



**February 2, 2012**

**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, FEBRUARY 8, 2012**

5:30 p.m. President's Residence DINNER FOR REGENTS,  
AND OTHER GUESTS

**THURSDAY, FEBRUARY 9, 2012**

**10:00 to 10:35 a.m. 142 Gerberding Hall**

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

**10:45 to 11:50 a.m. 142 Gerberding Hall**

**ACADEMIC AND STUDENT AFFAIRS  
COMMITTEE:** Regents Harrell (Chair), Ayer,  
Cole, Gates, Knowles

**12:05 to 12:40 p.m. 142 Gerberding Hall**

**ACADEMIC AND STUDENT AFFAIRS  
COMMITTEE:** Regents Harrell (Chair), Ayer,  
Cole, Gates, Knowles

*in Joint Session with*

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

**1:00 p.m. Petersen Room  
Allen Library**

**REGULAR MEETING OF BOARD OF  
REGENTS**

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1.1/202-12  
2/9/12



**UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS**

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

**February 9, 2012  
10:00 to 10:35 a.m.  
142 Gerberding Hall**

1. **Report of Contributions – December, 2011** **INFORMATION** F-1  
Walter G. Dryfoos, Associate Vice President, Advancement Services  
Connie Kravas, Vice President, University Advancement
2. **Grant and Contract Awards Summary – November, 2011** **ACTION** F-2  
Ana Mari Cauce, Provost and Executive Vice President
3. **Actions Taken Under Delegated Authority** **INFORMATION** F-3  
Richard Chapman, Associate Vice President, Capital Projects Office
4. **University of Washington Bothell – Restructure Student Housing Rates and Set New Rates for 2012-13** **ACTION** F-4  
Marilyn Cox, Vice Chancellor for Administration and Planning, UW Bothell
5. **UW Advisory Committee on Real Estate Membership Appointment and Reappointment** **ACTION** F-5  
Kristianne Blake, Chair, Board of Regents  
V’Ella Warren, Senior Vice President and Treasurer, Board of Regents
6. **University of Washington Investment Committee Membership Reappointment** **ACTION** F-6  
Kristianne Blake  
V’Ella Warren
7. **University of Washington 401(a) Supplemental Retirement Plan Amendment** **ACTION** F-7  
Kathleen Dwyer, Executive Director of Benefits, Benefits Office
8. **UW Medicine Board Annual Compliance Report** **INFORMATION** F-8  
Paul Ramsey, CEO, UW Medicine, and Dean, School of Medicine  
Rich Jones, Chair, UW Medicine Board Compliance Committee  
Sue Clausen, Associate Vice President, Medical Affairs, Compliance, UW Medicine
9. **Other Business**



UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS

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

February 9, 2012  
10:45 to 11:50 a.m.  
142 Gerberding Hall

1. **Academic and Administrative Appointments** **ACTION** A-1  
Ana Mari Cauce, Provost and Executive Vice President
2. **UW Medicine Board Reappointment** **ACTION** A-2  
Paul G. Ramsey, CEO, UW Medicine and Dean of the  
School of Medicine
3. **ITEM PULLED FROM AGENDA** A-3
4. **Schools at UW Bothell** **INFORMATION** A-4  
Kenyon Chan, Chancellor, UW Bothell  
Susan Jeffords, Vice Chancellor for Academic Affairs, UW  
Bothell
5. **UW Student Services Presentation: Trends in College Student  
Mental Health** **INFORMATION** A-5  
Eric Godfrey, Vice President and Vice Provost, Office of  
Student Life  
D. C. Dugdale, Professor, Department of Medicine, Division  
of General Internal Medicine; Director, Hall Health Primary  
Care Center  
Ellen Taylor, Director, Counseling Center
6. **Other Business**



**UNIVERSITY OF WASHINGTON  
BOARD OF REGENTS**

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

*In Joint Session with*

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

**February 9, 2012  
12:05 to 12:40 p.m.  
142 Gerberding Hall**

- |    |   |                    |      |
|----|---|--------------------|------|
| 1. | <b>State Budget Update</b><br>Paul Jenny, Vice Provost, Planning & Budgeting<br>Sarah Hall, Director, Planning and State Operations, Office<br>of Planning and Budgeting  | <b>INFORMATION</b> | F-10 |
| 2. | <b>Proposed Revisions to Board of Regents Governance, Regent<br/>Policy 6, Facilities and Spaces Naming Policy</b><br>Connie Kravas, Vice President, University Advancement<br>Walter G. Dryfoos, Associate Vice President, Advancement<br>Services | <b>ACTION</b>      | F-11 |
| 3. | <b>Executive Session</b><br>(to review the performance of public employees.)  |                    |      |
| 4. | <b>Other Business</b>   |                    |      |



## AGENDA

### BOARD OF REGENTS University of Washington

February 9, 2012  
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**
- Regents Resolution of Appreciation to Stanley H. Barer (Action) BP-1
- Regents Resolution of Appreciation to Jeffrey H. Brotman (Action) BP-2
- Election of Executive Committee Members (Action)
- V. REPORT OF THE UNIVERSITY PRESIDENT: President Young**
- VI. CONSENT AGENDA**
- Approval of Minutes of Meeting of January 12, 2012
- UW Medicine Board Reappointment A-2
- Grant and Contract Awards Summary – November, 2011 F-2
- University of Washington Bothell – Restructure Student Housing Rates and Set New Rates for 2012-13 F-4
- UW Advisory Committee on Real Estate Membership Appointment and Reappointment F-5
- University of Washington Investment Committee Membership Reappointment F-6
- University of Washington 401(a) Supplemental Retirement Plan Amendment F-7
- Proposed Revisions to *Board of Regents Governance*, Regent Policy 6, Facilities and Spaces Naming Policy F-11

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

Academic and Administrative Appointments (Action)	A-1
Schools at UW Bothell (Information only)	A-4
UW Student Services Presentation: Trends in College Student Mental Health (Information only)	A-5

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

State Budget Update (Information only)	F-10
<b>B. <u>Finance, Audit and Facilities Committee: Regent Smith – Chair</u></b>	
Report of Contributions – December, 2011 (Information only)	F-1
Actions Taken Under Delegated Authority (Information only)	F-3
UW Medicine Board Annual Compliance Report (Information only)	F-8

**VIII. OTHER BUSINESS****Reports to the Board:****Student Leaders:****ASUW President – Mr. Conor McLean****GPSS President – Mr. Charles Plummer****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, March 8, 2012****X. ADJOURNMENT**

## OFFICIAL MINUTES

### MINUTES

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

**February 9, 2012**

The Board of Regents held its regular meeting on Thursday, February 9, 2012, beginning at 1:05 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 (presiding), Cole (by telephone), Gates, Harrell, Jewell, Knowles, Shanahan, Simon, Smith; President Young, Provost Cauce, Ms. Warren, Ms. Goldblatt; ex officio representatives: Mr. McLean, Mr. Plummer, Ms. Williams.

Absent: Regent Ayer, Professor Astley

#### **CONFIRM AGENDA**

Regent Blake noted item F-11 was removed from the consent agenda and moved to the report of a standing committee. With no other changes, the agenda was confirmed as presented.

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

In January, Governor Gregoire appointed two new members to the Board of Regents. Regent Blake welcomed Pat Shanahan and said Regents look forward to greeting Bill Ayer at next month's meeting.

Regent Ayer is chairman and chief executive officer of Alaska Airlines and Alaska Air Group, which oversees the regional carrier Horizon Air. He began his career with Alaska in 1995 as Vice President of Marketing and Planning. Prior to joining Alaska Airlines, Mr. Ayer spent thirteen years with Horizon Air.

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Regent Ayer is familiar with the University through his service on the Foster Business School Advisory Board. He earned a bachelor's degree in economics from Stanford, and an MBA from the University of Washington.

Regent Blake welcomed Pat Shanahan, senior vice president and general manager of airplane programs for the Boeing Company's commercial airplanes business.

Mr. Shanahan is a Washington state native. He graduated from UW with a bachelor's degree in Mechanical Engineering and went on to receive a dual master of science in mechanical engineering and management from the Massachusetts Institute of Technology. Regent Shanahan's daughter is a freshman at the University of Washington, the fourth generation of his family to attend the University of Washington.

Regent Blake invited Regent Shanahan to say a few words. He thanked Regent Blake and acknowledged the need to wear purple to the meetings. He added he feels it is a privilege to serve the University and he is honored to be part of the Board.

Along with the new appointments, Governor Gregoire renewed the term of appointment of Herb Simon through September, 2017. Regent Blake congratulated Regent Simon on his reappointment and thanked him for his continued service to the Board and the University.

Regent Blake said as the Board welcomes two newly-appointed Regents, it acknowledges the contributions of former Regents Stan Barer and Jeff Brotman. Both have contributed their expertise and demonstrated a significant commitment to the University. Regent Blake asked to dispense with the reading of the Regents Resolutions of Appreciation, noting copies of the resolutions are in Regents' packets. Framed resolutions will be presented to Stan Barer and Jeff Brotman at an upcoming celebration in their honor.

**Regents Resolution of Appreciation to Stanley H. Barer** (Agenda no. BP-1) (Action)

See Attachment BP-1.

**Regents Resolution of Appreciation to Jeffrey H. Brotman** (Agenda no. BP-2) (Action)

See Attachment BP-2.

**MOTION:** Upon the recommendation of the Chair of the Board and the motion made by Regent Simon, seconded by Regent Jewell, the Board voted unanimously to approve the two Regents Resolutions of Appreciation.

**Election of Executive Committee Members** (Action)

At the September meeting of the Board, Regents were elected to the Executive Committee. Regent Blake recommends all Regents serve on the Executive Committee; therefore she requested a motion to elect William Ayer and Patrick Shanahan to the Executive Committee for 2011-12.



**MOTION:** Upon the recommendation of the Chair of the Board and the motion made by Regent Simon seconded by Regent Jewell, the Board voted to approve the appointment of William Ayer and Patrick Shanahan to the Executive Committee for 2011-12.

In addition to their service on the Executive Committee, Regent Blake announced she appointed Regent Ayer to the Academic and Student Affairs Committee, and Regent Shanahan to the Finance, Audit and Facilities Committee, and both have agreed to serve.

Regent Blake announced the Board of Regents plans to hold two special meetings to hear public comment and input from students and other members of the University community on tuition and the UW Budget. The first meeting will be held on Wednesday, February 15, from 3:30 to 5:00 p.m. in William H. Gates Hall, room 133, for students to provide comments and input on the University's tuition and related budget issues.

The second meeting will be held on Thursday, April 5, from 2:30 to 4:00 p.m. in Kane Hall.

Regent Blake invited President Young to give his report to the Board.

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

President Young echoed Regent Blake's welcome to the University's two new Regents, and said it is wonderful to have these exceptional leaders on board. The University, he said, will surely benefit from their business and organizational expertise, and it's always great to have more Husky alumni around. The President said he looks forward to working with them. President Young congratulated Regent Simon on his reappointment to the Board and said he is grateful to him for his service to the University.

The President reported on his recent speaking engagements and his attendance at recent events:

- Speaking engagements at the Breakfast Group, the National Governor's Association regional conference, Eastside Business Roundtable;
- Ribbon-cutting for the opening of the New Ventures facility in Fluke Hall;
- Attendance at college, school and department-level meetings, including the Department of Economics and the Jackson School;
- Lunches and group meetings with faculty and staff;
- Attendance at the Department of Global Health open house for its newly renovated student-centered space;
- Tours of the Institute for Health Metrics and Evaluation and the Experimental Education Unit;
- Attendance at a reception for faculty members newly-elected to National Academies;
- UW Foundation Board winter meeting, highlighted by research presentations by Health Sciences faculty and students;

- Travel to Olympia to meet with legislators;
- Panelist at the Seattle Times Town Hall Forum, speaking on sustaining funding for public higher education in Washington, along with the presidents of all six of Washington's public four-year universities as well as three business leaders, including Regent Jewell. The Forum was part of the *Greater Good Campaign*. President Young noted that orange campaign wristbands are at each place to demonstrate support to "stop cuts to higher-education funding."

The President reported on recent University of Washington achievements:

- The University of Washington ranked second among large universities in producing volunteers for the Peace Corps in 2011, with 110 undergraduate volunteers. The top university had 112. The UW also was second among graduate schools with 24 volunteers.
- During the 2011 UW Combined Fund Drive, UW employees contributed a record-breaking \$2.07 million to 1,500 charities. The President commented that to achieve a record-breaking fundraising total is noteworthy at any time, but to do it in the current economic climate is particularly impressive. Human Resources Vice President Mindy Kornberg was the executive sponsor for the campaign, and there were more than 300 volunteer campaign coordinators who worked hard to help make this result possible.

President Young introduced the University's team of world champions in synthetic biology from the International Genetically Engineered Machine (iGEM) competition held in November, 2011. Twenty-three undergraduates from multiple departments participated, with three faculty advisors from three departments, and a number of graduate student and post doc advisors.

President Young said winning a world championship is an extraordinary accomplishment. But one of the reasons he was so excited about this group of students is because of *how* they won the championship, by thinking innovatively, thinking collaboratively, and coming together across disciplines to engineer solutions to some very big problems.

President Young introduced the graduate student advisor, Ingrid Swanson Pultz, and three undergraduate students – Sydney Gordon, Matthew Harger, and Casey Ager, who addressed the Regents and displayed their "BioBrick" trophy. Ms. Swanson Pultz described the interdisciplinary competition and the students described their experience and answered Regents' questions.

## CONSENT AGENDA

Regent Blake noted there were seven items for approval on the consent agenda, and called for a motion. She reminded the Regents item F-11, Facilities and Spaces Naming Policy, was removed from the consent agenda and moved to the report of a standing committee for discussion and approval.

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

**Minutes for the meeting of January 12, 2012**

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

It was the recommendation of the University President and the Academic and Student Affairs Committee that the Board of Regents reappoint Michael Garvey to the UW Medicine Board for a term from February 1, 2012 to June 30, 2013. Mr. Garvey's term ended January 31, 2012, and it was recommended his term be extended through June 30, 2013, since he has agreed to serve as vice chair of the UW Medicine Board through June 30, 2013. This reappointment will bring continuity in leadership to the UW Medicine Board.

See Attachment A-2.

**Grant and Contract Awards Summary – November, 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 November, 2011, in the total amount of \$85,635,350. The year-to-date total for fiscal year 2012 is \$684,424,794.

See Attachment F-2.

**University of Washington Bothell – Restructure Student Housing Rates and Set New Rates for 2012-13** (Agenda no. F-4)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve restructuring the University of Washington Bothell student housing rates to change the term of the basic student housing agreement to include the three quarters of the academic year, with an optional summer quarter, and initiate a Flex Dollars meal plan.

See Attachment F-4.

**UW Advisory Committee on Real Estate Membership Appointment and Reappointment** (Agenda no. F-5)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents make the following new appointment and reappointment to the Advisory Committee on Real Estate (ACRE):

**New Appointment**

Herb Simon (Regent)

February 1, 2012 to January 31, 2015

Reappointment

Jeff Brotman, ACRE Chair February 1, 2012 to January 31, 2015

See Attachment F-5.

**University of Washington Investment Committee Membership Reappointment**

(Agenda no. F-6)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents make the following reappointment to the University of Washington Investment Committee (UWINCO):

Reappointment

Jeff Brotman, UWINCO chair February 1, 2012 to January 31, 2015

See Attachment F-6.

**University of Washington 401(a) Supplemental Retirement Plan Amendment**

(Agenda no. F-7)

It was the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve amendment of the University of Washington 401(a) Supplemental Retirement Plan (the "Plan"), which is required in order to rely on the IRS determination letter received December 13, 2011.

See Attachment F-7.

**STANDING COMMITTEES**

Regent Blake invited Regent Harrell to provide a report from the Academic and Student Affairs Committee.

**ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Harrell Chair**

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

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

See Attachment A-1.

**Schools at UW Bothell** (Agenda no. A-4) (Information only)

Regent Harrell described a report from UW Bothell Chancellor Kenyon Chan about the evolution of two schools at UW Bothell – the School of Business and the School of Interdisciplinary Arts and Sciences. The use of the term "School" reflects the growth and

maturity of these two programs. The new names will be effective on March 26, 2012, following an approval process in partnership with the Provost.

See Attachment A-4.

**UW Student Services Presentation: Trends in College Student Mental Health**  
(Agenda no. A-5) (Information only)

As part of an annual update, Eric Godfrey and his colleagues updated the Regents on trends in student health, and discussed developmental concerns, including the relationship between counseling, retention, and academic success. In particular, they examined the processes the UW uses to address the needs of students in the mental health area. President Young and Provost Cauce agreed to look more closely at this issue and return to the Board to address questions and concerns about service and resourcing levels compared to UW's peer institutions. Regent Harrell said student mental health services is a subject of interest to the Board. Regents believe it is relevant and UW administrators need to make sure it is appropriately addressed.

See Attachment A-5.

Regent Blake invited Regent Smith to provide a report from the Finance, Audit and Facilities and Joint Committees.

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

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

The total gifts received in December, 2011, was \$46,162,118, the total for the year-to-date is \$185,694,311.

See Attachment F-1.

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

See Attachment F-3.

**UW Medicine Board Annual Compliance Report** (Agenda no. F-8) (Information only)

Regent Smith said Regents heard the UW Medicine Board Annual Compliance Report. He said when he was on the UW Medicine Board ten years ago, UW Medicine was significantly penalized for violations and found to be lacking in compliance systems. He noted the UW has come a "very long way" thanks to the long-time leadership of Shan Mullin and more recently that of Rich Jones, under the direction of Dr. Paul Ramsey. After hearing the report, Regent Smith said he felt comfortable the University of Washington is performing its compliance responsibilities as well as any major research university.

He commended all those involved in the compliance process.

See Attachment F-8.

*Joint Session*

**ACADEMIC AND STUDENT AFFAIRS COMMITTEE:** Regent Harrell, Chair  
**FINANCE, AUDIT AND FACILITIES COMMITTEE:** Regent Smith, Chair

**State Budget Update** (Agenda no. F-10) (Information only)

Regent Smith said Paul Jenny, Vice Provost for Planning & Budgeting, provided a report on UW's legislative initiatives. Vice Provost Jenny told the Regents there likely won't be further reductions in the deficit in upcoming revenue forecast reports, and there is some indication of a chance that cuts to the University will not be quite as large as those in the Governor's budget. But, he warned, the cuts would be significant. Mr. Jenny reported all current University-related legislative initiatives were "alive" and moving through the process.

See Attachment F-10.

**Proposed Revisions to Board of Regents Governance, Regent Policy 6, Facilities and Spaces Naming Policy** (Agenda no. F-11) (Action)

It was the recommendation of the Academic and Student Affairs Committee and the Finance, Audit and Facilities Committee that the Board of Regents approve the revised Facilities and Spaces Naming Policy. The revised policy will go into effect immediately upon approval of the Board of Regents.

**MOTION:** Upon the recommendation of the Academic and Student Affairs Committee and the Finance, Audit and Facilities Committee, and the motion made by Regent Smith, the Board voted to approve the revised Facilities and Spaces Naming Policy. Regent Gates opposed the motion.

See Attachment F-11.

**REPORTS TO THE BOARD OF REGENTS**

**ASUW President:** Mr. Conor McLean

Mr. McLean thanked Regents Gates and Jewell for attending the ASUW Student Senate recently to speak with students and answer their questions. He also thanked President Young and Provost Cauce for their decision to re-visit the site selection for the new UWPD location in response to concerns articulated by Ethnic Cultural Center students.

Mr. McLean gave a legislative update, saying students have specific concerns about State Bill 6399 which would allow four-year colleges and universities to establish program fees. Students stress the importance of state revenue to fund higher education. Many revenue bills are in process, particularly one that would remove a B&O tax exemption on

February 9, 2012

companies with more than \$25 million in revenue and use those funds to support research universities, specifically to fund STEM (Science, Technology, Engineering, and Math) degrees. Mr. McLean asked Regents and administrators to join students in support of this bill.

**GPSS President:** Mr. Charles Plummer

Mr. Plummer welcomed Regent Shanahan to the Board.

He noted an increased number of graduate students are seeking more engagement in their colleges and with their deans. ASUW and GPSS leaders are working on a proposal to the Board of Deans and Chancellors addressing this issue.

Mr. Plummer echoed Conor's thanks to the President and Provost for their prudent and timely action addressing student concerns about the UWPD station site.

GPSS students are spending time in Olympia taking an "aggressive approach" advocating on behalf of state funding for higher education, with a focus on revenue proposals. Mr. Plummer asked for support from Regents and members of the UW's administration, to form a consensus of opinion regarding revenue. He invited them to join the discussion about increasing revenue to counteract cuts to higher education.

GPSS is planning an upcoming Science and Policy Summit. The date will be announced soon.

ASUW, GPSS, and Transportation Services are working together on the Universal U-PASS program. They plan to change the name of the fee so that it reflects the fee's broad nature, as was intended in the resolutions passed by ASUW and GPSS in support of this student fee.

Mr. Plummer announced GPSS leaders have been successful in their request for legislators to support a child-care matching grant. This, he explained, is a small program which has a huge impact on UW student-parents by providing them with resources to care for their children while they pursue their studies.

Regent Knowles congratulated the student leaders on a successful "Huskies on the Hill" student lobby day held on Friday, February 3, in Olympia. Students from all three campuses met with their legislators to discuss the importance of funding for higher education.

