\$256.5	\$406.9	58.6%
UCSD	\$260.3	\$346.4	33.1%
Stanford	\$252.2	\$344.9	36.8%

UW Medicine’s comparative success recently in NIH funding is due to a number of factors, including the interdisciplinary breadth of our research programs, the addition of new laboratory space at South Lake Union, and the increased emphasis on 21st century science such as genomics, proteomics, regenerative medicine, and global health research.

LOOKING FORWARD – FY 2012

Several key external and internal factors will continue to influence UW Medicine’s financial performance in FY 2012. The external factors include the general state of the economy, the impact of state budget reductions on health care funding for governmental programs, and federal health reform legislation. The internal factors include our continued success in implementing rapid and system wide process improvements to mitigate the impact of the state health care program budget reductions, and executing on our strategic priorities. The following paragraphs highlight several of the key activities that will mark FY 2012.

Strategic planning

UW Medicine’s strategic planning work continues, with a focus on building key clinical programs, improving core systems, access, quality, safety, service and advancing organizational performance improvement including cost reduction activities. With the addition of Valley

Medical Center, we are in a very good position to expand our market position and continue to consolidate services to be able to provide the best care at the most cost effective location, resulting in high quality care provided in an efficient manner.

Northwest Hospital & Medical Center

Integration efforts will continue to accelerate in FY 12, including the relocation of the UW Medicine Midwife, Orthopedic Joint Surgery, and Multiple Sclerosis programs to the NWH campus. UW Medicine's Regional Heart Center strategic plan supports the expansion of cardiac catheterization and electrophysiology services at NWH. This expansion will be completed by FY 13.

The SCCA broke ground on the proton beam facility in March 2011. When it opens in early 2013 on the campus of Northwest Hospital & Medical Center, the 60,000-square-foot facility will be the only proton beam site in WWAMI and one of only a handful of centers in the nation to offer proton therapy.

Valley Medical Center

Valley Medical Center became the eighth entity of UW Medicine effective July 1, 2011. Consistent with the terms of the strategic alliance, the Operational Integration Oversight Committee (OIOC) has been established and began meeting in August 2011. This committee will oversee the development of the UW Medicine strategic plan at VMC and prioritize integration opportunities for UW Medicine/VMC.

South Lake Union Phase III

The development of new research space at South Lake Union is a key step in ensuring the continued growth of UW Medicine's research programs. Slated for completion in spring 2013, the first building (Phase 3.1) is a 183,000-square-foot laboratory building that will be home to more than 400 researchers. Research themes identified for the first Phase III building include vision sciences, immunology, kidney research, rheumatology and infectious diseases.

Federal Health Reform

While the major changes in coverage will take effect beginning in 2014, there may be significant changes by the state and federal government to implementation plans for health reform between now and 2014. We continue to monitor closely the status of health reform and the impact to UW Medicine and provide key input and direction through our state and federal representatives. UW Medicine leadership is actively involved on key health care reform committees on a state and federal level. Included in these efforts is our work analyzing the appropriate involvement in Accountable Care Organization pilot programs. Since nearly all reform scenarios result in lower reimbursement for healthcare services, it is important to continue focus on reducing our cost structure, enhancing our IT platform to support clinical care, administration and decision-making, and strengthening our financial systems and contracting and payer relations functions

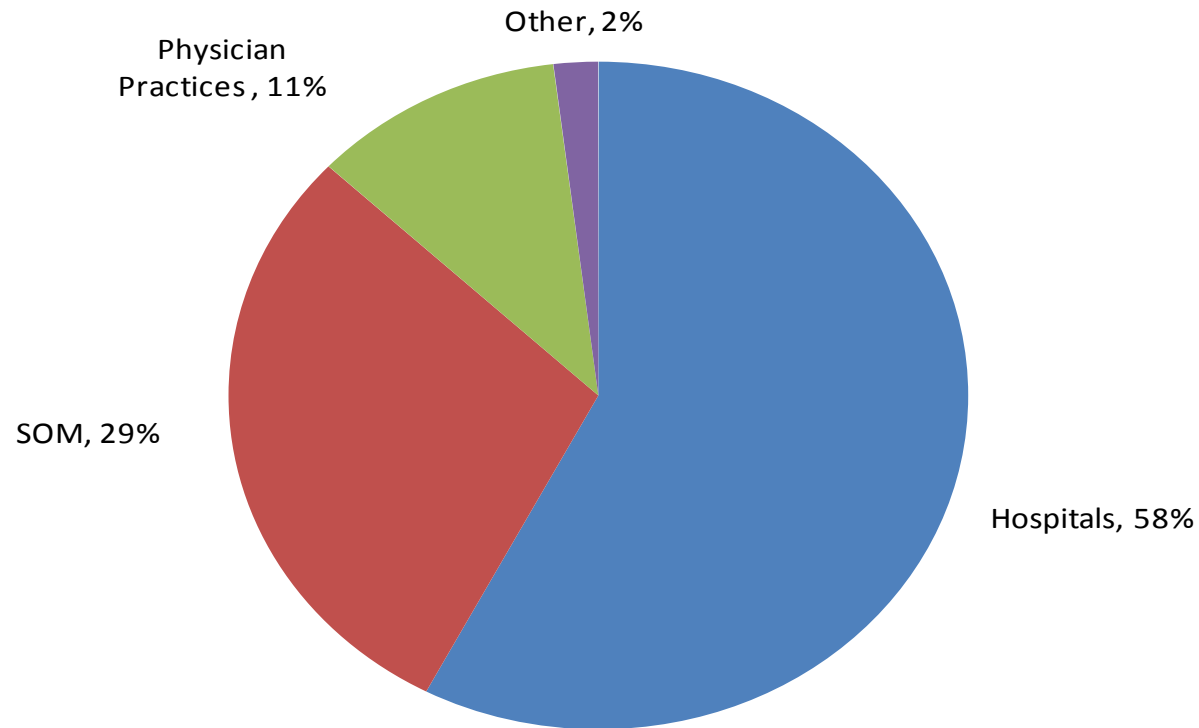
Over the past year UW Medicine has continued to advance and execute on the strategic plan to position our organization for the future. These active and focused efforts will continue through 2012 to assure our ability to deliver on our mission of improving health. UW Medicine's success is attributed to the excellence of its faculty, staff, students and trainees who are committed to its mission and to the support provided to us by the entity boards and committees of the boards, the UW Medicine Board and the UW Board of Regents.