**ASUW Tacoma President:** Mr. Jonathan Bowers

Mr. Bowers said UW Tacoma started their student-officer election process for 2012-13. Because the student population at UW Tacoma has increased, the student government plans to grow. They plan to re-form the organization with a focus on the constitution and by-laws in the governing documents to assure they are in compliance with local, state, and federal regulations.

ASUW Tacoma recently hosted a quarterly open public forum where students were offered the opportunity to meet with student leaders to learn more about student government. At the recent forum students' questions about security and safety were addressed, a representative from the student exercise facility was present, and Vice Chancellor Cedric Howard answered questions about the feasibility study for the student union building. ASUW officers recently visited buildings on campus, in two-person teams, to introduce themselves to students. Mr. Bowers said this direct contact was intended to increase the awareness of the role of student government. He thanked the Regents for hosting the upcoming public forum to hear from students directly impacted by tuition increases.

He acknowledged ASUW Seattle's role in organizing the successful "Huskies on the Hill" event, saying he was grateful for the opportunity to travel to Olympia to be a part of sharing UW student experiences with legislators. He stressed the importance of a unified message shared by faculty, staff, and students, to have a larger impact on legislators.

Mr. Bowers closed with a quote from Malcolm X, "Without education, you are not going anywhere in this world."

Regent Blake said the Regents are looking forward to the March meeting of the Board to be held on the UW Tacoma campus.

**ASUW Bothell President:** Mr. Frederic Sawyer Hensen

Mr. Hensen thanked President Young and Regent Jewell for their participation in the *Greater Good* event at Town Hall on February 1. He reported there was a full audience with a lot of energy.

Giving an update on Husky Packs program, Mr. Hensen reported students collected donated items for over five-hundred packs, and assembled them for anonymous distribution to students next month at the Bothell Community Center. They continue to deal with student hunger issues in creative and innovative ways.

UW Bothell is sending five masters of nursing students to the forty-fifth annual Western Institute of Nursing conference in Portland, Oregon, to present research reflecting best practices in the maternity sim-lab at UW Medical Center.

A Dream Project event will be held on February 28 in the North Creek Event Center at UW Bothell. The Dream Project is a high school outreach program, operated as a UW Bothell "discovery" class, and designed as a community-based learning opportunity to give high school students the opportunity to attend a University.

UW Bothell will host an Innovation Forum on campus the week of February 13. Mr. Hensen distributed information and invited the Regents to attend.

**Faculty Senate Chair:** Professor Susan Astley

Professor Astley did not attend the meeting.



**Alumni Association President:** Ms. Susan Wilson Williams

Ms. Wilson Williams reported on consistent improvement in the UWAA membership retention rate and member satisfaction. The 150<sup>th</sup> anniversary donation campaign has raised 3.5 times more funds than last year, with six months to go. Campaign donors received a brass “W” as a gift this year. UWAA is considering another gift next year as an incentive for a \$150 donation. Member revenue (donations plus dues) is 20.8% higher at the end of second quarter.

UWImpact, Ms. Wilson Williams reported, is in “full swing.” Along with Western Washington University, they recently co-hosted a higher education reception in Olympia on Regents and Trustees Day. The reception was attended by the House Speaker, Chair of Ways and Means, the Higher Education Committee Chairs, and many other legislators, administrators, faculty, staff, and alumni. UWImpact hosted a successful half-day alumni advocacy meeting in UW’s Alumni Commons, attended by staff from other four-year universities, where they discussed strategies for alumni involvement in advocacy issues.

Regents received UWImpact buttons which read, “Do you love the UW? Ask me about UWImpact.” These buttons were distributed to attendees of the *Greater Good* Town Hall meeting.

**DATE FOR NEXT MEETING**

The next regular meeting of the Board of Regents will be held on Thursday, March 8, 2012, at UW Tacoma.

**ADJOURNMENT**

The regular meeting was adjourned at 2:05 p.m.



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Joan Goldblatt  
Secretary of the Board of Regents

*Approved at the meeting of the Board on March 8, 2012.*

**University of Washington  
Board of Regents  
Resolution of Appreciation to  
Stanley H. Barer**

WHEREAS, Stanley H. Barer has completed more than seven years of exemplary service to the Board of Regents, the University of Washington, and the citizens of the state; and

WHEREAS, his outstanding career in business, law, and government is a tribute to the bachelor's and juris doctor degrees he earned from the University of Washington in the 1960s; and

WHEREAS, his vast experience and abiding interest in the international arena is reflected in his service on the boards of the Washington Council on International Trade, the Washington State China Relations Council, and the Odyssey Maritime Discovery Center; and

WHEREAS, he provided exceptional leadership to the Board of Regents, serving as chair of the Board in 2007-2008, chair of the Academic and Student Affairs Committee in 2009-2010, and representative to Intercollegiate Athletics in 2009-2012; and

WHEREAS, in addition to serving as a Regent, he has served as a long-standing and vital member of the UW Medicine Board; and

WHEREAS, his deep and abiding commitment to fairness and equity led him to champion the importance of student welfare and educational quality in approaching matters of institutional policy and practice; and

WHEREAS, the value he placed on openness and listening to all points of view helped keep the Board closely in touch with the many constituencies it serves; and

WHEREAS, his passion for education, his wise judgment and dedication to his Regental responsibilities and the public trust contributed immeasurably to the work of the Board and the betterment of the University;

NOW, THEREFORE, BE IT RESOLVED: That the members of the Board of Regents express to Stanley H. Barer their gratitude on behalf of the entire University community and their own personal thanks for his friendship, his loyal service, and his exceptional contributions to the work of the Board, that we wish him continued success and happiness in all his endeavors, and that this resolution be spread upon the minutes of the Board as a permanent record of the Board's sincere appreciation.

**The University of Washington  
Board of Regents  
Resolution of Appreciation to  
Jeffrey H. Brotman**

WHEREAS, Jeffrey H. Brotman has completed two terms as a member of the University of Washington Board of Regents, contributing more than thirteen years of outstanding service to the Board, the University of Washington, and the citizens of the state; and

WHEREAS, his exemplary career in business and as a co-founder of Costco Wholesale Corporation is a tribute to the bachelor's and juris doctor degrees he earned from the University of Washington in the 1960s; and

WHEREAS, his deep roots in and commitment to the Pacific Northwest are shown in his service as a Trustee of the Seattle Art Museum, United Way of King County, and the UW Medicine Board, as well as serving as a director of such notable northwest companies as Starbucks Coffee Company, Seafirst Bank, The Sweet Factory and Garden Botanika; and

WHEREAS, he provided outstanding leadership to the Board of Regents, serving as chair of the Board in 2004-2005 and of the Finance and Audit Committee from 2000-2004, and played an instrumental role in establishing two of the Board's most important advisory committees, the University of Washington Investment Committee (UWINCO) and the Advisory Committee on Real Estate (ACRE); and

WHEREAS, his inestimable business acumen and expertise in investing and real estate brought new sophisticated models and policies to the management of the University's considerable investment portfolio and to maximizing returns on its real estate holdings, thereby greatly increasing the University's value and return on its investments; and

WHEREAS, his uncanny penchant for putting issues in their larger context and seeing the advantage to be gained from applying sound business principles to the task of running a university resulted in numerous improvements to University policies and practices, saving the University countless dollars; and

WHEREAS, his deep affection for his alma mater and unwavering commitment to making it a better place for students, faculty, and staff, and his clear vision, keen analytical mind and wise counsel have all contributed to a stronger and more vibrant University;

NOW, THEREFORE, BE IT RESOLVED: That the members of the Board of Regents express to Jeffrey H. Brotman their gratitude on behalf of the entire University community and their own personal thanks for his friendship, his loyal service, and his indelible contributions to the work of the Board, that we wish him continued success and happiness in all his endeavors, and that this resolution be spread upon the minutes of the Board as a permanent record of the Board's sincere appreciation.

November 8, 2011

## Engineered critters bring 'world' title to UW team

By Sally James  
News & Information

Their uniforms are lab coats. They don't have a team cheer, but 23 UW students and their five advisers were on cloud nine Nov. 7 when they won the [World Championship](#) in what is called synthetic biology at Massachusetts Institute of Technology.

"We were so excited. We were sitting there on pins and needles," explained Liz Stanley, a senior majoring in microbiology. UW Today interviewed the students by phone while they waited to board a plane in Boston for their triumphant trip home to Seattle.

Liz Stanley, a senior majoring in microbiology, accepts the brick trophy on a Boston stage Nov. 7 for the iGEM team's "World Champion" win in genetic engineering. The brick is a symbol of the molecular components that are used in synthetic biology.

Their work in [iGEM](#) included months of lab work and genetic engineering of microbes – one to produce diesel fuel and another to help treat the difficult digestion problems for people with gluten intolerance.

Sean Wu, a sophomore, is majoring in computer science and biochemistry. Sean was on last year's team, which also won but did not win the World championship. Sean thinks the communication and presentation part of the competition was remarkably important.

"The clarity of presenting data made so much difference," Wu said. One of the team's advisers, Justin Siegel, said working with the enthusiastic undergrad students was one of the highlights of his career. Siegel will graduate with a doctorate this year. Two other advisers are Ingrid Swanson Pultz and Rob Egbert, who will also graduate.

But Justin hopes many of the students will return for the 2012 team.

The research done by these students will likely be published in a peer-reviewed science journal, just as it was for last year's team. This kind of accomplishment is rare for undergraduates and will boost their resumes, he said.

"Oh yeah. Putting 'world champion' on your resume is great."

UW undergrad members came from the departments of biochemistry, microbiology, bioengineering, materials science and computer science, which reflects the interdisciplinary nature of synthetic biology. This year's faculty advisers were Eric Klavins, whose research investigates how bacteria and other systems can self-organize; David Baker, a UW biochemistry professor who predicts proteins' 3-D structures in order to design new proteins and Herbert Sauro, a UW bioengineering associate professor who does computer-aided design of biochemical interactions.

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*

Academic and Administrative Appointments

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## ADMINISTRATIVE APPOINTMENTS

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### College of Arts and Sciences

#### College of Arts and Sciences

##### **Cooper, Elizabeth Ann**

###### **Interim Divisional Dean, Arts, effective 1/1/2012**

###### Continuing Appointments:

- Associate Professor, Dance
- Director, Dance

###### Degrees:

- MFA, 1997, University of Washington
- BA, 1987, Yale University

##### **Shapiro, Michael Charles**

###### **Interim Divisional Dean, Humanities, effective 1/1/2012**

###### Continuing Appointments:

- Professor, Asian Languages and Literature
- Adjunct Professor, Linguistics

###### Degrees:

- PhD, 1973, University of Chicago
- MA, 1970, University of Chicago
- BA, 1967, Queens College

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## ENDOWED APPOINTMENTS

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### College of Engineering

#### Department of Civil and Environmental Engineering

##### **Muench, Stephen T.**

###### **Tom and Marilyn Draeger/Beavers Charitable Trust Endowed Professorship, effective 9/16/2011**

###### Continuing Appointment:

- Associate Professor, Civil and Environmental Engineering

###### Degrees:

- PhD, 2004, University of Washington
- MSCE, 1998, University of Washington
- BSCE, 1990, University of Washington

### School of Medicine

#### Department of Anesthesiology and Pain Medicine

##### **Raftery, Michael Daniel**

###### **Medical Education and Research Endowed Chair No. 2, effective 1/1/2012**

###### Continuing Appointment:

- Professor, Anesthesiology and Pain Medicine

###### Degrees:

- MBA, 2004, University of Chicago
- PhD, 1991, University of California (Berkeley)
- AB, 1984, Harvard University

## **Department of Pediatrics**

**Walker, William Otis Jr.**

**Robert A. Aldrich Endowed Professorship in Birth Defects and Mental Retardation, effective 5/1/2011**

Continuing Appointment:

- Professor without Tenure, Pediatrics

Degrees:

- MD, 1979, Tulane University
- BS, 1975, Tulane University

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## **NEW APPOINTMENTS**

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### **College of Built Environments**

#### **Department of Urban Design and Planning**

**Hurvitz, Philip Michael**

**Research Assistant Professor, Urban Design and Planning, effective 1/1/2012**

Prior UW Appointment:

Research Associate, Urban Design and Planning

Degrees:

- PhD, 2010, University of Washington
- Master Of Forest Resources, 1994, University of Washington
- BA, 1983, Seattle University

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

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

**Yao, Yang**

**Visiting Professor, International Studies, effective 12/16/2011**

Degrees:

- PhD, 1996, University of Wisconsin (Madison)
- MS, 1989, Beijing University (China)
- BS, 1986, Beijing University (China)

### **Business School**

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

**Agrawal, Nidhi**

**Associate Professor, Marketing and International Business, effective 12/16/2011**

Prior UW Appointment:

Visiting Associate Professor, Marketing and International Business

Degrees:

- PhD, 2006, New York University
- MBA, 1999, Mudra Institute of Communications (India)
- BBA, 1997, Gujarat University (India)

**Paul, Justin**

**Visiting Associate Professor, Marketing and International Business, effective 12/16/2011**

Degrees:

- PhD, 2003, Indian Institute of Technology (India)
- MPHIL, 1998, Indian Institute of Technology (India)
- MA, 1997, University of Calicut, Christ College
- BA, 1995, University of Calicut, Christ College

## College of Engineering

### **Department of Civil and Environmental Engineering**

**Wang, Hua**

**Visiting Associate Professor, Civil and Environmental Engineering, effective 11/16/2011**

Degrees:

- PhD, 2004, Harbin Institute of Technology (China)
- MS, 2000, Harbin Institute of Technology (China)
- BS, 1998, Harbin Institute of Technology (China)

### **Department of Computer Science and Engineering**

**Mendel, Manor**

**Visiting Associate Professor, Computer Science and Engineering, effective 12/31/2011**

Degrees:

- PhD, 2002, Tel Aviv University (Israel)
- BSC, 1991, Tel Aviv University (Israel)

### **Department of Mechanical Engineering**

**Canton, Maria De Gador**

**Research Assistant Professor, Mechanical Engineering, effective 1/2/2012**

Prior UW Appointment:

Senior Fellow, Radiology

Degrees:

- PhD, 2004, University of California (San Diego)
- MS, 2001, University of California (San Diego)
- BS, 1998, Universidad Complutense

## School of Medicine

### **Department of Anesthesiology and Pain Medicine**

**Ortner, Clemens Maria**

**Assistant Professor without Tenure, Anesthesiology and Pain Medicine, effective 1/2/2012**

Prior UW Appointment:

Acting Instructor, Anesthesiology and Pain Medicine

Degrees:

- MSC, 2004, Bocconi University (Italy)
- MD, 2002, Medical University of Vienna (Austria)

### **Department of Medicine**

**Liles, Wayne Conrad Jr.**

**Professor, Medicine, effective 1/1/2012**

Prior Non-UW Appointment:

Professor of Medicine and Director of Infectious Diseases, University of Toronto

Prior UW Appointment:

Affiliate Professor, Medicine

Degrees:

- MD, 1987, University of Washington
- PhD, 1987, University of Washington
- BA, 1980, Williams College



**Department of Psychiatry and Behavioral Sciences**

**Trittschuh, Emily Hope**

**Assistant Professor without Tenure, Psychiatry and Behavioral Sciences, effective 1/3/2012**

Prior UW Appointment:

Acting Assistant Professor, temporary, Psychiatry and Behavioral Sciences

Degrees:

- PhD, 2006, Northwestern University
- BS, 1996, Duke University

**School of Pharmacy**

**Department of Pharmacy**

**Carlson, Joshua J.**

**Assistant Professor, Pharmacy, effective 1/15/2012**

Prior UW Appointment:

Research Assistant Professor, Pharmacy

Degrees:

- PhD, 2007, University of Washington
- MPH, 2004, University of Washington
- BA, 1997, University of Colorado (Boulder)

## VII. STANDING COMMITTEES

## A. Academic and Student Affairs Committee

UW Medicine Board ReappointmentRECOMMENDED ACTION

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

Reappointment

Michael Garvey                      February 1, 2012 – June 30, 2013

Mr. Garvey's term ends January 31, 2012 and it is recommended that his term be extended through June 30, 2013 since he has agreed to be vice chair of the UW Medicine Board through June 30, 2013. This reappointment will bring continuity in leadership to the UW Medicine Board.

BACKGROUND

Article 1, Section 1 of the UW Medicine Board Bylaws states, "The Board shall consist of seventeen (17) 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 Chairperson of the Board of Regents shall appoint the Chairperson of the 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. Pursuant to the Affiliation between the University, Health Resources Northwest, and NWH effective January 1, 2010, two NWH Trustees designated by the NWH Board (the "NWH Designated Board Members") shall serve as members of the Board. Pursuant to the Strategic Alliance agreement with Public Hospital District No. 1 of King County, two (2) non-UW Medicine Designated Trustees from the VMC Board of Trustees shall serve as members of the Board. The remaining nine (9) Board members shall be nominated by the President of the University, following consultation with the CEO/EVPMA/Dean and the Board, from among people who have broad public perspectives and do not represent any special interest group."

Michael Garvey is chairman of Saltchuk Resources, Inc., a holding company with investments primarily in the maritime industry. He formerly practiced law with the firms of Preston Thorgrimson and Garvey, Schubert & Barer, where he was a founding member. Among his past and current business associations are Ste. Michelle Vintners, the K-2 Ski Co., Columbia River Farms Corp., Cascade Management Corp. (nursing homes), lumber companies, Foss Maritime Co., Totem Ocean Trailer Express, Inc., Tollycraft Yachts,

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### UW Medicine Board Reappointment (continued p. 2)

KCM (architects and engineers), and SeaBear Co. It is recommended that Michael Garvey be reappointed to the UW Medicine Board for a three-year term ending June 30, 2013.

Under the Bylaws of the UW Medicine Board it states that “The term of office of each appointed Board member shall be three (3) years. No appointed Board member may serve more than three (3) successive three-year (3) terms unless the person is serving as Chairperson or Vice Chairperson of the Board. If a person is serving as Chairperson or Vice Chairperson, the term may be extended to complete his/her role as an officer of the Board.”

#### *Attachment*

UW Medicine Board Appointment Dates

## UW MEDICINE BOARD APPOINTMENT DATES

	<u>Term of Appointment</u>	<u>Recommended Changes</u>
James Anderson	1/1/10 to 12/31/12	
Geneice (Sue) Bowman	1/1/12 to 12/31/14	
Alan Frazier	7/1/09 to 6/30/12	
Michael D. Garvey	2/1/012 to 6/30/13	<i>reappointment</i>
Allan C. Golston	11/1/11 to 10/31/14	
Gerald Grinstein	1/1/10 to 12/31/13	
Sally Jewell (UW Regent)	10/1/10 to 9/30/13	
Richard Jones	8/01/09 to 7/31/12	
Gary Kohlwes	1/1/12 to 12/31/14	
Shan Mullin	9/1/10 to 8/31/13	
Julie Nordstrom	11/1/11 to 10/31/14	
Dennis Okamoto	10/1/09 to 9/30/12	
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	
William Rex	1/1/10 to 12/31/12	
Herman Sarkowsky	10/1/10 to 9/30/13	
JoAnn Taricani (UW Faculty)	7/1/11 to 6/30/14	
Michael Young President University of Washington	Ex Officio	

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Schools at UW Bothell

#### INFORMATION ONLY

The University of Washington Bothell has developed a process to transition from Programs to Schools as the primary academic administrative units for the campus, in order to reflect the growing maturity and complexity of the existing Programs and enable a more effective and recognizable administrative structure to support the continued growth of the campus.

In accordance with UW Bothell's process for transitioning to Schools, we have sought and received the Provost's approval to rename the Business and Interdisciplinary Arts and Sciences Programs, respectively, the UW Bothell School of Business and the UW Bothell School of Interdisciplinary Arts and Sciences. The anticipated start date for this renaming is March 26, 2012.

Since 2007, UW Bothell has grown rapidly, expanding enrollment from 1,670 to 3,377 FTE from Fall 2007 to 2011. This growing size and complexity led the campus to begin addressing the need for a more recognizable and effective academic administrative structure.

Through a comprehensive collaborative process involving the entire campus community, as well as the Provost and Secretary of the Faculty, development and approval of a process for transitioning Programs to Schools was completed in August, 2011. This transition to Schools positions UW Bothell for continued growth over the next five to 10 years, by enabling a more effectively organized administrative structure and establishing academic units that are capable of the kind of scale-up that would accompany the anticipated growth of the campus. There are no immediate fiscal implications from these name changes, except for minor expenses for signage, stationary and similar items. However, as more recognizable units, Schools will provide greater opportunities for fund raising, as well as additional opportunities for grant and foundation awards.

The creation of Schools is in keeping with UW Bothell's strategic vision as outlined in the 21<sup>st</sup> Century Campus Initiative, the strategic plan guiding the campus. Schools will:

- more effectively support the rapid growth of the campus by facilitating the development of courses and degree options that serve multiple curricular needs
- create possibilities for fiscal efficiencies in administrative support
- enable continued growth of interdisciplinary culture by gathering faculty under broader intellectual headings

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Schools at UW Bothell (continued p. 2)

- enhance visibility with external communities and support advancement initiatives through a more recognized academic unit structure and an expanded external role for unit leadership

To meet the needs of this growing campus population, UW Bothell has added 16 new degrees in the past three years, including STEM degrees housed within the Science and Technology Program approved by the Regents in 2009. At the same time, the faculty has continued to grow, and will reach close to 150 full-time faculty next Fall. UW Bothell has expanded to additional locations, including the new Eastside Leadership Center in Bellevue. Programs have also expanded the numbers and kinds of revenue streams that they manage. Recent non-state supported activities include five new research centers, new fee-based programs (in collaboration with UWEO), and expanded development activities.

The campus as a whole and the Programs as individual units have also taken on increasingly visible roles in the surrounding communities, collaborating with industries, non-profits, school districts, and community organizations in development of new curricula, research and entrepreneurship partnerships.

In Fall 2011, UW Bothell's two largest Programs developed transition proposals, which subsequently received campus approval following a campus comment period and approval by the GFO Executive Council and Chancellor. We are now at the final stages of this transition.

The newly designated UW Bothell School of Business provides undergraduate and graduate programs in two locations – the UW Bothell campus and the Eastside Leadership Center (ELC) in Bellevue. Congruent with the 21<sup>st</sup> Century Campus Initiative (available at <http://www.uwb.edu/21stcentury>), Business has introduced several growth initiatives since 2007. These include an undergraduate Accounting option, off-site expansion, development of a fee-based undergraduate program, and an executive education initiative. Enrollment has grown to nearly 750 in Fall 2011.

The UW Bothell School of Business is independently accredited by the American Association of Collegiate Schools of Business and offers a day and evening BA in Business Administration, with concentrations in seven areas, as well as an Accounting option. MBA students choose between the Technology MBA at Bothell and the Leadership MBA at Bellevue. The School is also home to The Entrepreneurship Center, which conducts the annual Business Plan Competition; helps administer entrepreneurship and consulting curricula, and incubates student and alumni businesses.

## VII. STANDING COMMITTEES

### A. Academic and Student Affairs Committee

#### Schools at UW Bothell (continued p. 3)

The UW Bothell School of Interdisciplinary Arts and Sciences (IAS) is the largest academic unit on campus, offering 10 undergraduate degrees and two options. Graduate students choose between the MA in Cultural Studies, MA in Policy Studies, and MFA in Creative Writing and Poetics (new for Fall 2012). Ten of these degrees have launched since 2007, supporting growth in IAS enrollment from about 500 FTE to nearly 1,000 in Fall 2011. The School houses 50 full-time faculty and additional part-time, adjunct and affiliate faculty.

The UW Bothell School of IAS provides a rigorous liberal arts education that draws connections across academic disciplines and links classroom learning to practical experience across diverse fields. Guided by the IAS mission, the faculty and staff are dedicated to integrative research, innovative and effective pedagogy, and dynamic curricula that prepare students for careers and lives in complex and changing environments. Through experiential learning inside and outside the classroom, an IAS education offers students the opportunity to create new knowledge about the world and to make a difference in it.

#### *Attachments*

Renaming Programs to Schools at UW Bothell – Overview

Executive Vice Provost Wadden Letter to Chancellor Chan about Bothell Schools Policy, January 30, 2012

## Renaming Programs to Schools at UW Bothell

### Overview:

The University of Washington Bothell has developed a process to transition from Programs to Schools as the primary academic administrative units for the campus, in order to reflect the growing maturity and complexity of the existing Programs and enable a more effective and recognizable administrative structure to support the continued growth of the campus.

In accordance with the procedure outlined in the Establishment of Schools at UW Bothell process, we are informing the Regents of the Provost's approval of UW Bothell's proposal to rename the Business and Interdisciplinary Arts and Sciences Programs, respectively, the UW Bothell School of Business and the UW Bothell School of Interdisciplinary Arts and Sciences.

### Background and Purpose:

Since 2007, UW Bothell has grown rapidly, expanding enrollment from 1,670 to 3,377 FTE from Fall 2007 to 2011. This growing size and complexity led the campus to begin addressing the need for a more recognizable and effective academic administrative structure.

Through a comprehensive collaborative process involving the entire campus community, as well as the Provost and Secretary of the Faculty, development and approval of a process for transitioning Programs to Schools was completed in August 2011. This transition to Schools positions UW Bothell for continued growth over the next five to 10 years, by enabling a more effectively organized administrative structure and establishing academic units that are capable of the kind of scale-up that would accompany the anticipated growth of the campus.

There are no immediate fiscal implications from these name changes, except for minor expenses for signage, stationary and similar items. However, as more recognizable units, Schools will provide greater opportunities for fund raising, as well as additional opportunities for grant and foundation awards.

The creation of Schools is in keeping with UW Bothell's strategic vision as outlined in the 21<sup>st</sup> Century Campus Initiative, the strategic plan guiding the campus. Schools will:

- more effectively support the rapid growth of the campus by facilitating the development of courses and degree options that serve multiple curricular needs
- create possibilities for fiscal efficiencies in administrative support
- enable continued growth of interdisciplinary culture by gathering faculty under broader intellectual headings
- enhance visibility with external communities and support advancement initiatives through a more recognized academic unit structure and an expanded external role for unit leadership

To meet the needs of this growing campus population, UW Bothell has added 16 new degrees in the past three years, including STEM degrees housed within the Science and Technology Program approved by the Regents in 2009. At the same time, the faculty has continued to grow, and will reach close to 150 full-time faculty next Fall. UW Bothell has expanded to additional



locations, including the new Eastside Leadership Center in Bellevue. Programs have also expanded the numbers and kinds of revenue streams that they manage. Recent non-state supported activities include five new research centers, new fee-based programs (in collaboration with UWEO), and expanded development activities.

The campus as a whole and the Programs as individual units have also taken on increasingly visible roles in the surrounding communities, collaborating with industries, non-profits, school districts, and community organizations in development of new curricula, research and entrepreneurship partnerships.

In Fall of 2011, UW Bothell's two largest Programs developed transition proposals, which subsequently received campus approval following a campus comment period and approval by the GFO Executive Council and Chancellor. We are now at the final stages of this transition.

The newly designated UW Bothell School of Business provides undergraduate and graduate programs in two locations – the UW Bothell campus and the Eastside Leadership Center (ELC) in Bellevue. Congruent with the 21<sup>st</sup> Century Campus Initiative, Business has introduced several growth initiatives since 2007. These include an undergraduate Accounting option, off-site expansion, development of a fee-based undergraduate program, and an executive education initiative. Enrollment has grown to nearly 750 in Fall 2011.

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The UW Bothell School of IAS provides a rigorous liberal arts education that draws connections across academic disciplines and links classroom learning to practical experience across diverse fields. Guided by the IAS mission, the faculty and staff are dedicated to integrative research, innovative and effective pedagogy, and dynamic curricula that prepare students for careers and lives in complex and changing environments. Through experiential learning inside and outside the classroom, an IAS education offers students the opportunity to create new knowledge about the world and to make a difference in it.

The start date for this renaming is March 26, 2012.



## UNIVERSITY OF WASHINGTON

OFFICE OF THE PROVOST

January 30, 2012

Chancellor Kenyon Chan  
Office of the Chancellor  
University of Washington, Bothell  
Box 358520

Dear Kenyon,

Congratulations to you and your colleagues for finalizing UW Bothell's policy to transition from Programs to Schools. I commend you and all involved for their hard work over the past two years as you met with a number of constituents. During this entire period, Phyllis Wise, Cheryl Cameron and I recognized the growth and importance of evolving campus governance that this change represents.

As we discussed last December while I was Interim Provost, I support the reorganization policy proposal for your campus. This letter serves as the final approval from the Provost's office to change the names of UW Bothell Business Program and the UW Bothell Interdisciplinary Arts and Sciences Program to the UW Bothell School of Business and the UW Bothell School of Interdisciplinary Arts and Sciences Program, respectively.

This policy will be on the agenda for the February 9 Board of Regents' meeting as an information item.

My best regards,

A handwritten signature in black ink, appearing to read "Douglas J. Wadden".

Douglas J. Wadden  
Executive Vice Provost

Cc: Michael K. Young, President  
Ana Mari Cauce, Provost  
Cheryl Cameron, Vice Provost  
Susan Jeffords, Vice Chancellor  
Jack Johnson, Chief of Staff

A-4.2/202-12  
2/9/12

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

UW Student Services Presentation

INFORMATION ONLY

Oral presentation only.

## Current Trends in College Student Mental Health

### BACKGROUND:

#### On a national level

Steady increase in demand for services has continued:

- Greater numbers of students are seeking counseling support
- Greater complexity of presenting issues
- Increasing numbers of students arriving on campus with history of medication

*In 2011, Association of University and College Counseling Center Directors (AUCCCD) survey indicated that 23% of Counseling Center clients are on medication, up from 20% in 2003, 17% in 2000, and 9% in 1994.*

- Increasing expectations among parents and the public
- National concern about the apparent increase in violence on campuses

#### American College Health Association Survey [Spring, 2011 (n=105,781)]:

Students Report:

“Diagnosed or treated by professional in last 12 months”:

Anxiety 11.7%  
Depression 10.7%  
Panic attacks 5.3%  
Bipolar 1.4%

Disabilities or medical conditions:

ADHD 6.5%,  
Chronic illness 4.0%,  
Psychiatric disorder 4.7%

Factors negatively affecting academic performance:

Stress 27.5%,  
Respiratory infection 22.1%,  
Sleep difficulties 19.4%,  
Anxiety 19.1%,  
Internet use/computer games 12.4%,  
Depression 11.9%

#### What do we mean when we talk about “Developmental Concerns” among college students?

- Identity Development: Who am I? Who do I want to become?
- Career Development concerns: What do I want to do with my life? How will I contribute?

## Current Trends in College Student Mental Health (continued p. 2)

- Relationship Issues: With whom do I want to spend my time? How do I find love and connection? How do I take care of myself when I feel lonely?
- Family Concerns: How do I stay connected with my family even if they don't approve of me? How do I learn to let go of old resentments and move forward? How do I balance my own needs with the expectations of my parents?
- Making Meaning: What is the meaning and purpose of life? How do I live in a way that is congruent with my values? What matters most to me?
- Academic Concerns: Why am I not more successful? How do I manage my time more effectively? How do I motivate myself to focus on school?
- Self-Care and Mood Management: How do I manage stress and anxiety? What helps when I'm feeling blue? Why am I not happy when I know I have so much going for me?
- Financial Concerns: How will I pay for college? How do I keep up with my studies when I must work two jobs?

### Relationship between Counseling, Retention, and Academic Success

The retention rate for students who received psychological counseling is 11- 14% higher than it is for students who do not (Turner, 2000; Kitzrow, 2003).

High levels of psychological distress among college students were significantly related to academic performance: Students with higher levels of psychological distress are characterized by:

- Higher test anxiety,
- Lower academic self-efficacy, and
- Less effective time management and use of study resources.

(Brackney and Karabenick, 1995 as included in NASPA Journal, Fall 2003).

### University of Washington

In 2007, following national and local incidents of campus violence, we created Health & Wellness and the Violence Prevention and Response Program (SafeCampus) and established Consultation and Assessment Team (CAT) & Violence Prevention Assessment Team (VPAT) functions:

#### CAT

- Representatives from Health & Wellness, Counseling Center, Community Standards & Student Conduct, SafeCampus, UWPD, and others
- Meets 2x/week to review cases and “connect the dots” among sources of information regarding students of concern.

VPAT

- Meets on as-needed basis
  - 2010-2011: 59
  - 2009-2010: 69
  - 2008-2009: 82
  - 2007-2008: 50

Counseling Center and Hall Health:

- Steady increase in Consultation as well as demand for Counseling Services
- Number of students seen limited by staff capacity (tables on pages 4-5)
- Primary presenting issues: Anxiety, Depression, Relationship Issues
- College student mental health → Clinical and developmental concerns
- Outreach, Education, “Post-vention”

Health & Wellness

- 3.2 FTE working with students broadly under student care and more specifically presenting with issues related to suicide, sexual assault and relationship violence, and alcohol and other drugs
- 807 cases in 2010-11:
  - Student Care: 327
  - Sexual Assault & Relationship Violence Information Service (SARIS): 138
  - Alcohol & Other Drug: 296
  - Evaluated for the Suicide Intervention Program: 46

Current Trends in College Student Mental Health (continued p. 4)

University of Washington Counseling Center  
Service Delivery Trends

	2007-08	2008-09	2009-10	2010-11	Total % Change
Students Seen for Counseling	1,309	1,346	1,483	1,454	+11%
Appointments	6,427	7,141	7,077	6,749	+5%
Students attending outreach/pres	3,422	3,134	3,033	4,990	+46%
Crisis Consult with Student*	290	275	301	434	+50%
Consult with Non-Student**	58	63	276	235	+305%
Counseling FTE***	12.6	13.9	13.7	13.7	+9%

\* Includes all walk-in contacts with students whose concerns are urgent

\*\* Includes one-time and ongoing consultations with parents, faculty, staff, and others with concern about a UW student's well-being

\*\*\* Includes Licensed Professional Staff plus 3.0 Paid Pre-doctoral Residents

Currently, revenues collected from the Services and Activities Fee cover approximately 30% of the Counseling Center budget.

In 2010-11, Students seen at Counseling Center:

7% were International Students

21% were First-generation college students

29% currently or formerly on medication for emotional problems

25% report suicidal thoughts

7% report past suicide attempt

19% report problems with internet overuse

Current Trends in College Student Mental Health (continued p. 5)

Hall Health Mental Health Clinic  
Service Delivery Trends

	2007-08	2008-09	2009-10	2010-11	Total % Change
Student appointments	9,835	9,877	9,479	9,272	-6% (3 yrs)
Crisis Consult with student			405	501	+23% (1 yr)
Hall Health Therapy FTE	9.1	8.2	8.0	6.7	-26% (3 yrs)
Hall Health Psychiatry FTE	2.5	2.6	2.2	2.4	-4% (3 yrs)
Total Visits per FTE	1,086	1,117	1,155	1,260	+16% (3 yrs)



## Counseling Center Comparison --- 2011-12

	University of Washington	University of Michigan	University of Illinois	UCLA	UC Berkeley	UC Davis	Ohio State University	Oregon State University	University of Oregon	Washington State University
<b>Total Student Enrollment (headcount)</b>	<b>40,500</b>	42,700	40,000	40,000	36,000	30,000	55,000	25,000	21,500	19,500
<b>FTE Permanent Professional (Counseling) Staff</b>	<b>10.9</b>	24	19	31	21.75	25	19.8	15.25	12.25	13.5
<b>FTE Paid Trainees (Pre- and Post-doctoral interns)</b>	<b>3</b>	12	4	7	8	10	14.5	3	5	4
<b>Total FTE Paid Clinical/Counseling Staff</b>	<b>13.9</b>	36	23	38	29.75	35	32.3	18.25	17.25	17.5
<b>FTE Professional Staff:Headcount Ratio*</b>	<b>3,716/2,470</b>	1,779	2,105/ 1,568	1,290	1,655	1,200	2,778	1,639	1,755	1,444

--Michigan has 3.1 FTE Psychiatrists in addition to the 24 permanent FTE Counseling Staff. Their 24 FTE includes one full-time Case Manager.

--UCLA has 4.7 FTE Psychiatrists in addition to 31 permanent FTE Counseling Staff.

--UC Berkeley has 4.0 FTE Psychiatrists in addition to 21.75 permanent FTE Counseling Staff.

--Ohio State has 3.35 Psychiatry in addition to 17.8 FTE permanent Counseling Staff.

--UW has 2.6 FTE Psychiatry housed in the Hall Health Mental Health Clinic.

--At both the University of Illinois and the University of Washington, there is a mental health clinic on campus that provides individual and group therapy to students. These additional FTE equal 6.5 at UIUC and 6.3 at UW in addition to the numbers in the table above. The ratio for these two institutoins reflects these total care providers.

\*The International Association of Counseling Services, Inc., the accrediting body for university, college, and community counseling centers, has established minimum staffing ratios in the range of one FTE professional staff member (*excluding trainees*) for every 1,000-1500 students. Even if both the Counseling Center and Hall Health Mental Health Clinic are considered together, the UW falls far short of this professional standard for care. Our current ratio is 1:2470.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Report of Contributions – December 2011

For information only.

*Attachment*

UW Foundation Report of Contributions for December 2011

# Report of Contributions

All Areas | December 2011

ATTACHMENT

## ANNUAL PROGRESS BY CONSTITUENCY

School	Current Month				Year to Date			
	Gifts	Private Grants	Total	Donors <sup>1</sup>	Gifts	Private Grants	Total	Donors
UW Medicine	\$4,279,710	\$8,794,612	\$13,074,322	4,191	\$14,998,709	\$63,252,947	\$78,251,656	9,613
Arts and Sciences	\$2,633,966	\$1,570,834	\$4,204,800	2,959	\$7,704,467	\$5,640,620	\$13,345,087	8,263
Broadcast Services	\$254,036		\$254,036	635	\$995,641		\$995,641	6,649
Built Environments	\$344,353		\$344,353	283	\$573,813	\$2,500	\$576,313	602
Business School	\$10,622,787		\$10,622,787	1,030	\$13,669,836		\$13,669,836	2,882
Dentistry	\$353,935		\$353,935	283	\$1,065,925	\$21,067	\$1,086,992	940
Education	\$245,362	\$1,553,496	\$1,798,858	221	\$649,399	\$2,225,841	\$2,875,240	743
Engineering	\$2,094,008	\$899,322	\$2,993,330	959	\$5,532,566	\$4,101,701	\$9,634,266	3,090
Environment	\$905,385	\$9,455	\$914,840	558	\$1,777,279	\$3,619,783	\$5,397,062	1,391
Evans School of Public Affairs	\$38,975		\$38,975	75	\$156,718	\$474,196	\$630,914	289
Graduate School	\$59,430		\$59,430	74	\$866,264	\$859,273	\$1,725,537	193
Information School	\$62,589		\$62,589	140	\$171,619	\$182,676	\$354,295	640
Intercollegiate Athletics	\$5,000,591		\$5,000,591	1,334	\$17,249,535		\$17,249,535	5,537
Law	\$610,349		\$610,349	518	\$1,178,670	\$90,000	\$1,268,670	1,037
Libraries	\$478,522		\$478,522	1,059	\$749,759		\$749,759	2,115
Minority Affairs	\$577,088		\$577,088	226	\$852,914		\$852,914	519
Nursing	\$349,462	\$10,000	\$359,462	404	\$658,393	\$587,971	\$1,246,364	1,027
Pharmacy	\$272,684	\$107,500	\$380,184	249	\$592,202	\$7,813,884	\$8,406,086	756
President's Funds	\$195,069		\$195,069	297	\$489,178		\$489,178	752
Public Health	\$183,434	\$283,842	\$467,276	185	\$430,935	\$8,197,608	\$8,628,543	424
Social Work	\$59,794		\$59,794	153	\$500,041	\$244,833	\$744,874	436
Student Life	\$383,847		\$383,847	638	\$4,303,652		\$4,303,652	2,272
Undergraduate Academic Affairs	\$51,180	\$682,698	\$733,878	134	\$341,182	\$1,194,430	\$1,535,612	272
University Press	\$109,655		\$109,655	107	\$151,920		\$151,920	127
UW Alumni Association	\$142,380		\$142,380	2,214	\$506,215		\$506,215	8,680
UW Bothell	\$144,989	\$282,000	\$426,989	100	\$406,113	\$2,476,499	\$2,882,612	271
UW Tacoma	\$239,316		\$239,316	171	\$3,013,071	\$77,310	\$3,090,381	470
Other University Support	\$1,235,465	\$40,000	\$1,275,465	223	\$3,932,761	\$1,112,397	\$5,045,158	884
<b>Total</b>	<b>\$31,928,360</b>	<b>\$14,233,758</b>	<b>\$46,162,118</b>	<b>17,348</b>	<b>\$83,518,776</b>	<b>\$102,175,535</b>	<b>\$185,694,311</b>	<b>53,866</b>

## MONTHLY HIGHLIGHTS

The UW received \$46.16M in total private voluntary support (\$31.93M in gifts and \$14.23M in grants) in the current month.

Areas including Broadcast Services, Business School, Education, Graduate School, Intercollegiate Athletics, Minority Affairs, Nursing, Pharmacy, Student Life, UW Alumni Association and UW Bothell are ahead of last year's year-to-date totals.