UW Medicine
Annual Financial Report
to the University of Washington
Board of Regents

November 17, 2011

UW Medicine Annual Financial Report

FY 2011 Revenue by Entity



\$3.2 billion in total revenue

Average growth rate of 9% over last 5 years

UW Medicine

UW Medicine Annual Financial Report

Positive financial performance for the system

	Actual FY 2010	Budget FY 2011	Actual FY 2011	Increase	% Change
Hospital and Clinical Operating Revenue (millions)	\$2,026	\$2,270	\$2,260	\$234	12%

- Despite lower than budgeted volumes patient service revenues were close to budget and increased compared to prior year
- Major factors: Full year impact of Northwest, high severity, and improvements in billing and collections due to Epic implementation

UW Medicine Annual Financial Report

School of Medicine revenue increased over prior year

	<u>Actual FY 2010</u>	<u>Budget FY 2011</u>	<u>Actual FY 2011</u>	<u>Increase</u>	<u>% Change</u>
School of Medicine Revenue (millions)	\$1,070	\$1,132	\$1,195	\$125	12%

- Research grants remained strong, with large increases in Departments of Medicine, Global Health and Genome Sciences
- Revenue includes American Recovery and Reinvestment Act (ARRA) funds of \$42M for 2010 and \$82M for 2011

UW Medicine Annual Financial Report

- Operating expenses were managed to budget
- Balance sheet strengthened
 - Cash and investments increased \$100M
 - Days in accounts receivable stable and in line with benchmarks
- School of Medicine endowment balance of \$521M

UW Medicine Annual Financial Report

Fiscal Year 2012 Risk Areas

- Volumes
- Payer Mix/Reimbursement
- Federal and State Budgets
- Healthcare Reform