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

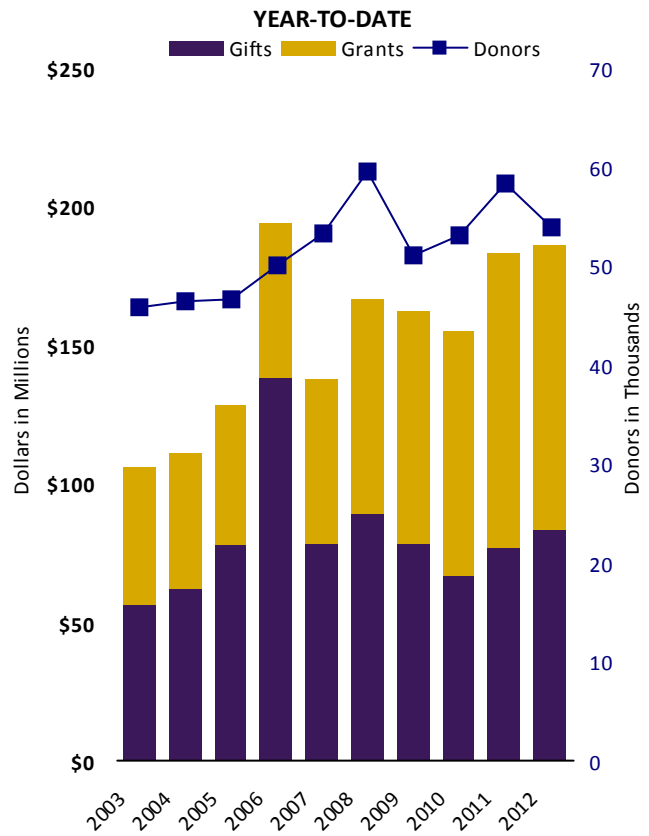
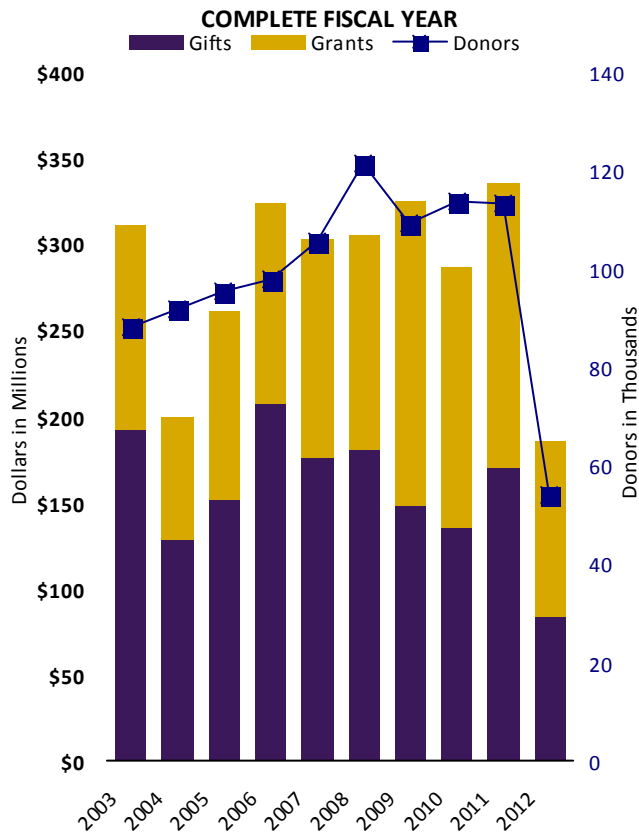
The donor total at the bottom of the chart is not a cumulative total of the rows above. The donor total is the number of unique donors who have been credited with a gift to the UW during the given time period.

**DEVELOPMENT SUMMARY BY CONSTITUENCY**

School	Current Month		Year to Date		Prior Year to Date		Prior Year Total	
	Total	Donors	Total	Donors	Total	Donors	Total	Donors
UW Medicine	\$13,074,322	4,191	\$78,251,656	9,613	\$78,296,699	10,369	\$127,994,691	15,832
Arts and Sciences	\$4,204,800	2,959	\$13,345,087	8,263	\$16,287,103	8,271	\$26,366,179	14,021
Broadcast Services	\$254,036	635	\$995,641	6,649	\$310,298	12,863	\$2,945,722	21,519
Built Environments	\$344,353	283	\$576,313	602	\$825,029	789	\$4,097,082	1,304
Business School	\$10,622,787	1,030	\$13,669,836	2,882	\$9,250,533	2,659	\$14,099,968	4,136
Dentistry	\$353,935	283	\$1,086,992	940	\$2,384,656	905	\$4,880,520	1,371
Education	\$1,798,858	221	\$2,875,240	743	\$2,093,894	477	\$4,453,458	1,322
Engineering	\$2,993,330	959	\$9,634,266	3,090	\$14,418,278	2,712	\$28,104,317	4,207
Environment	\$914,840	558	\$5,397,062	1,391	\$7,367,979	1,261	\$10,224,490	2,596
Evans School of Public Affairs	\$38,975	75	\$630,914	289	\$699,456	229	\$1,259,897	536
Graduate School	\$59,430	74	\$1,725,537	193	\$981,398	148	\$1,904,156	260
Information School	\$62,589	140	\$354,295	640	\$551,430	592	\$978,535	747
Intercollegiate Athletics	\$5,000,591	1,334	\$17,249,535	5,537	\$11,367,741	4,662	\$25,769,643	24,108
Law	\$610,349	518	\$1,268,670	1,037	\$3,247,904	816	\$3,954,968	1,671
Libraries	\$478,522	1,059	\$749,759	2,115	\$1,641,790	2,229	\$2,221,330	5,602
Minority Affairs	\$577,088	226	\$852,914	519	\$276,051	434	\$1,125,063	762
Nursing	\$359,462	404	\$1,246,364	1,027	\$1,216,725	891	\$2,572,650	1,476
Pharmacy	\$380,184	249	\$8,406,086	756	\$1,732,401	664	\$3,449,822	1,256
President's Funds	\$195,069	297	\$489,178	752	\$1,505,112	869	\$4,660,973	1,419
Public Health	\$467,276	185	\$8,628,543	424	\$15,962,301	400	\$20,982,432	728
Social Work	\$59,794	153	\$744,874	436	\$874,924	418	\$3,825,867	922
Student Life	\$383,847	638	\$4,303,652	2,272	\$1,655,173	1,461	\$24,665,211	3,351
Undergraduate Academic Affairs	\$733,878	134	\$1,535,612	272	\$1,821,710	253	\$2,135,761	545
University Press	\$109,655	107	\$151,920	127	\$1,432,075	167	\$1,525,915	215
UW Alumni Association	\$142,380	2,214	\$506,215	8,680	\$388,318	8,171	\$943,635	17,676
UW Bothell	\$426,989	100	\$2,882,612	271	\$898,992	216	\$1,890,127	753
UW Tacoma	\$239,316	171	\$3,090,381	470	\$3,777,304	430	\$5,207,539	798
Other University Support	\$1,275,465	223	\$5,045,158	884	\$2,058,807	1,515	\$2,397,723	2,095
<b>Total<sup>1</sup></b>	<b>\$46,162,118</b>	<b>17,348</b>	<b>\$185,694,311</b>	<b>53,866</b>	<b>\$183,324,082</b>	<b>58,314</b>	<b>\$334,637,675</b>	<b>113,114</b>

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

### FISCAL YEAR COMPARISON OF TOTAL CONTRIBUTIONS



Fiscal Year	Complete Fiscal Year				Year to Date			
	Gifts	Private Grants	Total	Donors	Gifts	Private Grants	Total	Donors
2011-2012	\$83,518,776	\$102,175,535	\$185,694,311	53,866	\$83,518,776	\$102,175,535	\$185,694,311	53,866
2010-2011	\$170,201,978	\$164,435,696	\$334,637,675	113,114	\$77,344,544	\$105,979,539	\$183,324,082	58,314
2009-2010	\$135,813,022	\$150,815,796	\$286,628,819	113,746	\$66,888,299	\$87,697,537	\$154,585,835	53,146
2008-2009	\$148,364,809	\$175,713,667	\$324,078,477	109,083	\$78,321,572	\$83,634,528	\$161,956,099	51,054
2007-2008	\$180,735,444	\$124,224,214	\$304,959,657	121,447	\$89,445,201	\$77,073,087	\$166,518,288	59,458
2006-2007	\$176,490,215	\$126,399,369	\$302,889,584	105,353	\$78,353,078	\$59,264,713	\$137,617,791	53,294
2005-2006	\$207,744,231	\$115,261,186	\$323,005,417	97,876	\$138,499,322	\$55,494,951	\$193,994,273	50,054
2004-2005	\$151,969,925	\$108,802,371	\$260,772,296	95,227	\$77,689,900	\$50,505,571	\$128,195,471	46,526
2003-2004	\$128,174,367	\$71,603,323	\$199,777,690	91,903	\$62,089,442	\$48,886,946	\$110,976,388	46,351
2002-2003	\$192,573,183	\$118,677,722	\$311,250,905	88,259	\$56,283,917	\$49,383,639	\$105,667,556	45,698

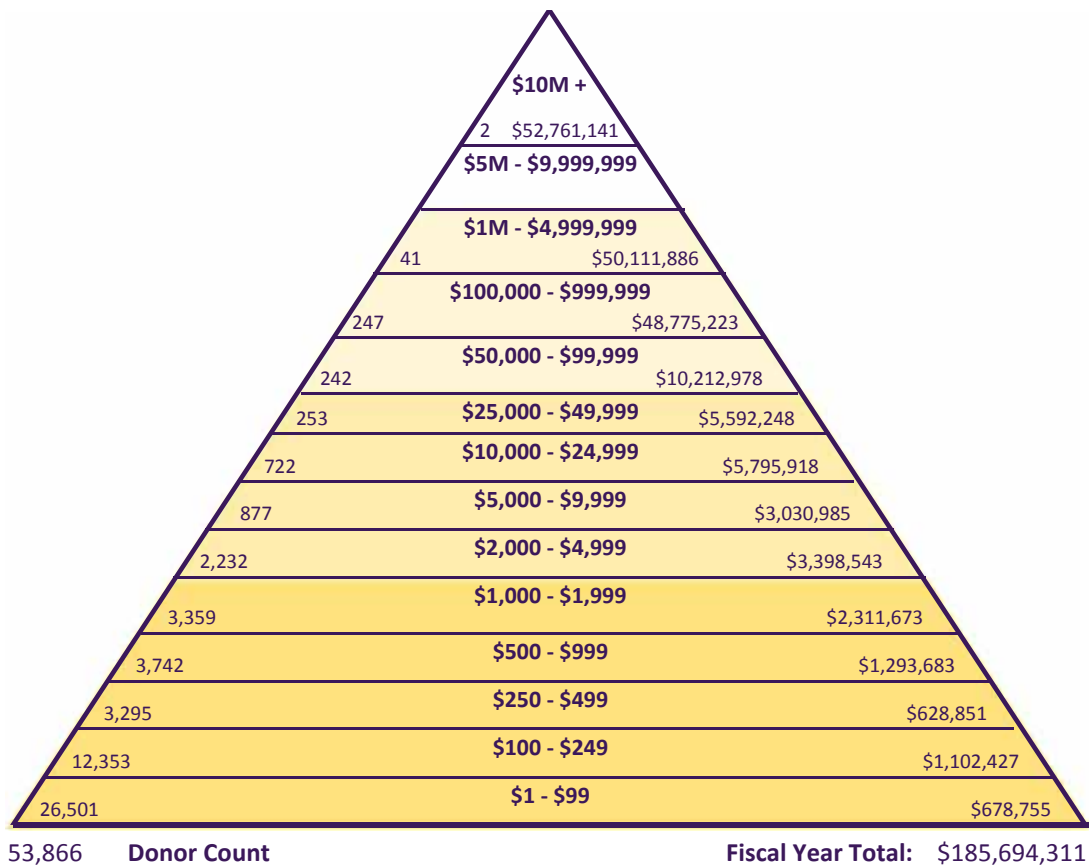
### ANNUAL FUNDING THEME PROGRESS

Theme	Current Use	Year to Date	
		Endowment	Total
Student Support	\$5,357,729	\$11,651,197	\$17,008,926
Faculty Support	\$4,537,079	\$2,844,725	\$7,381,804
Program Support for Faculty and Students	\$126,860,991	\$6,860,745	\$133,721,735
Capital	\$12,840,673	\$1,185	\$12,841,858
Excellence Funds	\$14,251,123	\$488,864	\$14,739,987
<b>Total</b>	<b>\$163,847,595</b>	<b>\$21,846,716</b>	<b>\$185,694,311</b>

### DEVELOPMENT ACTIVITY BY DONOR TYPE

Donor Type	Year to Date		Prior Year to Date		Prior Fiscal Year	
	Donors	Total	Donors <sup>1</sup>	Total	Donors	Total
Alumni	27,194	\$22,096,649	26,761	\$23,660,506	48,671	\$48,006,717
Corporations	1,475	\$22,776,738	1,222	\$25,258,367	2,568	\$48,099,904
Family Foundations	118	\$11,145,749	100	\$9,568,912	161	\$16,071,226
Foundations	251	\$70,057,942	273	\$66,005,408	446	\$97,547,429
Non-Alumni	24,505	\$18,409,330	29,609	\$13,775,845	60,669	\$49,015,743
Organizations	323	\$41,207,903	349	\$45,055,045	599	\$75,896,655
<b>Total</b>	<b>53,866</b>	<b>\$185,694,311</b>	<b>58,314</b>	<b>\$183,324,082</b>	<b>113,114</b>	<b>\$334,637,675</b>

### DEVELOPMENT ACTIVITY PYRAMID



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

**ANNUAL PROGRESS BY GIVING LEVEL**

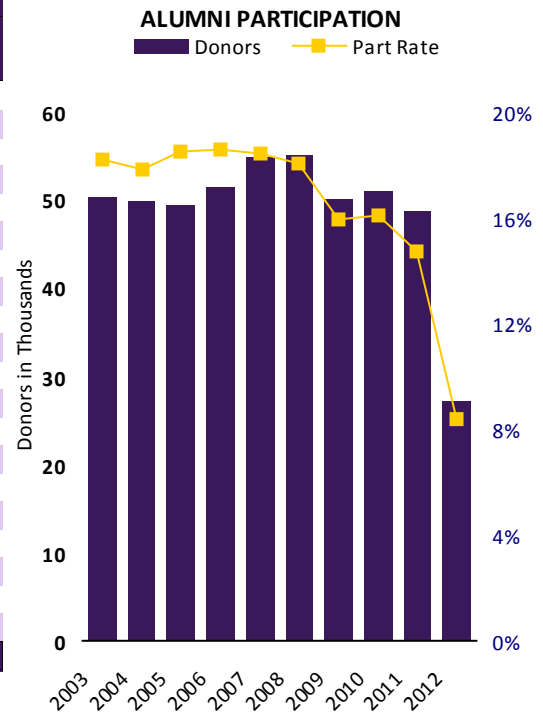
Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +					\$38,672,607	\$14,088,534	\$52,761,141
\$5M - \$9,999,999							\$0
\$1M - \$4,999,999	\$4,192,022	\$4,300,392	\$7,128,193	\$6,781,866	\$15,916,215	\$11,793,197	\$50,111,886
\$100,000 - \$999,999	\$5,759,370	\$6,021,045	\$2,496,829	\$9,544,449	\$12,577,778	\$12,375,752	\$48,775,223
\$50,000 - \$99,999	\$2,316,612	\$1,913,383	\$698,423	\$2,265,446	\$1,757,112	\$1,262,003	\$10,212,978
\$25,000 - \$49,999	\$1,495,398	\$1,001,124	\$294,377	\$1,379,908	\$507,628	\$913,812	\$5,592,248
\$10,000 - \$24,999	\$1,966,854	\$1,264,409	\$344,733	\$1,415,704	\$378,863	\$425,356	\$5,795,918
\$5,000 - \$9,999	\$1,241,923	\$776,917	\$115,445	\$577,735	\$122,356	\$196,610	\$3,030,985
\$2,000 - \$4,999	\$1,715,507	\$989,017	\$54,445	\$457,143	\$79,023	\$103,408	\$3,398,543
\$1,000 - \$1,999	\$1,171,040	\$876,075	\$11,384	\$193,287	\$31,148	\$28,740	\$2,311,673
\$500 - \$999	\$711,361	\$479,921	\$1,500	\$81,160	\$9,260	\$10,481	\$1,293,683
\$250 - \$499	\$371,997	\$213,123	\$350	\$36,712	\$2,150	\$4,519	\$628,851
\$100 - \$249	\$706,320	\$353,392	\$0	\$34,860	\$3,525	\$4,331	\$1,102,427
\$1 - \$99	\$448,245	\$220,534	\$70	\$8,468	\$277	\$1,161	\$678,755
<b>Total</b>	<b>\$22,096,649</b>	<b>\$18,409,330</b>	<b>\$11,145,749</b>	<b>\$22,776,738</b>	<b>\$70,057,942</b>	<b>\$41,207,903</b>	<b>\$185,694,311</b>

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +					1	1	2
\$5M - \$9,999,999							0
\$1M - \$4,999,999	7	11	3	5	8	7	41
\$100,000 - \$999,999	48	70	10	43	40	36	247
\$50,000 - \$99,999	61	89	12	35	26	19	242
\$25,000 - \$49,999	82	75	10	43	16	27	253
\$10,000 - \$24,999	248	284	27	108	29	26	722
\$5,000 - \$9,999	355	341	19	108	22	32	877
\$2,000 - \$4,999	1,063	905	20	181	27	36	2,232
\$1,000 - \$1,999	1,551	1,574	11	173	27	23	3,359
\$500 - \$999	1,812	1,737	3	154	14	22	3,742
\$250 - \$499	1,667	1,472	1	130	8	17	3,295
\$100 - \$249	6,690	5,319	1	284	24	35	12,353
\$1 - \$99	13,610	12,628	1	211	9	42	26,501
<b>Total</b>	<b>27,194</b>	<b>24,505</b>	<b>118</b>	<b>1,475</b>	<b>251</b>	<b>323</b>	<b>53,866</b>



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

Area	Solicitable	To UW		To Unit	
		Year to Date	Part Rate	Year to Date	Part Rate
UW Medicine	19,296	2,197	11.39%	1,634	8.47%
Arts and Sciences	148,325	11,444	7.72%	4,157	2.80%
Business School	38,811	4,042	10.41%	1,692	4.36%
Built Environments	8,372	708	8.46%	380	4.54%
Dentistry	4,598	702	15.27%	489	10.64%
Education	17,578	1,612	9.17%	188	1.07%
Engineering	33,380	2,959	8.86%	1,775	5.32%
Environment	11,457	841	7.34%	345	3.01%
Evans School of Public Affairs	2,773	311	11.22%	99	3.57%
Interdisc. Grad. Programs	2,239	189	8.44%		
Interschool Programs	2,406	287	11.93%		
Information School	4,882	678	13.89%	445	9.12%
Law	8,074	947	11.73%	608	7.53%
School of Nursing	8,737	1,082	12.38%	718	8.22%
Pharmacy	3,705	500	13.50%	369	9.96%
Public Health	4,728	382	8.08%	89	1.88%
Social Work	6,543	535	8.18%	321	4.91%
UW Bothell	8,323	407	4.89%	63	0.76%
UW Tacoma	9,481	359	3.79%	91	0.96%
Unspecified	9,066	725	8.00%		
<b>ALL UW TOTAL</b>	<b>324,647</b>	<b>27,194</b>	<b>8.38%</b>		



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

Area	Solicitable	To UW				To Unit			
		Year to Date		FY Total		Year to Date		FY Total	
		Donors <sup>1</sup>	Part Rate	Donors	Part Rate	Donors	Part Rate	Donors	PFY Final
UW Medicine	19,185	2,185	11.39%	3,576	18.64%	1,462	7.62%	2,273	11.85%
Arts and Sciences	151,787	11,193	7.37%	20,278	13.36%	3,459	2.28%	5,558	3.66%
Business School	39,725	3,892	9.80%	7,407	18.65%	1,503	3.78%	2,384	6.00%
Built Environments	8,496	721	8.49%	1,328	15.63%	292	3.44%	521	6.13%
Dentistry	4,650	638	13.72%	1,116	24.00%	392	8.43%	601	12.92%
Education	18,092	1,633	9.03%	3,180	17.58%	167	0.92%	542	3.00%
Engineering	33,868	2,788	8.23%	4,885	14.42%	1,473	4.35%	2,235	6.60%
Environment	11,635	862	7.41%	1,711	14.71%	351	3.02%	746	6.41%
Evans School of Public Affairs	2,747	286	10.41%	561	20.42%	88	3.20%	193	7.03%
Interdisc. Grad. Programs	2,200	165	7.50%	323	14.68%				
Interdisc. Undergrad. Programs									
Interschool Programs	2,459	304	12.36%	503	20.46%				
Information School	4,950	676	13.66%	981	19.82%	364	7.35%	464	9.37%
Law	8,186	857	10.47%	1,701	20.78%	438	5.35%	891	10.88%
School of Nursing	8,909	1,001	11.24%	1,709	19.18%	509	5.71%	883	9.91%
Pharmacy	3,690	477	12.93%	947	25.66%	360	9.76%	689	18.67%
Public Health	4,683	385	8.22%	736	15.72%	90	1.92%	234	5.00%
Social Work	6,753	543	8.04%	971	14.38%	247	3.66%	465	6.89%
UW Bothell	8,069	374	4.64%	803	9.95%	66	0.82%	271	3.36%
UW Tacoma	9,452	375	3.97%	772	8.17%	144	1.52%	373	3.95%
Unspecified	9,472	752	7.94%	1,540	16.26%				
<b>ALL UW TOTAL</b>	<b>330,521</b>	<b>26,523</b>	<b>8.02%</b>	<b>48,671</b>	<b>14.73%</b>				

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

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



## UWAA Member Giving by Constituency

School	Solicitable Alumni	Member		Alumni Giving	
		Members <sup>1</sup>	Donors	Members	Non Members
UW Medicine	19,296	1,828	615	33.64%	8.00%
Arts and Sciences	148,325	18,308	4,085	22.31%	3.86%
Business School	38,811	7,024	1,829	26.04%	4.79%
Built Environments	8,372	1,090	256	23.49%	4.16%
Dentistry	4,598	978	304	31.08%	8.78%
Education	17,578	2,784	659	23.67%	4.26%
Engineering	33,380	4,393	1,074	24.45%	5.06%
Environment	11,457	1,397	280	20.04%	4.03%
Evans School of Public Affairs	2,773	316	85	26.90%	6.59%
Interdisc. Grad. Programs	2,239	210	51	24.29%	4.78%
Interdisc. Undergrad. Progra					
Interscholar Programs	2,406	532	133	25.00%	5.55%
Information School	4,882	751	215	28.63%	9.30%
Law	8,074	1,026	346	33.72%	7.24%
School of Nursing	8,737	1,288	384	29.81%	7.69%
Pharmacy	3,705	620	219	35.32%	7.75%
Public Health	4,728	384	99	25.78%	5.02%
Social Work	6,543	564	133	23.58%	5.50%
UW Bothell	8,323	711	77	10.83%	2.12%
UW Tacoma	9,481	610	62	10.16%	1.62%
Unspecified	9,066	1,812	384	21.19%	2.61%
Non-Alumni		7,591	3,237	42.64%	
<b>Total</b>	<b>324,647</b>	<b>52,096</b>	<b>13,272</b>	<b>25.48%</b>	

## Alumni Activity

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

## Top 10 Membership by Class Year

Class Year	Part. Rate	Class Year	Population
1955	22.74%	2011	1,553
1953	21.79%	1971	1,109
1954	21.40%	1973	1,077
1959	21.24%	1974	1,042
1946	20.90%	1970	1,033
1956	20.84%	1972	1,015
1950	20.20%	1976	1,009
1957	20.16%	1975	992
1958	20.14%	1977	945
1944	19.92%	1968	891

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

School <sup>2</sup>	Participants	Part. Donors	% Donors	Alum Non-Part.	Alum Non-Par Donor	% Non-Part Donor
Intercollegiate Athletics	2,122	2,076	97.83%			
UW Medicine	4,640	3,317	71.49%	21,116	3,163	14.98%
Arts and Sciences	16,993	3,496	20.57%	138,811	7,794	5.61%
Built Environments	1,830	720	39.34%	7,348	679	9.24%
Business School	7,364	1,942	26.37%	33,940	3,016	8.89%
Dentistry	2,034	812	39.92%	2,899	407	14.04%
Education	2,163	419	19.37%	16,462	838	5.09%
Engineering	3,489	1,070	30.67%	31,603	3,130	9.90%
Environment	1,530	662	43.27%	10,913	984	9.02%
Evans School of Public Affairs	983	338	34.38%	2,154	251	11.65%
Graduate School	405	156	38.52%	2,166	4	0.18%
Information School	819	257	31.38%	4,535	650	14.33%
Law	2,289	896	39.14%	6,477	986	15.22%
Libraries	1,334	1,292	96.85%			
Nursing	1,076	418	38.85%	8,251	1,289	15.62%
Pharmacy	444	262	59.01%	3,537	902	25.50%
Public Health	730	237	32.47%	4,053	357	8.81%
Social Work	922	292	31.67%	6,130	629	10.26%
UW Bothell	942	264	28.03%	8,508	657	7.72%
UW Tacoma	672	243	36.16%	9,935	792	7.97%

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

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

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

Source: University of Washington Alumni Association



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Grant and Contract Awards Summary – November 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.

*Attachment*

Grant and Contract Awards Summary for November 2011

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# **Grant and Contract Awards Summary**

**to**

**The Board of Regents**

**of the**

**University of Washington**

**for**

**November 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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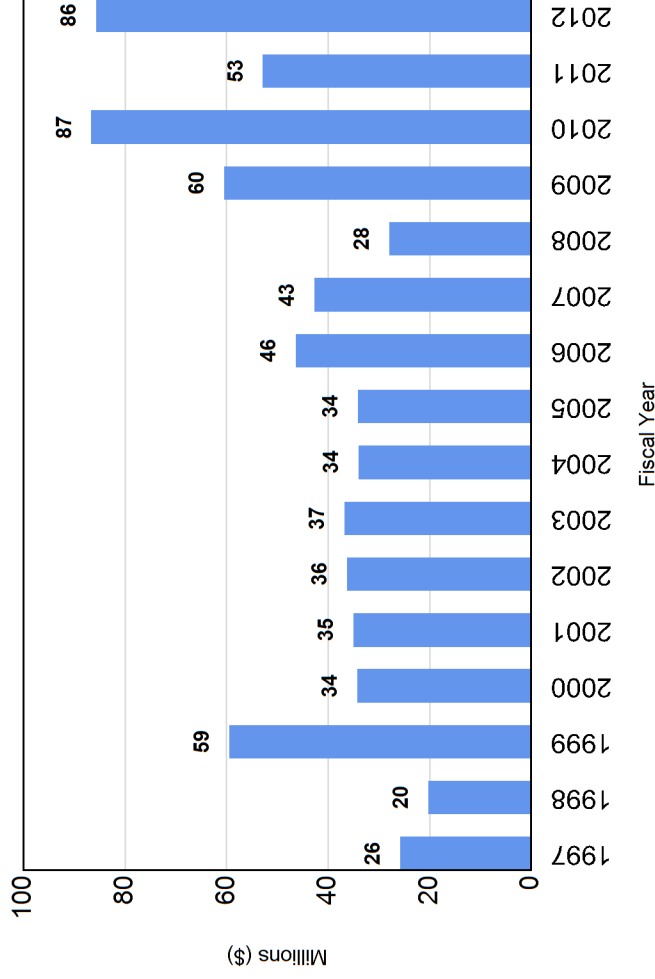
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Summary of Contract Awards	10
Report of Grant & Contract Awards over \$1,000,000	11

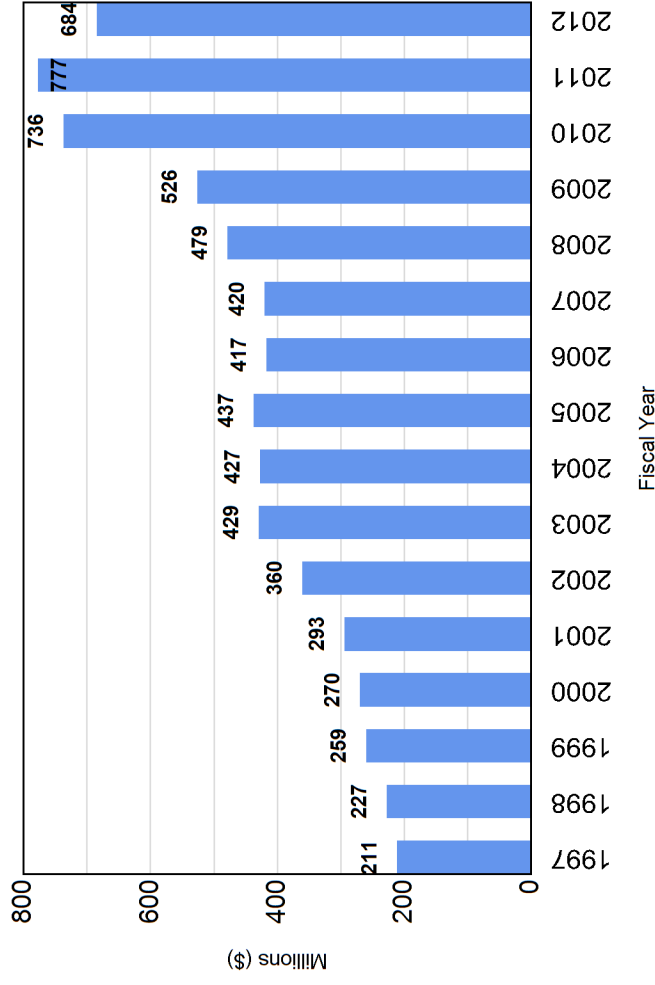
### November Only

#### Comparison of Grant & Contract Awards



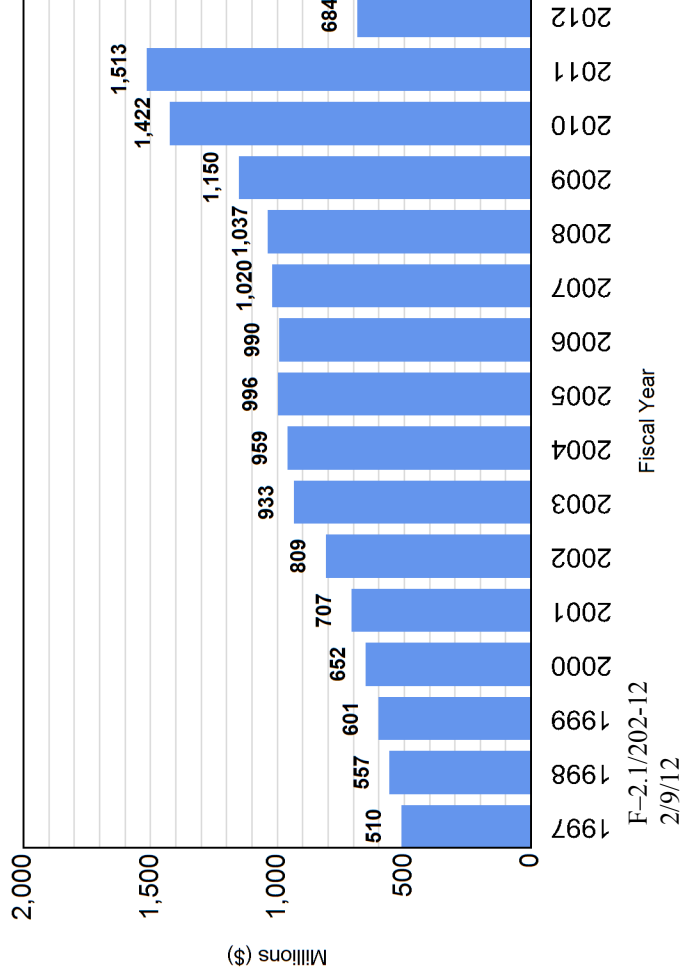
### Fiscal Year to Date

#### Comparison of Grant & Contract Awards



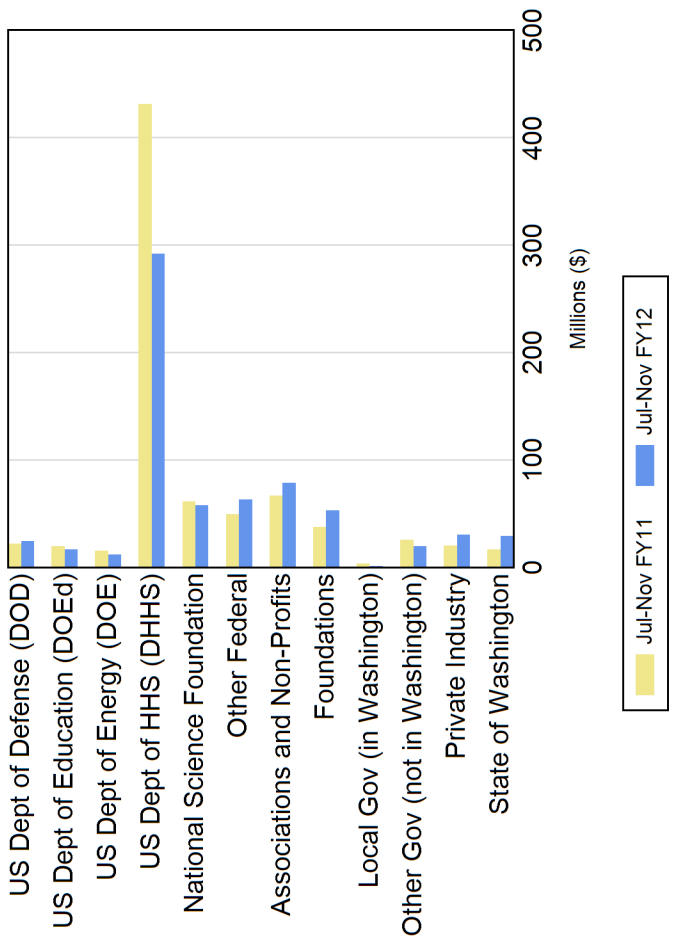
### Complete Fiscal Year

#### Comparison of Grant & Contract Awards



### Fiscal Year to Date

#### Two-Year Comparison of Grant and Contract Awards



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**Summary of Grant and Contract Awards**Fiscal Year 2011-2012

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Grants and Contracts</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 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	\$ 141,972,200	\$ 57,712,860	\$ 8,141,800	\$ 1,267,491	\$ 209,094,400
October	\$ 64,749,740	\$ 28,930,740	\$ 4,470,465	\$ 802,690	\$ 98,953,630
November	\$ 30,363,460	\$ 49,290,150	\$ 644,429	\$ 5,337,309	\$ 85,635,350
<b>FY12 to Date</b>	<b>\$436,955,195</b>	<b>\$204,453,389</b>	<b>\$32,265,821</b>	<b>\$10,750,389</b>	<b>\$684,424,794</b>
<b>FY11 to Date</b>	<b>\$525,252,402</b>	<b>\$163,171,627</b>	<b>\$77,757,437</b>	<b>\$10,529,125</b>	<b>\$776,710,591</b>
<b>Over (Under) Previous Year</b>	<b>(\$88,297,207)</b>	<b>\$41,281,762</b>	<b>(\$45,491,616)</b>	<b>\$221,264</b>	<b>(\$92,285,797)</b>

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

**Fiscal Years 2010-2011 and 2011-2012**

<b>Agency</b>	<b>Jul-Nov FY11</b>	<b>Jul-Nov FY12</b>
US Department of Defense (DOD)	\$ 22,596,413	\$ 24,775,698
US Department of Education (DOEd)	\$ 20,103,992	\$ 17,323,567
US Department of Energy (DOE)	\$ 16,039,843	\$ 12,593,100
US Department of Health and Human Services (DHHS)	\$ 431,872,424	\$ 292,496,376
National Science Foundation (NSF)	\$ 62,152,586	\$ 58,307,965
Other Federal	\$ 50,244,581	\$ 63,724,310
<b>Subtotal for Federal :</b>	<b>\$ 603,009,839</b>	<b>\$ 469,221,016</b>
Associations and Non-Profits	\$ 67,393,202	\$ 79,163,832
Foundations	\$ 38,233,662	\$ 53,771,151
Local Government (in Washington)	\$ 3,919,215	\$ 1,666,936
Other Government (not in Washington)	\$ 26,142,588	\$ 19,897,646
Private Industry	\$ 20,810,740	\$ 30,740,471
State of Washington	\$ 17,201,346	\$ 29,963,742
<b>Subtotal for Non-Federal :</b>	<b>\$ 173,700,752</b>	<b>\$ 215,203,779</b>
<b>Grand Total :</b>	<b>\$ 776,710,591</b>	<b>\$ 684,424,794</b>
<b>Amount of Increase (Decrease) :</b>		<b>(\$ 92,285,797)</b>
<b>Percent of Increase (Decrease) :</b>		<b>(11.9 %)</b>



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

Fiscal Years 2010-2011 and 2011-2012

School/College	Jul-Nov FY11	Jul-Nov FY12
<b>Upper Campus</b>		
Architecture and Urban Planning	\$ 1,618,904	\$ 450,348
Arts and Sciences	\$ 49,045,181	\$ 41,330,030
College of the Environment	\$ 52,037,827	\$ 89,342,092
Director of Libraries	\$ 282,381	\$ 5,336,571
Education	\$ 15,523,551	\$ 10,287,419
Educational Outreach	\$ 175,000	\$ 50,000
Engineering	\$ 56,019,830	\$ 52,569,180
Evans School of Public Affairs	\$ 1,470,069	\$ 1,201,725
Executive Vice President	\$ 236,340	\$ 19,981
Foster School of Business	\$ 894,700	\$ 275,043
Graduate School	\$ 872,125	\$ 2,863,310
Information School	\$ 1,205,204	\$ 3,291,236
Law	\$ 1,943,206	\$ 3,098,136
Office of Research	\$ 32,725,912	\$ 22,454,611
Provost		\$ 29,468
Social Work	\$ 14,011,422	\$ 11,144,457
Undergraduate Education	\$ 534,402	\$ 251,836
VP Minority Affairs	\$ 6,597,431	\$ 8,728,012
VP Student Life	\$ 20,715	\$ 46,000
<b>Subtotal :</b>	<b>\$ 235,214,199</b>	<b>\$ 252,769,455</b>
<b>Health Sciences</b>		
Dentistry	\$ 1,824,476	\$ 1,744,903
Medicine	\$ 393,884,976	\$ 318,757,938
Nursing	\$ 11,073,879	\$ 7,031,220
Pharmacy	\$ 9,796,155	\$ 14,319,359
Public Health	\$ 104,165,595	\$ 59,987,286
<b>Subtotal :</b>	<b>\$ 520,745,081</b>	<b>\$ 401,840,706</b>
<b>Special Programs</b>		
Alcohol and Drug Abuse Institute	\$ 2,973,845	\$ 2,162,811
CHDD Administration	\$ 4,320,852	\$ 5,951,078
Hall Health Primary Care Center	\$ 283,155	
Regional Primate Center	\$ 6,553,080	\$ 18,173,773
<b>Subtotal :</b>	<b>\$ 14,130,932</b>	<b>\$ 26,287,662</b>
<b>Other UW Campuses</b>		
Bothell	\$ 1,421,342	\$ 2,803,489
Tacoma	\$ 5,199,036	\$ 723,483
<b>Subtotal :</b>	<b>\$ 6,620,378</b>	<b>\$ 3,526,972</b>

School/College	Jul-Nov FY11	Jul-Nov FY12
<b>Grand Total :</b>	\$ 776,710,591	\$ 684,424,794

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

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Grants</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 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	\$ 138,011,500	\$ 9,825,795	\$ 8,121,800	\$ 172,830	\$ 156,131,900
October	\$ 55,634,390	\$ 8,875,251	\$ 4,470,465	\$ 255,199	\$ 69,235,300
November	\$ 21,930,390	\$ 2,942,820	\$ 644,429	\$ 4,077,087	\$ 29,594,730
<b>Year to Date</b>	<b>\$ 407,710,200</b>	<b>\$ 29,612,710</b>	<b>\$ 32,113,610</b>	<b>\$ 4,946,580</b>	<b>\$ 474,383,100</b>

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

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<b>Month</b>	<b>RESEARCH AND OTHER</b>	<b>TRAINING</b>	<b>Total Grants</b>
July	\$ 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
October	\$ 15,415,300	\$ 515,275	\$ 15,930,570
November	\$ 39,252,490	\$ 901,444	\$ 40,153,930
<b>Year to Date</b>	<b>\$ 133,650,900</b>	<b>\$ 3,069,366</b>	<b>\$ 136,720,300</b>

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**Summary of Contract Awards**

Fiscal Year 2011-2012

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<b>Month</b>	<b>RESEARCH AND OTHER</b>		<b>TRAINING</b>		<b>Total Contracts</b>
	<b>Federal</b>	<b>Non-Federal</b>	<b>Federal</b>	<b>Non-Federal</b>	
July	\$ 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	\$ 10,485,630	\$ 20,000	\$ 33,215	\$ 14,499,570
October	\$ 9,115,353	\$ 4,640,188	\$ 0	\$ 32,216	\$ 13,787,760
November	\$ 8,433,068	\$ 7,094,843	\$ 0	\$ 358,778	\$ 15,886,690
<b>Year to Date</b>	<b>\$ 29,245,000</b>	<b>\$ 41,189,780</b>	<b>\$ 152,208</b>	<b>\$ 2,734,444</b>	<b>\$ 73,321,430</b>

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

**November 2011**

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

**Office of Research  
Office of Sponsored Programs**

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**Detail of Public Grant Awards**

**Federal**

**US Department of Defense (DOD)**

**US Army**

To: Joan Sanders, Associate Professor  
Bioengineering \$ 1,772,750

For: In-socket monitoring of limb volume for maintenance of limb  
volume/mass

Eff: 9/27/2010 Classified: No

**Total for US Army: \$ 1,772,750**

**Total for US Department of Defense (DOD): \$ 1,772,750**

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

**National Institute for Occupational Safety and Health (NIOSH)**

To: Richard A. Fenske, Professor \$ 1,450,000  
Enviro & Occup Health

For: Pacific Northwest Agricultural Safety and Health Center

Eff: 9/30/2011 Classified: No

**Total for National Institute for Occupational Safety and Health (NIOSH): \$ 1,450,000**

**National Institutes of Health (NIH)**

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

To: Elaine M. Faustman, Professor \$ 3,200,000  
Enviro & Occup Health

For: Pacific Northwest Center for National Children's Study-King

Eff: 9/28/2007 Classified: No

*Total for National Institute of Diabetes and Digestive and Kidney  
Diseases (NIDDK): \$ 3,200,000*

**Total for National Institutes of Health (NIH): \$ 3,200,000**

**Total for US Department of Health and Human Services (DHHS): \$ 4,650,000**

**Other Federal**

**Environmental Protection Agency (EPA)**

To: Sverre Vedal, Professor \$ 1,842,238  
Enviro & Occup Health

For: UW Center for Clean Air Research

Eff: 12/1/2010 Classified: No

**Total for Environmental Protection Agency (EPA): \$ 1,842,238**

**Total for Other Federal: \$ 1,842,238**

**Total for Federal: \$ 8,264,988**

Detail of Public Grant Awards

State of Washington

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**Washington State Department of Social and Health Services (DSHS)**

To: Edwina Uehara, Dean \$ 3,894,658  
School Of Social Work  
For: Child Welfare Training and Advancement Program FY 11-12  
Eff: 7/1/2011 Classified: No

**Total for Washington State Department of Social and Health Services (DSHS): \$ 3,894,658**

**Total for State of Washington: \$ 3,894,658**

**Total Public Grants: \$ 12,159,646**

Detail of Private Grant Awards

Foundations

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**Bill and Melinda Gates Foundation**

To: Shiu-lok Hu, Professor \$ 6,741,350  
Pharmaceutics  
For: "Unmasking conserved epitopes on HIV envelope protein for vaccine design  
Eff: 11/9/2011 Classified: No

To: Connie Celum, Professor \$ 9,644,419  
Global Health  
For: Tenofovir and Emtricitabine/tenofovir Chemoprophylaxis to Prevent HIV Acquisition  
Eff: 7/1/2007 Classified: No

**Total for Bill and Melinda Gates Foundation: \$ 16,385,769**

**Gordon and Betty Moore Foundation**

To: John Vidale, Professor \$ 1,850,000  
Earth & Space Sciences  
For: West Coast Earthquake ShakeAlert Research, UW  
Eff: 1/1/2012 Classified: No

**Total for Gordon and Betty Moore Foundation: \$ 1,850,000**

**Total for Foundations: \$ 18,235,769**

**Total Private Grants: \$ 18,235,769**



Detail of Contract Awards

**Federal**

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**US Department of Defense (DOD)**

**US Department of Defense (DOD)**

To: Mary L. Disis, Professor \$ 7,883,980

For: Vaccine to Prevent Breast Cancer

Eff: 9/30/2011

Classified: No

**Total for US Department of Defense (DOD): \$ 7,883,980**

**Total for US Department of Defense (DOD): \$ 7,883,980**

**Total for Federal: \$ 7,883,980**

**Associations and Non-Profits**

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**Consortium for Ocean Leadership, Inc.**

To: John R. Delaney, Professor \$ 7,147,995  
School Of Oceanography

For: Ocean Observatories Initiative: Regional Scale Nodes

Eff: 9/1/2009

Classified: No

**Total for Consortium for Ocean Leadership, Inc.: \$ 7,147,995**

**Total for Associations and Non-Profits: \$ 7,147,995**

**Total Contracts: \$ 15,031,975**

**Grand Total for all Awards \$ 45,427,390**

## 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 2NN Hybrid Cardiac Vascular Operating Room (HCVOR)  
Project No. 203866  
Actions Reported: Select Architect/Adopt Budget

On December 23, 2011, an architectural agreement was awarded to NBBJ Architects for the UW Medical Center (UWMC) 2NN Hybrid Cardiac Vascular Operating Room project under their existing Master Term for Architectural Services contract. The agreement amount is \$416,254 for basic services versus a budget value of \$508,755 for design consultants. The balance of the design budget is intended for a hazardous materials consultant, permit expeditor, pre-construction balancing and load testing and commissioning.