Execute to meet budgeted financial targets at the system level

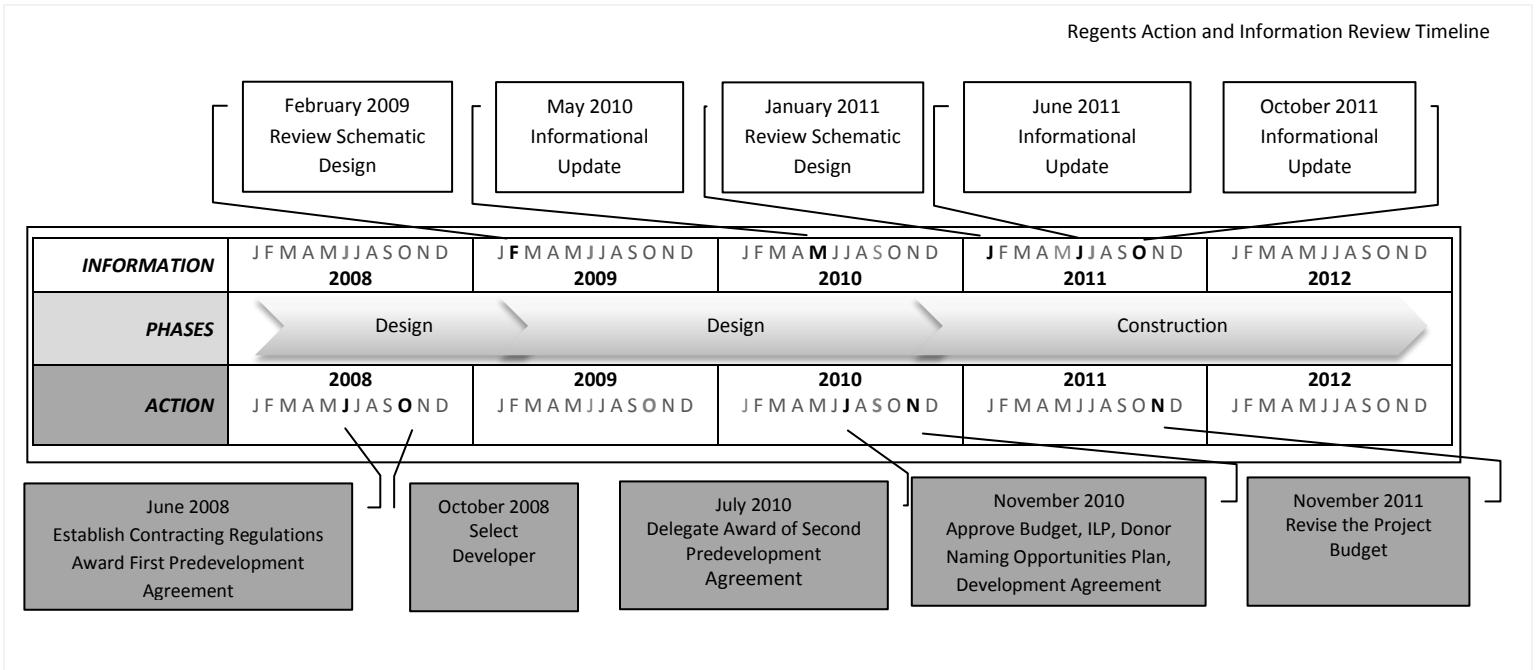
VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

in Joint Session with

B. Finance, Audit and Facilities Committee

Husky Stadium Renovation – Revise the Project Budget and Approve Funding



RECOMMENDED ACTION

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

- 1) Increase the Husky Stadium Renovation Project budget to \$260,832,000 to reflect additional project scope for the UWMC Sport Medicine and Sports Performance Center, and
- 2) Increase the use of the Internal Lending Program (ILP) up to \$261,500,000 to fund design, construction, capitalized interest, and other project costs associated with the Sports Medicine and Sports Performance Center.

PROJECT DESCRIPTION

The Husky Stadium Renovation Project will renovate, replace and add to the existing facility to bring the stadium up to current competitive venue standards,

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

in Joint Session with

B. Finance, Audit and Facilities Committee

Husky Stadium Renovation – Revise the Project Budget and Approve Funding (continued, p. 2)

correct structural and building code deficiencies, meet current Americans with Disabilities Act (ADA) standards for accessibility, upgrade the fan experience, increase revenues to support other sports programs, strengthen Intercollegiate Athletics as a self-sustaining unit and collocate upgraded team training facilities. A developer lead delivery model was recommended by the Stadium Committee and implemented by the University to help mitigate impacts with the current Sound Transit construction activities, take advantage of the depressed construction market and shorten the time for completion of the project.

INCREASED PROJECT SCOPE

The increased project scope is to add the University of Washington Medical Center (UWMC) Sport Medicine and Sports Performance Center (the “Center”) at the south side of the Stadium. The Department of Intercollegiate Athletics and UWMC have been working together for decades. This collaborative relationship has led to numerous partnerships between student-athletes, coaches, doctors and staff members. In particular, the current Sports Medicine Center has been a critical partner in the success of Husky Athletics. With the renovation of Husky Stadium, the Sports, Spine and Orthopedic Health Center shared a program vision that combines the success of UWMC and ICA to create a flagship all-encompassing Center that will change the face of sports medicine in the Northwest, compete for the best sports medicine program in the nation and provide UW student-athletes with the best care in the country.

UWMC and ICA have agreed to develop a 30,660 square feet facility on the south side of Husky Stadium to house the UWMC Center. UWMC will pay for the project through a 30 year internal lease agreement with ICA.

PREVIOUS ACTIONS

June 2008	Approve developer Process
May 2010	Informational update to discuss issuing a Request for Proposals to Select a Developer
July 2010	Delegate Authority to Sign Predevelopment Agreement with Wright Runstad

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

in Joint Session with

B. Finance, Audit and Facilities Committee

Husky Stadium Renovation – Revise the Project Budget and Approve Funding (continued, p. 3)

November 2010	Adopt the project budget for the Husky Stadium Renovation at \$250,000,000 and approve use of the Internal Lending Program (ILP) for up to \$250,000,000 for design, construction, capitalized interest, and other project costs; approve the Donor Naming Opportunities Plan; and delegate authority to the president to sign a Development Agreement with Wright Runstad & Company
June 2011	Informational update prior to the authorization of the pre-construction phase and construction phase limited for site work
October 2011	Informational update prior to the authorization of the complete construction phase work

PROJECT SCHEDULE

Predevelopment (Schematic Design) Regents meeting to approve the project	September – October 2010 November 18, 2010
Development Agreement executed Design Development Construction Documents	December 2010 December 2010 - January 2011 February 2011 – June 2011
Start construction	November 2011
Games played at Qwest Field	2012
Construction complete Occupancy	August 2013 September 2013

CURRENT PROJECT STATUS

Construction was authorized and started on November 7, 2011 after the home game against the University of Oregon. The contractor has fenced off the construction area and is preparing to start demolition work of the existing lower bowl, west and south stands.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

in Joint Session with

B. Finance, Audit and Facilities Committee

Husky Stadium Renovation – Revise the Project Budget and Approve Funding
(continued, p. 4)

FINANCING PLAN

The sources and uses (both Current and Revised) for the Center project are below:

<u>Sources of Funds</u>	<u>Current</u>	<u>Revised</u>
Stadium ILP Loan, January 2016	210,221,000	210,221,000
New ILP Loan	0	11,407,000
Gifts	50,000,000	50,000,000
Total Sources of Funds	260,221,000	271,628,000
<u>Uses of Funds</u>		
Stadium Project Cost	250,000,000	250,000,000
Sports Medicine and Sports Performance Center		10,832,000
Total Project Cost	250,000,000	260,832,000
Stadium Capitalized interest to Aug 2013	12,200,000	12,200,000
Stadium Cost of issuance	2,200,000	2,200,000
Less payments to June 2016	(4,179,000)	(4,179,000)
Center Capitalized Interest	0	462,000
Center Cost of Issuance	0	113,000
Total Financing Costs	10,221,000	10,796,000
Total Uses of Funds	260,221,000	271,628,000
<u>Sources of Repayment for Debt Service</u>		
ICA Net Revenues	14,300,000	14,300,000
Center Lease Payment (debt service portion only)	0	785,000
Total Sources of Repayment	14,300,000	15,085,000

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

in Joint Session with

B. Finance, Audit and Facilities Committee

Husky Stadium Renovation – Revise the Project Budget and Approve Funding
(continued, p. 5)

CREDIT ANALYSIS

The Treasury Office performed a credit analysis for both ICA and UWMC as part of the due diligence for this borrowing.

The ILP loan for the Center will be made to ICA and repaid from ICA system revenues. ICA will use the lease payments it receives from UW Medical Center to pay the loan. In addition, UWMC will be responsible for all operating costs, equipment and future capital expenditures associated with the Center.

In the event that patient revenues from the Center are insufficient to make the lease payment to ICA and pay all associated costs, UW Medical Center will make up the shortfall from UWMC system revenues.

Based on the agreement with UWMC, the plan for the Center, and the revenues and reserves of UWMC, the Treasury Office believes that the financial risks of proceeding with this project are acceptable.

REVIEWS AND APPROVALS

This plan has been reviewed and approved by the Chief Health System Officer - UW Medicine, the Director of Athletics, and the Senior Vice President.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

in Joint Session with

B. Finance, Audit and Facilities Committee

Approve Revised Endowment and Program Naming Policy

RECOMMENDED ACTION

It is the recommendation of the administration, the Academic and Student Affairs Committee, and the Finance Audit and Facilities Committee that the Board of Regents approve the revised Endowment and Program Naming Policy (*Board of Regents Governance*, Regent Policy No. 9), to be effective July 1, 2012.

BACKGROUND

After discussion with President Young, deans and vice presidents, chief advancement officers and key volunteers, a review of peer benchmarks, and internal conversations about school/college needs, we propose increases in the minimum gift size required to establish some types of endowments.

Addressing the Gap between Purpose and Need

University endowment minimums have not been raised since July 2003, when the Board of Regents approved the current Endowment and Program Naming Policy. During that time, tuition, salaries and the cost of doing business have increased while the consolidated endowment fund's distribution rate has been reduced. As a result, some endowments established with a minimum gift are too small to sufficiently support the purpose for which the endowment was created.

With continued annual increases in tuition expected over the next several years and no salary increases on the near horizon, the gap between many endowments' distributions and student and faculty needs will continue to grow.

Providing a More Congruous Experience for Multi-Unit Donors

Over the past several years, several schools and colleges have increased their endowment minimums. This has resulted in a number of different price points across campus, particularly for endowed professorships and chairs. In the course of increasing minimums to help ensure that endowment distributions better sustain the needs they were established to support, it is desirable to bring minimums into closer alignment while respecting the varying needs of different schools, colleges and campuses.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

in Joint Session with

B. Finance, Audit and Facilities Committee

Approve Revised Endowment and Program Naming Policy (continued, p. 2)

Seizing the Intra-Campaign Opportunity

The intra-campaign period is an ideal time to make necessary increases to endowment minimums. Based on a review of business needs, gift potential and peer benchmarks, we suggest a two-tier endowment minimum structure. This provides the option for each school/college/campus to select the tier which best fits its business needs and donor base – allowing for flexibility while narrowing the range of price-points across campus.