For over 65 years, NBBJ Architects has been delivering projects for healthcare clients. They are a national firm with vast experience working with the University, including many projects for UWMC, the School of Medicine and Harborview Medical Center. NBBJ has over 150 healthcare personnel in Seattle who have a wealth of knowledge in designing hybrid operating rooms. They have completed over ten of these rooms throughout the country.

This project is to construct a HCVOR in the Cardiac Procedures area on the second floor of the UW Medical Center. The intent of the project is to provide a new operating room (OR) that will combine the angiography system for procedures typically provided in a Cardiac Catheterization Lab with the surgical functions of an OR. This new room will be capable of cutting edge, minimally invasive, cardiac procedures that allow collaboration between surgeons and interventional cardiologists on procedures that have traditionally been done with open surgery. The scope of this project will include renovation of the Cardiac Procedures area and a portion of Nuclear Medicine in order to accommodate the space required for the new room. The design is expected to complete by June 2012 with construction beginning in August, and lasting through May 2013.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 2)

The project budget is established at \$3,950,000.00. Funding of \$3,950,000 will be provided from the University of Washington Medical Center.

Budget Summary:	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$508,755	\$508,755
Total Construction Cost*	\$3,093,786	\$3,093,786
Other Costs	\$64,451	\$64,451
Project Administration	\$283,008	\$283,008
Total Project Budget	\$3,950,000	\$3,950,000

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

2. Mechanical Engineering Building Communications Upgrade  
Project No. 202993  
Action Reported: Select Architect

On January 3, 2012, an architectural agreement was awarded to ARC Architects for the Mechanical Engineering Building Communications Upgrade Project. In August 2011, the Capital Projects Office selected three firms via the Shared Procurement Portal system. Interviews were conducted on August 23, 2011 with Schemata Workshop, ARC Architects and ORB Architects. The agreement amount is \$164,562 for basic services versus a budget value of \$265,856 for design consultants. The balance of the design budget is intended for a hazardous materials consultant, a structural engineering consultant, selective destructive demolition for unknown conditions and a previously completed predesign. The project budget is anticipated to be \$1.6M and will be established at the end of the construction document phase.

ARC Architects has significant experience with projects focusing on comprehensive renovations of existing buildings for colleges and universities in the Puget Sound region, including the University of Washington. Among their recent projects completed on the Seattle campus are communications upgrades to Winkenwerder and Smith Halls.

The Mechanical Engineering Building Communications Upgrade Project will provide both new and upgraded wired and wireless communication infrastructure throughout the 97,678 SF building. This project will build out a new Main

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

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

Distribution Frame room and Intermediate Distribution Frame rooms as necessary to serve all levels. The installation of all vertical and horizontal cable tray, conduits, and cabling are included.

Design is expected to complete by June 2012, with construction beginning in November 2012 and completing March 2013. This project will be funded by UW Information Technology. The project agreement has only been approved for design. Construction will depend on available funding.

#### 3. Suzzallo Library Fire Protection Project No. 203737 Actions Reported: Select Engineer/Budget Adjustment

On November 2, 2011, an engineering agreement was awarded to CDi Engineers, Inc., (CDi) for the Suzzallo Library Fire Protection project. In September, the Capital Projects Office selected four firms via the Shared Procurement Portal system. CDi Engineers, Interface Engineers, BCE Engineers, and Aegis Engineering were considered. The agreement amount is \$79,002 for basic services versus a budget value of \$133,379 for design consultants. The balance of the design budget is intended for a hazardous materials consultant and other specialty consultants required on this project. The budget was initially established on October 25, 2011 at \$985,000. A revised budget was established on January 10, 2012 at \$1,631,000 based on the Preliminary Design estimate.

CDi is located in Lynnwood, Washington and has been in business since 1988. The firm focuses on healthcare and higher education projects, and also serves other regional public agencies. The firm has completed fire protection design at the University of Washington in the Aerospace and Engineering Research Building, Bagley Hall, Magnuson Health Sciences Center and Kincaid Hall. In addition to broader scope mechanical engineering designs for many other projects at the University of Washington, the firm has also worked at King County Metro, Sound Transit, the City of Seattle, Seattle-Tacoma International Airport and the State of Washington.

This project will extend the existing fire protection system by approximately 137,000 square feet to provide coverage on seven floors of the 1963 addition of Suzzallo Library. The original 1925 building, the 1935 addition and the basement levels of the 1963 addition have fire protection. The entire library will be protected at the completion of this project. Design is expected to complete by March of 2012. Construction is anticipated to start in May 2012 and be complete in December 2012.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 4)

Funding is provided by Environmental Health and Safety from the 2011-2013 Capital Safety budget.

Budget Summary:	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$116,433	\$133,379
Total Construction Cost*	\$772,632	\$1,340,310
Other Costs	\$16,034	\$31,275
Project Administration	\$79,901	\$126,036
Total Project Budget	\$985,000	\$1,631,000

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

## VII. STANDING COMMITTEES

## B. Finance, Audit and Facilities Committee

University of Washington Bothell – Restructure Student Housing Rates and Set New Rates for 2012-13RECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve restructuring the University of Washington Bothell student housing rates to change the term of the basic student housing agreement to include the three quarters of the academic year, with an optional summer quarter, and initiate a Flex Dollars meal plan.

BACKGROUND

The University of Washington Bothell's student housing program is proposing to restructure student housing rates to change the term of the basic student housing agreement to include the three quarters of the academic year, with an optional summer quarter. The current basic student housing agreement is a twelve month contract. At the January 2012 information presentation of this item to the Board of Regents it was noted that options for a Board Plan and Flex Dollars were also being developed and that the recommended rates would be returned to the Regents in February for approval.

UW Bothell's housing program and rates have been based on housing agreements covering a full year, i.e., inclusive of all four quarters. Beginning fall 2012, UW Bothell is proposing to change the term of the basic agreement to include three quarters with an optional summer quarter. The objective of the proposal is to reduce the annual housing cost commitment required for resident students, and to respond to the needs and requests of students and their parents. The restructured rates will more closely 1) conform to financial aid eligibility, and 2) align with best practices regarding student housing terms at other higher education institutions. The restructuring will reduce the annual cost commitment for a resident student by \$990 or 13.5% per year, and increase the quarterly expense during the three quarters of the academic year by \$365 or 17%, based on current rates for a shared room. The overall impact of this change on housing revenues is expected to be neutral based on projected continuation of current demand trends. In anticipation of normalized, reduced demand for summer housing, rental rates for the summer quarter are proposed to be lower than the other quarters.

UW Bothell is also proposing a Flex Dollars meal plan which would require resident students to load a minimum of \$200 per quarter of stored value to their Husky Card Account for the purchase of general food and beverage on campus.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### University of Washington Bothell – Restructure Student Housing Rates and Set New Rates for 2012-13 (continued, p. 2)

Students and their parents would also have the option to load an increased amount of stored value to the Husky Card account each quarter. Loading the minimum amount onto the Husky Card will be mandatory and will provide convenience and structure to support students in budgeting for food; however the Flex Dollars will be refundable in accordance with the Husky Card Account “Terms of Use.”

The following rental rates are proposed for 2012-13:

#### **Academic Term Agreement 2012-2103\* For Fall, Winter, Spring and Summer Quarters**

<b>Room Type</b>	<b>Current 2011-12 Rate Structure (Four Quarters)</b>	<b>Proposed 2012-13 Rate Structure for Academic Year</b>	<b>Proposed 2012-13 Rate Structure for Summer Quarter</b>
Shared bedroom/ Shared unit	\$8,340/year \$2,085/quarter (\$695/mo.)	\$7,350/academic year \$2,450/quarter (\$817/mo.)	\$1,450/quarter (\$483/mo.)
Single bedroom/ Shared unit	\$9,540/year \$2,385/quarter (\$795/mo.)	\$8,250/academic year \$2,750/quarter (\$917/mo.)	\$1,750/quarter (\$583/mo.)
Single Occupancy (Private 1 bdrm/ 1 bath)	\$16,680/year \$4,170/quarter (\$1,390/mo.)	\$14,700/academic year \$4,900/quarter (\$1,633/mo.)	\$3,900/quarter (\$1,300/mo.)

\*Rates are shown per person for academic and summer agreements and include 24/7 on-site staffing, student life programming, furnished units and all utilities (water, sewer, garbage, electricity, basic cable, and internet service). No phone service is provided. “Current Rate” is based on a commitment for four-quarters. “Proposed Rate” is based on a commitment of three quarters, with an optional summer quarter. Summer rates are reduced due to expected lower demand for summer quarter housing.

#### REVIEW AND APPROVAL

The proposed housing rates have been reviewed by the UW Bothell Housing Team, the Assistant Vice Chancellor for Enrollment Management and Student Affairs, the Director of Student and Residential Life, the Director of Auxiliary Services, the Vice Chancellor for Administration and Planning, and the Chancellor.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Advisory Committee on Real Estate Membership Appointment and Reappointment

RECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents make the following new appointment and reappointment to the Advisory Committee on Real Estate:

New Appointment

Herb Simon (Regent) February 1, 2012-January 31, 2015

Reappointment

Jeff Brotman, ACRE Chair February 1, 2012-January 31, 2015

BACKGROUND

The University of Washington Advisory Committee on Real Estate (ACRE) was established in September 2009 as an advisory committee to the Board of Regents on matters relating to the management of the University’s commercial income-producing properties and other significant real estate investments. A Statement of Principles was adopted to address the administrative functioning of the Committee (attached). ACRE is comprised of both Regent and non-Regent members. Non-Regent members are real estate professionals of varying background whose expertise brings added perspective to those responsible for the management of the University’s real estate. The President of the University serves as an *ex officio* member.

ACRE MEMBERSHIP

	<u>Term of Appointments</u>	
Jeff Brotman, ACRE Chair	2/1/12 to 1/31/15	<i>reappointment</i>
Curtis Feeny	10/1/09 to 9/31/12	
Michael Giliberto	10/1/09 to 9/31/12	
James Kenyon	10/1/09 to 9/31/12	
Roslyn Payne	10/1/09 to 9/31/12	
Stuart Sloan	10/1/09 to 9/31/12	
Gary Waterman	10/1/09 to 9/31/12	
Regent Herb Simon	2/1/12 to 1/31/15	<i>appointment</i>
President Michael Young	<i>ex officio</i>	



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Advisory Committee on Real Estate Membership Appointment and Reappointment (continued p. 2)

REVIEW AND APPROVAL

The recommended action has been reviewed and approved by the Chair of the Board of Regents, the Chair of ACRE, the President of the University, the Chief Real Estate Officer, and the Senior Vice President.

*Attachment*

UW Advisory Committee on Real Estate Statement of Principles

# University of Washington Advisory Committee on Real Estate Statement of Principles

Approved by Board of Regents September 17, 2009  
Amended November 19, 2009, September 15, 2011

The Board of Regents of the University of Washington is vested by statute with responsibility for the management of the real properties of the University, including its Metropolitan Tract located in downtown Seattle. The Board approved the establishment of an Advisory Committee on Real Estate at its meeting on September 17, 2009, and adopted the following Statement of Principles:

1. **Membership and Terms:** The UW Advisory Committee on Real Estate (“ACRE”) shall consist of no more than eight (8) members to be appointed by the Board of Regents, plus the President of the University who shall serve *ex officio*. The appointments shall be based on recommendations submitted by the Chair of the Board of Regents after consultation with the Chair of ACRE, the President of the University and his or her designee(s).

One or two of the appointed members shall be selected from the Board of Regents. The remaining appointed members shall be experienced professionals of varying backgrounds.

There shall be a three year term limitation for Regent and non-Regent members of ACRE, renewable by the Board of Regents. Members will be asked to make a minimum commitment of three consecutive years, and shall serve at the pleasure of the Board of Regents.

2. **Functions:** ACRE shall advise the Board of Regents (and/or its appropriate committee) and the President (and/or his designee) on matters relating to the management of the University’s commercial income producing properties and other significant real estate investments.
3. **Meetings:** ACRE shall establish a regular meeting schedule. Other meetings may be called by the Chair at any time. The Chair of ACRE may invite experts who are not members of the ACRE to attend specific meetings to provide additional guidance, advice and information.
4. **Indemnification and Compensation:** The University shall indemnify members of ACRE to the fullest extent permitted by law and the standing orders of the Board of Regents. ACRE members will not be paid for service on the committee.
5. **Conflict of Interest:** Regental members of ACRE are governed by conflict of interest rules applicable to Regents. Non-Regent members shall comply with the following conflict of interest provisions:
  - A. When a member of ACRE knows that the University is considering a transaction in which he or she has or may have a beneficial interest, the member shall (1) alert the Senior Vice President (“SVP”) (or successor official) of the University of his or her potential beneficial

ATTACHMENT

interest and (2) not participate in the formulation or rendering of advice with respect to the transaction.

B. Committee members shall not participate in the formulation or rendering of advice by ACRE where their participation could be influenced by financial or other considerations that would conflict or could reasonably appear to conflict with their obligations to only consider the best interest of the University. Where a member is uncertain about the application of this rule to particular circumstances, he/she should consult the Chair of ACRE and the SVP, who may seek the advice of the Attorney General's Office as appropriate.

C. Committee members may engage in transactions with the University if the Chair of ACRE and the SVP (who may consult with the Attorney General's Office as she/he deems appropriate) determine that the member has not participated in the formulation or rendering of advice by ACRE to the University regarding the transaction.

6. **Chair and Vice Chair; Administrative Support:** The Chair of ACRE shall be designated by the Chair of the Board of Regents. The Chair of ACRE shall designate a Vice Chair from the committee membership. During the absence of the Chair or while he/she is unable to act, the Vice Chair shall perform the duties and exercise the powers of the Chair. The SVP shall ensure that ACRE has appropriate administrative support services, including secretarial assistance and record keeping.
7. **Communication:** The Chair of ACRE and/or the Chief Real Estate Officer shall provide quarterly reports to the Board of Regents (and/or its designated committee).
8. **Amendments:** This Statement of Principles shall be reviewed annually and updated as needed. Amendments, additions, deletions or replacements may be recommended by ACRE. Such changes shall be subject to the approval of the President of the University and the Board of Regents.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

University of Washington Investment Committee Membership Reappointment

RECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents make the following reappointment to the University of Washington Investment Committee:

Reappointment

Jeff Brotman, UWINCO chair February 1, 2012 to January 31, 2015

BACKGROUND

The University of Washington Investment Committee (UWINCO) was established in May 2001 as an advisory committee to the Board of Regents to help oversee the University’s investment programs. A Statement of Principles was adopted to address the administrative functioning of the Committee (attached). UWINCO is comprised of both Regent and non-Regent members. Non-Regent members are investment professionals whose global expertise brings added perspective to the investment process at the University. The President of the University serves as an *ex officio* member.

UWINCO APPOINTMENT DATES

	<u>Term of Appointments</u>	
David Bonderman	10/1/2011 to 9/30/2015	
Jeff Brotman, UWINCO Chair	10/1/2011 to 9/30/2014	<i>reappointment</i>
Michael Larson	10/1/2011 to 9/30/2013	
Mary Pugh	10/1/2011 to 9/30/2014	
Bryan White	9/17/09 to 10/31/2012	
Regent Orin Smith	3/1/2010 to 2/28/2013	
President Michael Young	<i>ex officio</i>	

REVIEW AND APPROVAL

The recommended action has been reviewed and approved by the Chair of the Board of Regents, the President of the University, the Chief Investment Officer, and the Senior Vice President.

*Attachment*

University of Washington Investment Committee Statement of Principles

# University of Washington Investment Committee

## Statement of Principles

Approved by the Board of Regents September 17, 2009  
Amended September 15, 2011

The Board of Regents of the University of Washington is vested by statute with responsibility for the management of the properties of the University, including its investment programs. The Board of Regents delegates oversight responsibility of its investment programs to its Finance, Audit and Facilities Committee (FAF).

In recognition of the growth of the investment program in both size and complexity, the FAF Committee (then known as the Finance and Audit Committee or "FAC") established an advisory subcommittee in May 2001, the University of Washington Investment Committee ("UWINCO") to help it oversee investment programs. UWINCO is comprised of both Regent and non-Regent members. Non-Regent members are investment professionals whose expertise brings added perspective to the investment process at the University.

### **1. Membership and Terms:**

UWINCO shall consist of no more than ten (10) members to be appointed by the Board of Regents, plus the President of the University who shall serve *ex-officio*. These appointments shall be based on recommendations submitted by the Chair of the Board of Regents after consultation with the Chair of UWINCO and the President of the University (and/or his designee).

One or two UWINCO members shall be selected from the Board of Regents. The remaining UWINCO members shall be experienced investment professionals of varying backgrounds with close ties to the University. Criteria for non-Regent membership on UWINCO shall include investment expertise in such areas as private equity, hedge funds, international markets, real estate and institutional investing; access to desirable managers; strategic focus; and commitment to the University of Washington.

Regent and non-Regent members will be asked to make a minimum commitment of three consecutive years, renewable by the Board of Regents.

### **2. Functions:**

UWINCO shall advise the Board of Regents (and/or its appropriate committee) and the President (and/or his designee) on matters relating to the management of the University's investment program. This includes, but is not limited to, the following: overall asset allocation, performance goals, new investment strategies, strategy implementation, manager identification, due diligence, and valuation policy.

### **3. Meetings:**

Regular meetings of UWINCO shall be held quarterly. Special meetings may be called by the Chair, the President (or his/her designee) at any time.

#### **4. Indemnification and Compensation:**

The University shall indemnify UWINCO members to the fullest extent permitted by law and the standing orders of the Board of Regents. UWINCO members shall not be paid for service as Committee members.

#### **5. Conflict of Interest:**

Regent members of UWINCO are governed by conflict of interest rules applicable to Regents. Non-Regent members shall comply with the following conflict of interest provisions:

- A. When a UWINCO member knows that the University is considering a transaction in which he or she has a beneficial interest, the member shall (1) alert the Senior Vice President (or successor official) of his or her potential beneficial interest and (2) not participate in the formulation or rendering of advice with respect to the transaction.
- B. Committee members shall not participate in the formulation or rendering of UWINCO advice where their participation could be influenced by financial or other considerations that would conflict or could reasonably appear to conflict with their UWINCO obligations to only consider the best interest of the University. Where a member is uncertain about the application of this rule to particular circumstances, he/she should consult the Chair of UWINCO and the Senior Vice President who may seek the advice of the Attorney General's Office as appropriate.
- C. Committee members may engage in investment transactions with the University if the Chair of UWINCO and the Senior Vice President (who may consult with the Attorney General's Office as he/she deems appropriate) determine that the UWINCO member has not participated in the formulation or rendering of UWINCO advice to the University regarding the transaction.