We saw during Campaign UW that in most instances, donors established endowments with gifts at or near the minimum amount. Raising our – and our donors’ – sights will help us secure gifts that meet academic units’ business needs going forward.

Staying the Course

We will carry on with our current philosophy that minimums are truly minimums. Units remain welcome to solicit/accept endowment gifts over and above the minimums listed.

Policy Changes

To further the appropriate stewardship of endowment donors, we advocate for the addition to the policy language noting that endowment minimums represent the minimum gift a donor (or group of donors) must give to establish a new endowment, and that matching monies not provided by private funds will be added to the endowment, but not applied to meeting the minimum.

Implementing the Adjusted Minimums

Consensus across the campus community is that the ideal date for the new minimums to take effect would be July 1, 2012. Fundraisers may choose to use the window between the approval and effective dates to encourage gifts at the current minimum where appropriate. In addition, exceptions to the new minimums will be approved on a case-by-case basis for gifts currently under discussion (as documented through contact reports, pre-approved pledges, and prospect tracking records in Advance) received after that date.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

in Joint Session with

B. Finance, Audit and Facilities Committee

Approve Revised Endowment and Program Naming Policy (continued, p. 3)

REVIEW AND APPROVALS

The revised policy has been reviewed and approved by the President, the Board of Deans, the Campaign Executive Committee, the UW Foundation Board, the Interim Provost and Executive President, and the Vice President for University Advancement.

Attachment

Revised Endowment and Program Naming Policy (*Board of Regents Governance, Regent Policy No. 9*)

Endowment and Program Naming Policy

1. Introduction

Significant gifts to support the University of Washington offer an opportunity to appropriately recognize donors. This recognition may include the creation of permanently named endowment funds and/or named programs.

An endowment is a permanent fund established for a specific purpose. The principal of an endowed fund is invested to grow over time while the distributions it produces are used to support the endowment's purpose. Gifts for endowment are extremely valuable in enhancing the quality of the University of Washington's teaching, research, facilities, and student experience, since endowments provide perpetual funding for their intended purpose. They need to be regularly expended, and donors need to be acknowledged on a regular (at least annual) basis.

Because of their permanent nature, named endowments must be established with great care and sensitivity to the goals and needs of both the donors and the University. The ((suggested)) minimum may vary by college or discipline between two price levels and may also be adjusted from time to time in proportion to changing costs. The University reserves the right to make final determinations in specific cases.

The endowment agreement (a document signed by the donors and appropriate academic and administrative leadership) drafted for a particular gift outlines the use and administration of that gift. Endowment gifts shall be invested in the Consolidated Endowment Fund (CEF) administered by the University. The investment, management, and expenditure of funds shall be in accordance with University policies and procedures.

The purposes of these naming criteria are to:

- Provide guidance to prospective donors and to University staff about the desired size of a gift to attain a particular naming opportunity.
- Promote uniform naming levels in all UW schools, colleges, programs, and campuses.
- Ensure that permanent endowments are at sufficiently high levels to appropriately support the desired purposes.
- Provide a mechanism for evaluating proposed major naming gifts through the appropriate channels.

2. Types of Endowed Support

a. Endowed Funds

Endowed funds offer donors the opportunity to give the University and departments maximum flexibility in enhancing their respective programs. Purposes for these funds may include: unrestricted or broadly-defined support, library collections, student travel, publications series, etc.

The minimum outright gift for support is as follows:

((Endowed Fund	\$25,000 and above))	Tier 1	Tier 2
<u>Endowed Fund for Program Support</u>		<u>\$25,000</u>	<u>\$25,000</u>
<u>Endowed Fund for Undergraduate Student Support</u>		<u>\$25,000</u>	<u>\$25,000</u>
<u>Endowed Fund for Graduate or Professional Student Support</u>		<u>\$50,000</u>	<u>\$50,000</u>
<u>Endowed Fund for Faculty Support</u>		<u>\$50,000</u>	<u>\$100,000</u>
<u>Endowed Fund for Research Acceleration</u>		<u>\$100,000</u>	<u>\$100,000</u>

1) Administration

Endowed funds are available for use by the designated unit. The appropriate administrative or academic leader shall be responsible for administering expenditures from the fund, consistent with the stated uses as defined in the endowment agreement.

b. Scholarships and Fellowships

Endowed scholarships and fellowships offer donors the opportunity to make possible a university education for deserving students. Endowment agreements provide the vehicle for identifying the criteria by which students are selected.

Donors do **not** directly participate in the selection process, but **will** be notified of the selection.

The minimum outright gifts for various levels of student support are as follows:

Undergraduate Student Support:

((Scholarship	\$ 50,000 and above
Presidential Scholarship	\$100,000 and above
Regental Scholarship	\$250,000 and above))

	Tier 1	Tier 2
<u>Endowed Undergraduate Scholarship</u>	<u>\$100,000</u>	<u>\$100,000</u>
<u>Endowed Distinguished Undergraduate Scholarship</u>	<u>\$250,000</u>	<u>\$250,000</u>

Graduate Student Support:

((Fellowship	\$100,000 and above
Presidential Fellowship	\$250,000 and above
Regental Fellowship	\$500,000 and above))

	Tier 1	Tier 2
<u>Endowed Graduate Fellowship</u>	<u>\$100,000</u>	<u>\$250,000</u>
<u>Endowed Professional Student Scholarship</u>	<u>\$100,000</u>	<u>\$250,000</u>
<u>Distinguished Endowed Graduate Fellowship</u>	<u>\$250,000</u>	<u>\$500,000</u>
<u>Distinguished Endowed Professional Student Scholarship</u>	<u>\$250,000</u>	<u>\$500,000</u>

1) Appointments and Criteria

The selection of scholarship and fellowship recipients should be consistent with donor intent as articulated in the endowment agreement. In determining the language for these agreements, the selection criteria should reflect information about students that is readily available from University records.

2) Administration

University-wide scholarships shall be approved and signed by the Vice President and Vice Provost for Student Life. University-wide fellowships shall be approved and signed by the Dean of the Graduate School. Chancellors, deans, and vice presidents shall approve and sign unit-based scholarship and fellowship endowment agreements pertinent to their areas. The University official signing the agreement is responsible for ensuring that the expenditures are consistent with the endowment agreement.

c. ~~(Endowed Staff Positions~~

~~Named positions endowed through private gifts provide creative and ongoing support for roles that are not necessarily academically based but are important to the University's academic mission. Positions that can be endowed include, but are not limited to, curators, librarians, directors, and archivists.~~

~~The minimum outright gift for endowed staff support is as follows:~~

~~Endowed Staff Position \$250,000 and above~~

~~1) Appointments and Criteria~~

~~The appointment of recipients should be consistent with donor intent as articulated in the endowment agreement. In determining these agreements, the terms should reflect general operating practices of the University and outline alternative uses in case positions change over time.~~

~~2) Administration~~

~~Deans and chancellors shall be responsible for administering expenditures related to unit positions in accordance with University policies and procedures and for ensuring that expenditures are consistent with the endowment agreement approved by the donor.)~~

d.) Chairs, Professorships, and Fellowship

The University of Washington seeks support for the creation of endowed chairs and professorships, which provide significant benefits in recruiting and retaining outstanding faculty at the University. These endowed gifts greatly enrich support for the teaching and research activities of distinguished faculty and bring public recognition of their status.

Both chairs and professorships may be used to supplement the base salaries of faculty members. They also may provide professional support for the activities of faculty members appointed to the endowed position, including, but not restricted to, research assistance, travel, and staff support.

The minimum outright gifts for various levels of faculty support are as follows:

Faculty Fellowship	\$ 100,000 and above
Professorship	\$ 250,000 and above
Chair	\$1,000,000 and above
Regental Chair	\$3,000,000 and above))

	Tier 1	Tier 2
Endowed Faculty Fellowship	\$100,000	\$250,000
Endowed Professorship	\$500,000	\$1,000,000
Endowed Chair	\$2,000,000	\$3,000,000
Deanship	Market Price	

In addition, the University offers an opportunity to support faculty via a non-endowed vehicle(=

Professorship (Term) \$15,000 and above/year for 3 – 5 years))

Term Professorships, where current use gifts approximately equal to the payout from an Endowed Professorship are made for a term of three to five years.

1) Appointments and Criteria

The regents of the University of Washington have delegated the authority to establish named endowed professorships and chairs to the Vice President for University Advancement, unless there is something unusual or special about the gift that would benefit from regental review.

Appointments to professorships and chairs involve appropriate levels of faculty advice. The appropriate chancellor or dean shall recommend a candidate to the Provost, who shall in turn recommend the candidate to the President for approval by the regents.

Donors do not directly participate in the selection process, but in the endowment agreement they may specify an academic area where the endowment should be focused. Donors will be notified of the appointment.

Depending on the wishes of the donor and the concurrence of the appropriate chancellor or dean and the Provost, a professorship or chair may be filled by a recipient for an indefinite period, subject to review at least every five years, or it may be a rotating professorship or chair for a shorter period of time.

The President shall assign University-wide professorships and chairs to the various academic disciplines and units at his or her discretion.

2) Administration

Chancellors and deans shall be responsible for administering expenditures related to endowed professorships and chairs in accordance with University policies and procedures to assure that administration is consistent with the endowment agreement.

The designated field for an endowed professorship or chair may be specified to include academic departments and major sub-disciplines within a department, school, or college.