#### **6. Chair and Vice Chair; Administrative Support:**

The Chair of UWINCO shall be designated by the Chair of the Board of Regents. The Chair of UWINCO shall designate a Vice Chair from the Committee membership. During the absence of the Chair or while he/she is unable to act, the Vice Chair shall perform the duties and exercise the powers of the Chair. The SVP shall ensure that UWINCO has appropriate administrative support services, including secretarial assistance and record keeping.

#### **7. Communication:**

The Chair of the Committee and / or the CIO shall provide quarterly reports on the performance of the University's investment program to the Board of Regents (and/or its designated committee).

#### **8. Amendments:**

This Statement of Principles shall be reviewed annually and updated as needed. Amendments, additions, deletions or replacements, may be recommended by UWINCO. Such changes shall be subject to the approval of the President of the University and the Board of Regents.

**VII. STANDING COMMITTEES****B. Finance, Audit and Facilities Committee**University of Washington 401(a) Supplemental Retirement Plan AmendmentRECOMMENDED ACTION

It is the recommendation of the administration and the Finance, Audit and Facilities Committee that the Board of Regents approve amendment of the University of Washington 401(a) Supplemental Retirement Plan (the “Plan”), which is required in order to rely on the IRS determination letter received December 13, 2011.

BACKGROUND

The University of Washington Supplemental Retirement Program was split out from the University of Washington Retirement Plan by Regent action effective January 1, 2009. The Plan is a defined benefit plan intended to be qualified under Internal Revenue Code Section 401(a). The Plan was closed to new participants effective March 1, 2011 by Regent action.

EXPLANATION OF PROPOSED CHANGESSection 2.21 – Definition of “Washington State Retirement System”

Section 2 would be amended to add immediately following Section 2.20 a new section 2.21 and current Section 2.21 would be renumbered accordingly, effective January 1, 2009, to read as follows:

2.21. ‘Washington State Retirement System’ or ‘System’ means any retirement system paid for by the State of Washington and administered by the State of Washington Department of Retirement Systems.”

Section 5.1 – Eligibility for benefit

Section 5.1 currently reads as follows:

- 5.1. Eligibility for benefit. A Participant is eligible for a benefit under this Plan if, at retirement, all of the following are true:
- (a) The Participant has reached age 62 or retires under Section 4.2, and
  - (b) The number of his or her Years of Service is ten or more, and
  - (c) The amount of his or her benefit, as calculated under Section 5.2, is a positive amount.

## VII. STANDING COMMITTEES

### B. Finance, Audit and Facilities Committee

#### University of Washington 401(a) Supplemental Retirement Plan Amendment (continued, p. 2)

Section 5.1 would be amended, effective January 1, 2009, to read in its entirety as follows:

5.1. Vesting. A Participant vests in his or her benefit under this Plan if all of the following are true:

- (a) The Participant has reached age 62 while employed by UW or retires under Section 4.2, and
- (b) The number of his or her Years of Service is ten or more, and
- (c) The amount of his or her benefit, as calculated under Section 5.2, is a positive amount.

The vested benefit payable to the Participant shall commence upon the Participant's retirement.

#### REVIEW AND APPROVAL

The language of this proposed change is technical in nature and mandated by the IRS as a provision of providing a favorable determination letter for the UWSRP 401(a).



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Medicine Board Annual Compliance Report

This report is for information only.

*Attachment*

UW Medicine Board Annual Compliance Report to the UW Board of Regents,  
February 9, 2012

# UW Medicine

UW MEDICINE BOARD

ANNUAL COMPLIANCE REPORT TO THE UW BOARD OF REGENTS

February 9, 2012

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## EXECUTIVE SUMMARY

The sixth annual UW Medicine Board Compliance Report to the UW Board of Regents covers the 2011 calendar year, describes UW Medicine's compliance programs and key responsibilities, and highlights the year's primary compliance activities.

UW Medicine is a large organization, consisting of eight owned or managed entities that operate in a highly regulated environment with a variety of compliance requirements and potential risks. UW Medicine's compliance programs include the eight elements typically found in effective compliance programs (including standards of conduct and safe reporting mechanisms and activities such as education, monitoring, and auditing). Clearly defined roles and responsibilities for workforce members, supervisors and managers, senior leaders and compliance staff provide the foundation for a culture of compliance. These expectations are conveyed in new employee orientations, mandatory and voluntary training, regular communications from compliance officers and senior leaders, "Integrity at Work" brochures, and the Codes of Conduct for UW Physicians (UWP) and Children's University Medical Group (CUMG). System-wide oversight is provided by the Chief Compliance Officer/Associate Vice President for Medical Affairs (CCO/AVPMA), and program functions are provided by compliance officers and staff throughout the organization.

UW Medicine continues to refine its structure and channels of communication to manage internal and external developments. In 2011, additional changes were made to align the vision, strategic planning, and operating philosophy for all facility-related compliance efforts. The result is a scalable organizational configuration that will facilitate the integration of Northwest Hospital (NWH) and Valley Medical Center (VMC).

In fiscal year 2011, the annual compliance budget was \$8 million and 60 FTEs were dedicated specifically to compliance functions (excluding VMC). These figures do not represent the full cost of time, effort and systems devoted to compliance activities throughout the organization. For example, this budget does not include considerable time and effort spent by a large number of faculty and staff who serve in administrative positions and have operational responsibilities that are critical for the success of the compliance programs. UW Medicine's formal communication channels support compliance efforts within each entity, enhance the sharing of information between entities, and provide safe options for reporting compliance concerns or seeking assistance. Each compliance office has dedicated intake points for general questions, coding help, and complaints. A central hotline in the office of the CCO/AVPMA enables anonymous reporting of concerns.

In 2011, six compliance areas were the subject of comprehensive presentations to the UW Medicine Board Compliance Committee (UWMB CC). The presentations included general information about the regulatory framework (primary areas of scrutiny and recent developments) as well as UW Medicine-specific information about each area (program structure, accountabilities, audit workplans and results, educational efforts, complaints, repayments if applicable, and process improvements).

The largest compliance program for UW Medicine covers clinical billing. The program is based on rigorous internal audit activities that provide the foundation for identifying and mitigating clinical billing risks, and system-wide mandatory training that educates workforce members about billing rules. In 2011, there was significant external review activity associated with the national Medicare Recovery Audit Contractor Program. Senior leaders are apprised weekly of system-wide activity, including new requests, repayments and appeals. To date, external reviews have been conducted on 2,115 claims, representing approximately \$26 million in reimbursement; 251 claims representing \$724,000 have been repaid. In addition, 112 claims totaling approximately \$648,000 were

identified as underpayments to UW Medicine. The impact of this national program on staffing resources is significant and will require on-going assessment.

UW Medicine followed its response to the complex implantable device issues identified in 2010 with significant process improvements and education in 2011. Another facility billing area receiving both national and institutional attention was the medical necessity of hospital inpatient admissions. Efforts to improve internal processes and understanding of the rules commenced in 2011, and will continue in the next reporting period.

**Clinical research billing** is a nationally recognized focus area for academic health centers, and UW Medicine's work in this area has been recognized as a model for peer institutions. Audit results show a very low error rate (2.3%), but continue to provide critical information for on-going system and process improvements.

**Information security** represents another compliance risk receiving national attention. In 2011, UW Medicine dedicated its efforts to reworking its program structure, improving customer support, and enhancing education, outreach and collaboration. Information security management and planning involves continued coordination of efforts by UW Medicine Compliance and UW Medicine Information Technology (IT). Current work includes firewall improvements for workstations and expanded vulnerability management.

UW Medicine operates a mature **privacy and identity theft prevention** program, which includes mandatory orientation and job-specific education, audits of electronic patient records to verify that workforce accesses are appropriate, internal processes for ensuring patient rights, and timely management of complaints. All cases under investigation by the Office for Civil Rights in 2011 were closed without penalties or fines. New developments and changes in the regulatory environment are the focus of current internal planning and preparation. UW Medicine also developed and adopted a new policy and guidelines governing the use of social media.

The School of Medicine, UW Physicians, and UW Medicine Compliance jointly manage compliance with the **Stark Law**, which prohibits physician self-referrals, and the **Anti-Kickback Statute (AKS)**, which prohibits any person from accepting remuneration for referring an individual for items or services covered by federal healthcare programs. UW Medicine reported no Stark violations in 2011, and directed its efforts toward standardizing the physician contracting process. There were no significant changes to the AKS in 2011.

Situations that may create **conflicts of interest (COI)** arise in various contexts (including acceptance of gifts, outside professional work, research, authorship, relationships with vendors, and purchasing). Numerous regulations and policies govern COI, and compliance efforts involve several UW offices. In 2011, the National Institutes of Health (NIH) adopted substantive changes to the COI rules for research. Planning for implementation of the new rules is being led by the UW Provost with significant involvement by the School of Medicine. The current UW Medicine COI policy has been in place for two years, and is now being re-evaluated to determine if changes should be made in light of national developments.

Section III of the report provides detailed information about the major activities and issues occurring in 2011.

## I. INTRODUCTION

### A. Purpose of the Annual Report

Section 1.4.3 of the UW Medicine Board Bylaws requires an annual report to the University of Washington (UW) Board of Regents regarding the effectiveness of UW Medicine compliance programs, which includes but is not limited to, the following topics:

- Key compliance policies and issues
- Status of the compliance program infrastructure and reporting relationships
- Scope of authority of key positions
- Current assessment of compliance risks
- Level of resources dedicated to the compliance programs

### B. UW Medicine Structure

UW Medicine includes the following owned or managed entities:

- Harborview Medical Center (HMC)<sup>1</sup>
- Northwest Hospital (NWH)
- University of Washington Medical Center (UWMC)<sup>2</sup>
- Valley Medical Center (VMC)
- UW Neighborhood Clinics (UWNC)
- UW Physicians (UWP)
- UW School of Medicine (UW SoM)
- AirLift Northwest (ALNW)<sup>3</sup>

UW Medicine is also a corporate member of two non-profit corporations: a pediatric practice plan, Children's University Medical Group (CUMG), founded with Seattle Children's Hospital (SCH), and the Seattle Cancer Care Alliance (SCCA) founded with the Fred Hutchinson Cancer Research Center (FHCRC) and SCH. All physician clinical services at the SCCA are provided by UW SoM faculty physicians who are members of UWP or CUMG. UW SoM faculty physicians provide clinical service at SCH primarily through CUMG. UW SoM also has regular faculty physicians employed at the Puget Sound Veterans Administration Health System hospitals and the Boise VA Medical Center, which are part of the Veterans Administration, a federal agency.

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<sup>1</sup> HMC is owned by King County and governed by a Board of Trustees appointed by King County. Pursuant to a management contract between King County, the Board of Trustees and the UW Board of Regents, UW Medicine manages HMC and provides physician services through UWP. All personnel at HMC, including most faculty physicians, are employed by the UW.

<sup>2</sup> The governance authority for hospital accreditation, operations, and quality of patient care at UWMC is vested in the UW Medicine Board. The UW Board of Regents retains authority for some financial matters and capital plant expansion at UWMC.

<sup>3</sup> In July 2010, ALNW was dissolved as a 501(c)3 corporation, became a part of UW, and became a fully owned and operated entity of UW Medicine. All personnel of ALNW are UW or Seattle Children's employees.

## II. UW MEDICINE COMPLIANCE PROGRAM

### A. Program Components

All UW Medicine compliance programs include these core components:



In 2010, KPMG conducted a high-level review of the UW Medicine Compliance Program, excluding the practice plans and SoM. The report issued on March 30, 2011 confirmed that the program demonstrates the eight elements typically found in effective compliance programs, and the manner in which UW Medicine evidences its program activities is a leading practice.

### B. Roles and Responsibilities

A culture of compliance relies on clearly defined roles and accountabilities. UW Medicine expects all **faculty, staff, students, trainees, and volunteers** to meet the professional, ethical and regulatory standards associated with their individual roles. Specifically, they are expected to understand and adhere to compliance policies and procedures, participate in required training, fulfill recordkeeping requirements, report compliance concerns, seek clarification when questions arise, and respond in a timely manner to requests for information associated with audits or investigations. These expectations are conveyed in new employee orientations, mandatory and voluntary training, regular communications from compliance officers and senior leaders, "Integrity at Work" brochures, and the Codes of Conduct for UWP and CUMG. UW Medicine is seen as a national leader among its peers for its policies on professional conduct and conflicts of interest<sup>4</sup>.

Staff in **management or supervisory positions** have additional responsibilities, including communicating compliance expectations, ensuring that personnel complete training, implementing and enforcing policies, monitoring compliance, and providing personal support of compliance initiatives.

<sup>4</sup> See <http://uwmedicine.washington.edu/Global/policies/Pages/default.aspx>

**Compliance Officers and staff** in compliance support roles lead the development of effective internal controls, respond to compliance inquiries, investigate allegations of noncompliance, monitor compliance, conduct audits, and participate in the development and delivery of compliance training.

The **Chief Compliance Officer, UW Medicine and Associate Vice President for Medical Affairs, University of Washington (CCO/AVPMA)** provides system-wide oversight and coordination, is a member of UW Medicine's senior leadership team and the UW Medicine Executive Compliance Committee (ECC), serves as an ex-officio member of all entity-specific compliance committees, staffs the UW Medicine Board Compliance Committee, and attends all UW Medicine Board meetings.

The **UW Medicine Board Compliance Committee (UWMB CC)** is advisory to the UW Medicine Board with regard to the following: strategic planning, program development, organizational structure and resource allocation associated with UW Medicine compliance efforts; the role of UW Medicine compliance programs; advocacy and support for compliance efforts; risk assessment; and analysis of urgent, emergent and on-going compliance issues. The current roster of UWMB CC members and the charter for this committee are provided in ***Attachments A and B***.

Dr. Paul G. Ramsey, Chief Executive Officer, UW Medicine, Executive Vice President for Medical Affairs and Dean of the School of Medicine, University of Washington (CEO/EVPMA/Dean) has delegated additional specific responsibilities for **key senior leadership positions**. These responsibilities are reflected in the written job description for each position.

## C. Program Structure

Numerous compliance program structural changes have occurred since the first compliance report to the Board of Regents in 2007 to enhance the collaboration between entities, clarify roles and responsibilities, establish accountabilities, and create effective communication channels. Since 2005, coordination of system-wide activities and initiatives has been provided by the CCO/AVPMA. The UW Medicine compliance enterprise (see ***Attachment C***) includes UW Medicine Compliance (responsible for all facility-related compliance except VMC), VMC Compliance, SoM Compliance (responsible for compliance issues involving SoM faculty, trainees, and staff), and the UWP and CUMG compliance programs (responsible for professional fee billing compliance in the practice plans).

### 1. Organizational Changes in 2011

UW Medicine Compliance continued to refine its structure and reporting relationships in response to various internal and external factors, including staffing changes, shifting workloads, increased regulatory activity, and new strategic alliances. Efforts in 2009–10 focused on centralizing oversight of facility-related compliance programs; in 2011, the Privacy/Identity Theft Prevention Program was centralized under the UW Medicine Compliance Officer (CO), who reports directly to the CCO/AVPMA. This change aligns the mission, vision, strategic planning, operating philosophy, policy structure, and education/outreach programs for all facility-related compliance efforts. It maximizes



utilization of internal expertise, centralizes accountability, and provides for a more vertical, scalable structure that will facilitate the integration of new entities. The new structure also simplifies the interfaces between compliance officers for the practice plans, the facilities, and the SoM.

Integration of NWH compliance functions focused on bringing NWH billing claims into the UW Medicine system used for managing external review requests, and amending NWH privacy policies to conform to UW Medicine policies. Phase III of the integration process began in July, and will culminate in 2012 with UW Medicine Compliance assuming responsibility for oversight of the NWH compliance program. Early work has focused on billing compliance auditing, monitoring, and reporting. The compliance officer, the chief executive officer, and the chief operating officer for NWH are members of UW Medicine compliance committees and make semi-annual reports to the UW Medicine Board Compliance Committee.

The CCO/AVPMA led a team responsible for assessing compliance issues in the due diligence process preceding the strategic alliance with VMC that became effective on July 1, 2011. In August 2011, UW Medicine Compliance and VMC initiated discussions regarding integration, and are in the process of establishing a workplan, priorities, and timeline. VMC leaders and the compliance officer have been added to UW Medicine compliance committees, and will begin reporting compliance program activities in 2012.

## 2. Compliance Resources

As noted in previous reports, UW Medicine devotes significant resources to both organization-wide and entity-specific compliance efforts. In fiscal year 2011, the annual budget was \$8 million and there were 60 FTEs dedicated specifically to compliance functions (excluding VMC). This exceeds 2010 figures by \$1.4 million and 10 FTEs, but the increase is the result of including the information security program and NWH resources this year. Total funding and FTEs have remained relatively stable since 2007.

These figures do not represent the full cost of time, effort, and systems devoted to compliance-related activities throughout the organization. For example, considerable professional effort devoted to compliance by leadership and operational staff across UW Medicine is not included in the UW Medicine Compliance Program budget.

At the time of this report, there are 6.9 vacancies in funded compliance positions across UW Medicine.

## 3. Channels of Communication

UW Medicine has established numerous formal communication channels (see *Attachment D*) to support compliance efforts within each entity and enhance the sharing of information between entities. These groups provide a venue for compliance officers and senior leaders to identify risks and mitigation strategies, respond proactively to emerging issues, report on the status of projects and initiatives, and strategize about program priorities.

Workforce members must also have safe communication and reporting channels. In 2011, NWH's hotline was merged into a central hotline maintained by the CCO/AVPMA. This line provides for anonymous reporting of compliance concerns. In 2012, this hotline will be the focus of an active marketing campaign to include the hospitals and clinics, ALNW, UWP and the SoM. In addition, each UW Medicine entity maintains a compliance helpline to answer compliance questions.

### III. KEY COMPLIANCE AREAS

The key compliance focus areas identified for 2011 include the following:

- *Clinical Billing (Facility & Professional Fee)*
- *Clinical Research Billing*
- *Information Security*
- *Privacy*
- *Stark/Anti Kickback*
- *Conflicts of Interest*

Although these were not the only risk areas for UW Medicine, they were the focus of significant attention throughout the system, and within the communication venues described in Section IIC3 above. At each meeting of the UW Medicine Board Compliance Committee in 2011 (see ***Attachment E***), a content expert presented the following information on one of the focus areas:

- Relevant background (rules, agency involvement, general risks, consequences of noncompliance) and primary areas of scrutiny and recent developments, if any
- How the compliance issue affects UW Medicine
- Internal controls to reduce risk, focusing on the eight elements of an effective compliance program:
  - High Level of Involvement
  - Education & Outreach
  - Reporting Mechanisms/Complaint Process
  - Assessment
  - Policy and Procedures
  - Auditing & Monitoring
  - Sanctions
  - Reporting
- Special initiatives or planned program changes; individuals responsible for oversight, implementation and enforcement; relevant timelines or project milestones; how and when the committee will be apprised of future developments

Focus area presentations are contained in the official committee records.

The following sections highlight major activities and developments that occurred in 2011, emphasizing regulatory changes, risk assessment and mitigation, education, and program improvements.

## A. Clinical Billing

**External Reviews.** In 2010, the Center for Medicare and Medicaid Services (CMS) initiated the Medicare Recovery Audit Contractor (RAC) program in Washington State. RAC is one of the latest federal and state audit programs established to identify billing errors and abusive or fraudulent billing practices. In 2011, external reviews were conducted on 2,115 claims (UWP, NWH, UWMC, HMC) representing approximately \$26 million in reimbursement. These audits, as well as those pending from 2010, resulted in the repayment of 251 claims for approximately \$724,000. UW Medicine successfully disputed 148 claim error findings totaling approximately \$149,000. There are 135 claims still in dispute representing \$614,000. In addition, 112 claims totaling approximately \$648,000 were identified as underpayments to UW Medicine. There have been no findings or repayments caused by missing records or missed deadlines, a testament to the diligent efforts of the response teams. The program will include Medicaid billing in 2012 and we expect to be impacted by this expansion with increasing numbers of audits. We are assessing our resources and work flows accordingly.

UW Medicine continues to reap the benefits of the external review software implemented in 2010, which facilitates robust tracking of audits and results, and provides the data needed for proactive assessment of risk areas and for summary reporting. UW Medicine leadership is informed about ongoing external review activities through a detailed weekly report, and the topic is a standing agenda item for UWMB CC meetings.

In other external reviews, HMC received notice of an OIG audit covering Medicare outpatient drug claims that met specific criteria (including the likelihood of billing errors) between April, 2008, and February, 2011. In spite of the nearly three-year timeframe, just 42 claims were selected, only two claims contained errors, and the total repayment was less than \$4,600.

Noridian Administrative Services, the contractor for payment of Medicare claims, conducted several probe audits of billing for targeted hospital services during the year. UW Medicine hospitals were included in two of these audits; one was closed following a report of no errors for UW Medicine claims; the other is still in progress.

**Facility Billing.** UW Medicine Compliance developed and executed its 2011 clinical billing audit plan using current Federal healthcare program oversight activity and Office of Inspector General (OIG) Work Plan focus areas to inform decisions and to help prioritize audit topics. Newly incorporated into the annual plan were audits to be completed in coordination with other compliance offices in the system. The Compliance Officers Group continued its work to establish system-wide audit processes/procedures, and this year developed standard audit report formats.

Following high dollar claim repayments for devices and related services in 2010, UW Medicine continued its focus on complex coverage and billing rules for special categories of implantable devices, including humanitarian and investigational devices. After improving processes and developing web-based resource materials, we implemented a training and communication campaign to provide staff and physicians with the information they need to maintain compliance with the rules.