Distributions from the endowment shall support positions within the academic discipline specified by the donor at the time of acceptance of the gift so long as that discipline or area of study continues at the University. The endowment agreement shall permit appropriate alternative use of the distributions by the regents, upon the recommendation of the President, should the subject area of the professorship or chair cease to be consistent with the University's mission or its academic plan. Such alternative distribution shall be as closely related to the donor's original intent as is feasible.

In years when a professorship or chair is vacant, the administrator, as provided in the endowment agreement, may elect to:

- a) Return the endowment's annual distributions to the principal, or
- b) Designate the distributions for support of faculty and/or students in the field supported by the endowment.

~~(e-)~~ d. Schools, Colleges, and Programs

For gift-related naming opportunities, endowing a school, college, or program offers donors a premier opportunity to substantially benefit a particular unit of the University. Because naming represents an important event in the history of the institution, it requires an extraordinary gift. The endowment should generate a distribution that provides significant support to the annual operating budget of the entity named.

1) Administration

All naming actions shall be by action of the Board of Regents upon recommendation of the President.

In naming a school, college, or program, the regents, University President, Provost, and other administrators and ~~((development))~~ **advancement** staff must be involved prior to reaching final agreement with a donor. (For naming of facilities, refer to the *Board of Regents Governance*, Regent Policy [No. 6](#), "Facilities and Spaces Naming Policy.")

Naming actions shall not detract from the institution's values, dignity, integrity, or reputation, nor shall any such action create a conflict of interest or confer special privileges. In the event of changed circumstances, the University reserves the right on reasonable grounds to revise the form of or withdraw recognition in consultation with the donor when possible.

BR, July 18, 2003; RC, March 24, 2011.

VII. STANDING COMMITTEES

A. Academic and Student Affairs

in Joint Session with

B. Finance, Audit and Facilities Committee

Update on Financial Aid and Husky Promise

There will be an oral report for information only. The attached slides are included for your review prior to the presentation.

Attachment

University of Washington Autumn Update on Financial Aid & Husky Promise

University of Washington Autumn Update on Financial Aid & Husky Promise

Kay Lewis, Director, Student Financial Aid
Paul Jenny, Vice Provost, Planning & Budgeting

REGENTAL FINANCIAL AID POLICY

REVENUE AND FINANCIAL AID ESTIMATES

2011-12 Undergraduate Residents	Tuition Increase
	20%
Set-Aside (3.5%-5%)	\$17.2 M
Net Tuition Revenue	\$221.2 M
Additional Revenue to Aid	\$3.7 M
Additional Revenue to Academy	\$3.7 M
% to Aid	15.6%

UNDERGRADUATE AID OVERVIEW 2011-12

Types of Aid Autumn Projections

Scholarships	\$46,090,000	13%
Grants	\$154,525,000	45%
Loans	\$142,782,000	41%
Work Study	\$1,500,000	1%
TOTAL	\$344,897,000	

This Autumn, We Estimate:

- 23,000 undergraduates receive aid (60% of overall enrollment)
- 32% of undergraduates qualify for PELL

UNDERGRADUATE AID OVERVIEW 2011-12

Sources of Aid (Autumn Projections)

Federal	\$191,606,950	56%
State	\$51,469,050	15%
University	\$67,821,000	20%
Private	\$34,000,000	10%
TOTAL	\$344,897,000	

2011-12 PRELIMINARY FINANCIAL AID RESULTS

DETERMINING FINANCIAL AID ELIGIBILITY

Costs include: Tuition, fees, housing, books, transportation, and personal expenses

$$\begin{aligned} & \text{Cost of Attendance} \\ & - \text{Expected Family Contribution} \\ & = \text{Financial Need} \end{aligned}$$

Expected Family Contribution:
Federal formula that measures the income and assets of the family to determine ability to pay for college

UW FINANCIAL AID PHILOSOPHY

- Students demonstrating the most need have first priority for funds
- Generally, funds are awarded to those students with the lowest resources going up the Expected Family Contribution (EFC) range until funds are exhausted
- We try to award aid to cover 60% of the student's costs in grant funds and 40% in loans and work study up to their need; these levels vary per year as our funding and applicant pool varies
- Scholarships replace loan and work

2011-12 AWARD RESULTS

Traditional Resident's Cost of Attendance = \$24,059

Income Range*	Cost Met with Grant	Amount of Grant**
0- \$59,000	63%	\$15,157
\$60,000-\$71,000	25%	\$6,014
\$72,000- \$77,000	10%	\$2,405

*Income Range is an approximation of the federal Expected Family Contribution (EFC) formula for a family of four with no assets. Eligibility for grants is awarded based on the EFC formulas and not just on family income. Thus, there are no income cutoffs for financial aid awards.

**Amount of grant can vary for individual students based on a number of factors, including but not limited to: level of overall need, application receipt date, receipt of other awards or benefits, etc.

2011-12 AWARD RESULTS

Grants Awarded to Undergraduate Residents with Need as of 11/1/11

Grant Level	# of Students	Federal Grants	State Grants	UW Grants/Waivers
63%	8,250	\$36,031,000	\$49,240,200	\$33,332,800
25%	1,125		\$373,400	\$7,225,300
10%	400		\$119,000	\$1,043,000

- 2011-12 is the **first year the students at the 25% and the 10% level were awarded grants from a university source**
- In past years, we did not award grant assistance to students beyond an Expected Family Contribution level of \$5,500-\$6,000 (or approximately \$55,000 in income for a family of four)

2011-12 STATE NEED GRANT

Unserved SNG-Eligible Students by Median Family Income

MFI	# of students	Estimated shortfall
0 – 50%	200	\$2,000,000*
51 – 70%	1,800	\$9,000,000*
0-70% Late Applicants	1,300	\$10,500,000

- * The UW is covering these amounts as part of our Husky Promise commitment. Data as of November 1, 2011



HUSKY PROMISE®

HUSKY PROMISE[®]

- We guarantee that eligible students ***will not pay any tuition*** for four years of enrollment
- Tuition and standard fees will be covered by federal, state, and institutional support

HUSKY PROMISE[®]

WHO QUALIFIES?

- ✓ Must be an undergraduate Washington resident
- ✓ Must be eligible for Pell or Washington State Need Grant (low- or lower-middle income)
- ✓ Must file Free Application for Federal Student Aid (FAFSA) by priority deadline
- ✓ Attend full-time

HUSKY PROMISE[®]

Academic Year	Number of Recipients
2007-2008	5,680
2008-2009	5,821
2009-2010	6,940
2010-2011*	8,000*
2011-2012*	8,500*

*Estimated

HUSKY PROMISE[®]

Source of Funds*				
	2010-11		2011-12	
Federal Support	\$32,217,000	49%	\$35,083,000	42%
State Support	\$25,988,000	39%	\$33,902,000	40%
UW Support	\$7,618,000	12%	\$14,763,000	18%
Total	\$65,823,000		\$83,748,000	

*Estimated



VII. STANDING COMMITTEES

A. Academic and Student Affairs

in Joint Session with

B. Finance, Audit and Facilities Committee

State Budget Update

There will be an oral report for information only.

IV. REPORT OF THE CHAIR OF THE BOARD OF REGENTS

Resolution Regarding Schedule of Regular Board Meetings in 2012

RECOMMENDED ACTION:

It is the recommendation of the Chair of the Board of Regents that the Board approve the following resolution regarding its schedule of regular meetings for 2012.

RESOLUTION

WHEREAS, the Bylaws of the Board of Regents and WAC 478-04-030 call for regular monthly meetings, and

WHEREAS, the schedule of meetings is to be established yearly by resolution of this Board,

NOW, THEREFORE, BE IT RESOLVED that the regular meetings of the Board of Regents be held on the following dates in 2012, subject to change, providing that due notice is given by the Secretary of the Board in accordance with the By-Laws of the Board of Regents:

<u>Day</u>	<u>Date</u>	<u>Location</u>
Thursday	January 12	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library
Thursday	February 9	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library
Thursday	March 8	UW Tacoma
Thursday	April 5*	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library
Thursday	May 3	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library
Thursday	June 7	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library
Thursday	July 12	UW – Allen Center, Room CSE 691
Thursday	August 9*	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library
Thursday	September 13	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library
Thursday	October 11	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library
Thursday	November 8	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library
Thursday	December 6*	UW – Gerberding Hall 142; 1 p.m. session, Petersen Room, Allen Library

The Regents will meet for dinner at Hill-Crest, the residence of the University President, at 5:30 p.m. on the following dates:

<u>Day</u>	<u>Date</u>
Wednesday	January 11
Wednesday	February 8
Wednesday	March 7
Wednesday	April 4*
Wednesday	May 2
Wednesday	June 6
Wednesday	July 11
Wednesday	August 8*
Wednesday	September 12
Wednesday	October 10
Wednesday	November 7
Wednesday	December 5*

**The April, August, and December meetings will be canceled, circumstances permitting.*

IV. REPORT OF THE CHAIR OF THE BOARD OF REGENTS

Resolution Regarding Schedule of Regular Board Meetings in 2012 (continued p. 2)

Except as otherwise noted above, the Board's meetings begin with a series of Regent committee meetings attended by some or all of the members of the Board. These will commence at 8:30 a.m., or such later time as may be announced on the Board's webpage (<http://www.washington.edu/regents/>) and followed by a meeting of the full Board at 1:00 p.m., unless otherwise noted above. Except as otherwise indicated, the meetings listed above are held at the University of Washington Seattle Campus, Seattle, Washington, at the locations noted above, unless a different location is established an public notice given in accordance with RCW Chapter 42.30.

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