Another high-priority facility billing focus in 2011 was medical necessity of hospital inpatient admissions. Medicare is currently the primary driver of this issue through its RAC program, denying payment for inpatient stays in cases where it believes that the patient could have been safely cared

for in a less intensive and thus less costly outpatient setting. UW Medicine is using this information to prioritize both compliance and operational activities in order to minimize risk.

Some services are paid by Medicare only when the patient has a particular condition or disease. UWMC discovered a problem that led to billing and payment for nutrition therapy in non-covered situations, and repaid \$89,000.

**Professional Fee Billing.** Since the conclusion of the Corporate Integrity Agreement (CIA) with the federal government<sup>5</sup> in 2009, UWP and CUMG have operated separate but closely coordinated compliance programs. Policies and standards are aligned where appropriate, but are designed to address the unique risks of the respective clinical practices and complement specific medical staff processes, facility systems, and controls. Both practice plans engage in rigorous auditing, on-going risk assessment, mandatory training, and investigations of reported or observed billing issues. Efforts in 2011 included the following:

- CUMG completed all scheduled policy reviews/updates; trained every CUMG practitioner (through on-line modules and 37 live training sessions); and provided training and review to 63 new CUMG members.
- CUMG performed 414 practitioner audits, and responded to 8 internal inquiries with investigations and risk assessments.
- UWP conducted proactive risk assessments and completed scheduled risk-based audits on 97% of the physicians identified for review (496 physicians), second reviews on 79 physicians, pre-billing reviews on all 75 practitioners new to UWP, and UWP professional fee coders (42).
- UWP achieved 100% completion of the mandatory training (including 1643 physician and non-physician members and 258 UWP administrative employees). UWP increased the number of online modules to 46, and developed new specialty-specific modules.

## B. Clinical Research Billing

Clinical research billing compliance is a nationally recognized risk area for academic health centers. UW Medicine's work in this area – including clear policies and procedures, mandatory training, and on-going audits - assures compliance with the complicated rules and continues to serve as a model for peer institutions.

Over the last year, UW Medicine evaluated and revised the committee structure that supports clinical research billing. A reorganized committee has been charged with continuous assessment and strengthening of operational processes, policies, tools and training to assure that the most efficient and effective systems are in place for clinical research billing.

The Clinical Research Billing Audit Program was established to determine compliance with UW Medicine policies and to verify that clinical services provided to research subjects are correctly billed. Studies are selected for audit according to pre-established risk criteria. Since inception of the program in 2007, 133 audits have been completed and only 2.3% of all charges reviewed were found to be incorrectly charged to patient accounts (a key metric.) This is a very low error rate and an excellent outcome.

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<sup>5</sup> UWP and CUMG were the subject of federal criminal and civil investigations into allegations of fraudulent Medicare billing from 1999 – 2004. Launched by a "whistleblower" lawsuit filed under the False Claims Act, the criminal investigation concluded with guilty pleas by two nationally prominent UW Medicine physicians. The civil investigation culminated in a \$35 million settlement and the negotiated CIA.

Despite the low billing error rate, audit results continue to highlight areas for improvement in various processes, including development of accurate and complete study billing plans and charge capture transactions for drugs and certain procedures. Compliance will continue to monitor audit results to ensure that the refined processes are effective.

### C. Information Security and Privacy

The UW Medicine Information Security Program (ISP) operates under the direction of the UW Medicine Information Security Officer, who reports to the UW Medicine Chief Information Officer. The Privacy/Identity Theft Prevention Program (ITPP) operates under the direction of the UW Medicine CO, who reports to the CCO/AVPMA. Both programs are responsible for developing and maintaining program-specific policies, providing related education and outreach, monitoring and auditing compliance with their respective policies, and reporting regularly to appropriate leadership groups. Privacy program staff investigate all privacy, ITPP, and information security complaints.

***Information Security.*** ISP supports UW Medicine's mission while proactively assessing and managing information security risks in partnership with executive leadership. In 2011, the ISP completed a comprehensive review and revision of its policies, resulting in the development of three policies that establish the baseline requirements and standards for electronic data, computing devices and systems, and workforce members. These policies are slated for adoption in early 2012. The ISP refined its priorities to include a stronger commitment to customer support and services, and enhanced its education, outreach and collaboration efforts. Highlights of these efforts are included below.

#### *Education/Outreach/Collaboration:*

- served as a resource for UW and UW Medicine committees by providing input for project intake, architecture, identity and access management, and change control
- increased focus on service, with a stronger emphasis on communication, education, and topic-specific guidance
- created a problem solving partnership with UW IT services, departmental project teams, SoM IT staff, and faculty and staff throughout UW Medicine
- enhanced collaboration with the UW Chief Information Security Officer (CISO), and served on the UW Privacy and System Security (PASS) Council
- participated in the development of more clearly defined incident response procedures, established a weekly incident response conference call to review active issues, and expanded participation to reflect a more inclusive membership
- conducted security education and awareness activities for 80 system owners, who received job-specific training
- provided basic awareness training as part of new employee orientation (NEO) to 1440 new hospital staff members (NEO was expanded in 2011 to include physicians)
- NEO materials were shared with the SoM for use in its orientation process, and as a result system owner training is now available to all components of UW Medicine
- in collaboration with SoM IT, held brown bag sessions on mobile device encryption
- provided training to all help desks and front line responders to ensure that that calls related to mobile device encryption are handled in a consistent manner
- collaborated with the UW Medicine Privacy Program, SoM, and the CISO on incident response activities, completing more than sixteen forensics investigations

The ISP provides a central infrastructure for system firewall management; current work is focused on improving the workstation firewall solution. The ISP team expanded its Vulnerability Management Program to include departments and individual users and provide for both self-assessments and system assessments to proactively identify and remediate potential vulnerabilities. The ISP uses the same tools to identify vulnerabilities on Internet-facing systems.

In July 2011, a Security Information and Event Management (SIEM) system was implemented to collect system and enterprise security data. The SIEM has increased visibility into systems managed by the ISP and has identified several firewall misconfigurations. As additional sources of data are integrated into the SIEM, it is expected the tool will be able to correlate security events across UW Medicine, allowing for quicker and more efficient responses to potential security incidents.

***Privacy/ Identity Theft Prevention.*** These programs are supported by a mature policy framework. All workforce members receive mandatory orientation regarding privacy compliance, and workforce members who handle clinical information receive additional required job-related training. Strategies for reminding workforce members of this material include annual refresher training and periodic system-wide awareness emails that provide practical guidance. Electronic patient records are routinely audited to verify that workforce accesses are appropriate. The program investigates complaints from patients and workforce members, issues findings, and works with entities to remediate operational gaps or systemic issues uncovered during investigations. Managers and program directors are responsible for pursuing appropriate disciplinary and corrective action. UW Medicine also operates an active program to deal with potential identity theft cases through its Patient Identification and Clarification Committees.

In 2011, the Office of Civil Rights (OCR) notified UW Medicine of several patient privacy complaints. We conducted thorough internal investigations and worked cooperatively with the agency. Each case was closed with satisfactory resolution and no penalties or fines. UW Medicine implemented several policy and operational improvements, and engaged in a system-wide, top-down awareness campaign to convey lessons learned from the cases.

The Department of Health and Human Services issued a notice of proposed rulemaking governing accounting of disclosures. The proposal discontinues the accounting of disclosures for research purposes, but requires that patients be provided a report of all electronic accesses to their patient information upon request. If finalized, the provision will require significant operational retooling in UW Medicine, and we are closely monitoring this development.

Federal law requires every provider who does business electronically to use the same transactions, code sets, and identifiers. CMS-issued upgrades to the current electronic transaction formats required operational changes to meet the January 2012 effective date. UW Medicine is also preparing for implementation of a new coding nomenclature system (ICD-10) in October 2013.

During this reporting period, Airlift Northwest, Summit Cardiology and Valley Medical Center were added to the UW Medicine covered entity designation for HIPAA purposes.

UW Medicine published a new policy and guidelines to address the growing use of social media by faculty, staff and students, and conducted education and outreach sessions throughout the system.

#### D. Stark/Anti-Kickback

The Stark Law prohibits physicians from referring Medicare/Medicaid patients for designated health services to an entity with which the physician (or immediate family member) has a financial relationship, unless a regulatory exception applies. There were no significant changes to the Stark Law in the past year, but a new self-disclosure protocol was established that provides for potential reductions in penalties when violations are voluntarily disclosed. UW Medicine did not detect or report any Stark violations in 2011. Compliance with Stark is managed jointly by the SoM, UWP, and UW Medicine Compliance. In the past year, efforts focused on standardizing the physician contracting process, including finalizing a physician services contract manual and contract templates. Planned activities for the coming year include:

- Continue work project to have all unpaid faculty physicians sign standardized documentation identifying services provided and compensation or benefits received
- Continue to review any remuneration the UW provides to non-faculty, community physicians for compliance with Stark

The Anti-Kickback Statute (AKS) prohibits the knowing and willful payment or acceptance of remuneration for referring an individual for items or services covered by a federal health care program, or for purchasing an item or service (or recommending for purchase) that is reimbursable under federal health care programs. Unlike Stark, the AKS applies not only to physicians, but also to non-physicians and entities. There were no significant changes to the AKS in the past year.

Planned risk mitigation activities for the coming year include:

- Continue to review and develop policies and procedures on disclosure of conflicts in connection with drug and device purchases
- Continue to develop and refine guidance regarding vendor support of educational and research activities
- Continue to develop and refine guidance regarding purchase contracts with vendors

#### E. Conflict of Interest

Conflicts of interest (COI) are governed by a significant number of regulations and policies, including but not limited to the following:

- State Ethics in Public Service Act and University Policy on Employee Conflict of Interest
- University Outside Professional Work Policy
- University Significant Financial Interest Disclosure Policy (GIM 10)
- UW Medicine Ghost Authorship Policy
- Entity level policies on specific conflict issues such as Vendors in Clinical Areas and Drug and Device Purchasing
- UWP Conflict of Interest Policy
- CUMG Conflict of Interest Policy

In 2011, the National Institutes of Health (NIH) modified rules governing disclosure of financial interests in research. These changes expand the definition of significant financial interest by

lowering the threshold for disclosure, require researchers to disclose interests related to all their institutional responsibilities rather than just those related to their research, require disclosure in advance rather than after the fact, and shift the burden of determining whether a conflict exists from the researcher to the University. They also impose a training obligation on the University, require more University reporting to NIH, and require public accessibility to the information disclosed by researchers and the University's response to those disclosures. The new rules will take effect no later than August 2012. Compliance with the new rules, including review and revision of the UW Significant Financial Interest Policy and the development and implementation of training, will be managed by the UW Provost with significant participation from the SoM.

This was the second year of the new UW Medicine COI policy. The purpose of the policy is to ensure that SoM faculty avoid, or disclose and address, perceived or real conflicts of interest between their responsibilities as faculty and their outside activities, while encouraging appropriate relationships between faculty and industry to the extent they further the mission of UW Medicine. The policy addresses such issues as consulting, service on boards and advisory panels, and other outside work; speeches, meetings, and travel funded by outside entities; gifts; food and beverages; teaching activities; and outside support for educational events. A key provision of this policy is that SoM faculty must disclose in advance the amount of compensation to be received for outside work.

The committee that developed the policy will conduct an in-depth review to consider whether any changes should be made in light of changes in the national landscape, particularly those involving faculty participation on vendor speaker bureaus, and the recent NIH rule revisions.



## ATTACHMENT A

### UW Medicine Board Compliance Committee: Fiscal Year 2011 Roster

#### Voting Members

- Rich Jones - Board Member and Committee Chair**
- o President and CEO of the Washington Society of Certified Public Accountants
  - o Former member of the Board of the Fred Hutchinson Cancer Research Center, founding member and past Chair of the Board of SCCA
  - o Past officer and member of the Board of the Pacific Science Center
  - o Retired Partner of Ernst & Young LLP
- Jim Anderson – Board Member**
- o Chairman of Health Resources Northwest/Northwest Hospital (HRN/NWH)
  - o Serves as Chair of HRN/NWH Information Systems & Committee and Finance Committee
  - o Former Chairman of Strategic Planning Committee for the Board of Directors for Northwest Healthcare Insurance Services and Washington Casualty Company
  - o Former Chairman of Budget Committee of the Board of Overseers of Whitman College.
  - o Former Board of Director of Pacific First Financial Corporation, Multicare Health System, Tacoma/Perce County Economic Development Council, and the Corporate Council for the Arts and Reality Based Learning.
- Shan Mullin, Board Member and Board Chair**
- o Former chair of the Fred Hutchinson Cancer Research Center and the SCCA boards, chair of the Norman Archibald Charitable Foundation board
  - o Board member of the Greater Seattle Chamber of Commerce; and Board member/Secretary of the SCCA
  - o Partner in the Seattle office of Perkins Coie law firm; Distinguished Alumni Award from UW Law School 2004
- Julie Nordstrom – Board Member**
- o UW alumnus and former board member of Seattle Children's Home and Childhaven; volunteer at Seattle Children's
  - o Former associate, Stafford, Frey, Cooper and Stewart, and law clerk for Justice James Dolliver of the Washington Supreme Court

- Bruce Pym - Community Member**
- o President and CEO of Elliott Cove Capital Management
  - o Former President of the King County Bar Association, Board Chair of the King County United Way, member of the Board for the Seattle Repertory Theatre and the Board of Trustees, UW Law School Foundation, and Board Chair of the 5th Avenue Theatre Association
  - o Long-time member of the Fred Hutchinson Cancer Research Center Board, member of the Hutch board committee charged with oversight of the conflict of interest litigation, and first chair of the Patient Protection Oversight Committee
  - o UW alumnus
- Odell Guyton - Community Member**
- o Compliance Director for Microsoft; former Assistant U. S. Attorney; former Corporate Compliance Officer, University of Pennsylvania
  - o Volunteer advisor for the UC System Regents and the Audit Committee on Compliance matters
  - o Former member of the Board of Trustees, Moravian College
- Dan Dubitzky - Community Member**
- o Lead counsel for the UW in its response to the now-completed Medicare fraud investigation
  - o Former board member of the Northwest Defender Association and the Tom Wales Foundation, previous Chair of the Criminal Law Committee of the Federal Bar Association, and a lawyer's representative from the Federal Bar Association to the Ninth Circuit Judicial Conference.
  - o While in private practice, represented several Fortune 500 companies and corporate officers with clients from health care, fisheries, aerospace, architecture and timber

#### Non-Voting Members

- UW Medicine**
- Paul Ramsey, MD – Chief Executive Officer, (UW Medicine), EVPMA (UW), Dean (SoM)**
- Johnese Spisso – Chief Health System Officer (UW Medicine), VPMA (UW)**
- Ruth Mahan – Chief Business Officer (UW Medicine) VPMA (UW)**
- Sue Clausen – Chief Compliance Officer (UW Medicine), AVPMA (UW)**
- Lori Oliver – Director of Legal & Business Matters (UW Medicine), AVPMA (UW)**
- Lori Mitchell – Financial Operations Officer, UW Medicine**
- Lisa Westlund - Compliance Officer, UW Medicine**
- Liz Shirley – Controller (UW Medicine), AVPMA (UW)**
- School of Medicine**
- Mark Green – Associate Dean for Business, SoM**
- Noella Rawlings - Compliance Director, SoM**

- Attorney General's Office**
- Dina Yunker - Assistant Attorney General (UW)**
- Practice Plans**
- Dr. Mika Sivanan - President, UWP**
- Catherine Boelke - Executive Director, UWP**
- Carlos Cruz – Compliance Officer, UWP**
- Dr. Mark Del Beccaro – Chair, Physician Billing, Education & Billing Compliance Committee, CUMG**
- Rick Nielsen - Executive Director, CUMG**
- Sheryl Forrester - Compliance Officer, CUMG**
- Margaret Peyton - General Counsel, UWP/CUMG**

- Hospitals/Clinics**
- Eileen Whalen - Executive Director, HMC**
- Stephen Zieniewicz - Executive Director, UWMC**
- Meg Kerrigan - Executive Director, UW Neighborhood Clinics**
- Bill Schneider – Chief Executive Officer, Northwest Hospital**
- Cynthia Coronel – Compliance Officer, Northwest Hospital**
- Christine Martin – Executive Director, Airlift Northwest**
- Rich Roodman – Chief Executive Officer, Valley Medical Center**
- David Smith – General Counsel, Valley Medical Center**
- Colleen Nelson - Corporate Compliance & Privacy Officer, Valley Medical Center**
- Phuong Dao - Integrity Officer, SCCA**

## ATTACHMENT B

### UW Medicine Board Compliance Committee Charter

#### **Committee Name**

*UW Medicine Board Compliance Committee*

#### **Committee Establishment and Authority**

*Section 4.4 of the UW Medicine Board Bylaws establishes and defines the authority of the UW Medicine Board Compliance Committee.*

#### **Committee General Duties**

*In conformance with Section 4.4.1 of the UW Medicine Board (UWMB) Bylaws, the Committee is responsible for reviewing and evaluating the compliance programs of UW Medicine component entities<sup>1</sup> and preparing the Chairperson of the UWMB to advise the Board of Regents, the President, and the Chief Executive Officer, UW Medicine, Executive Vice President for Medical Affairs, University of Washington, and Dean, University of Washington School of Medicine (CEO/EVPMA/Dean) regarding the implementation and effectiveness of UW Medicine Compliance Programs. The Committee will participate in the development of the annual UWMB compliance report to the UW Board of Regents in conformance with Section 1.4.3 of the UWMB Bylaws.*

*Although not specifically provided for in the UWMB Bylaws, the Committee shall keep the UWMB informed of its activities and findings concerning the implementation and effectiveness of UW Medicine Compliance Programs. Such duty anticipates a report from the Chair of the Compliance Committee (or other member of the Committee if the Chair is not available) to the UWMB at the next meeting of the UWMB following a meeting of the Compliance Committee.*

#### **Committee Specific Duties and Responsibilities**

*Duties of the Committee include but are not limited to advising on the following (UWMB Bylaws, Section 4.4.1):*

- *key compliance policies;*
- *compliance program infrastructure and reporting relationships;*
- *scope of authority of key positions;*
- *ongoing assessment of compliance risks and the effectiveness of mitigation activities; and*

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<sup>1</sup> Component entities include Harborview Medical Center (HMC), UW Medical Center (UWMC), Northwest Hospital (NWH), UW School of Medicine (UWSOM), Airlift Northwest (ALNW), UW Neighborhood Clinics (UWNC), and UW Physicians (UWP). Because UW Medicine also has part ownership of Children's University Medical Group (CUMG) and the Seattle Cancer Care Alliance (SCCA), these entities participate on the Committee.

- *level of resources dedicated to the compliance programs.*

*In addition, the Committee will:*

- *monitor the progress of new initiatives, process improvement projects, and programs developed in response to UW Medicine compliance reviews and risk assessments;*
- *receive reports of relevant noncompliance and misconduct as the UW Medicine Chief Compliance Officer deems appropriate, including summary reports on compliance items reported on the UW Medicine Hot Line reporting system and the resolution of those matters*
- *make recommendations to improve the effectiveness of UW Medicine compliance programs; and*
- *review and evaluate, at least annually, the performance of the Compliance Committee, including fulfillment by the committee of this charter, the adequacy of this charter and submit any proposed recommendations for change to the UW Medicine Board for their review and approval.*

### **Committee Member Composition**

*In conformance with Section 4.4.2 of the UWMB Bylaws, the Chairperson of the Committee is appointed by the Chairperson of the Board, with the approval of the President and the CEO/EVPMA/Dean.*

*The voting members of the Committee are appointed by the Chairperson of the Board in consultation with the Chair of the Board of Regents, the President and the CEO/EVPMA/Dean. Voting members include:*

- *At least three Board members, including the Chairperson of the Board*
- *Up to three community members who are not members of the Board.*

*Board members and community members will be appointed to the Committee for a term of one year, which may be renewed annually. Any vacancies that occur will be filled in the same manner as the initial appointments to the Committee.*

*The following non-voting individuals are also invited to attend the Committee meetings on a regular basis:*

- *CEO/EVPMA/Dean*
- *Chief Health System Officer, UW Medicine/Vice President for Medical Affairs, University of Washington (CHSO/VPMA);*
- *Chief Business Officer, UW Medicine/Vice President for Medical Affairs, University of Washington (CBO/VPMA);*
- *Chief Compliance Officer, UW Medicine/Associate Vice President for Medical Affairs, University of Washington (CCO/AVPMA);*
- *Health System Financial Operations Officer for UW Medicine;*
- *Executive Directors of HMC, UWMC, ALNW, UWNC, UWP and CUMG;*

- *Presidents of NWH, UWP and CUMG;*
- *Associate Dean for Business, School of Medicine;*
- *Director of Legal and Business Matters, UW Medicine/Associate Vice President for Medical Affairs, University of Washington;*
- *UWP/CUMG Legal Counsel;*
- *A UW Medicine Assistant Attorney General;*
- *Compliance officers for HMC, UWMC, NWH, UWP, CUMG, SCCA, UWSOM;*
- *Director of the UW Medicine Privacy and Identification Theft Prevention Program;*  
*and*
- *Other non-voting individuals invited by the Committee Chair.*

### **Committee Member Requisite Skills and General Qualifications**

*Committee members are selected for the following skills and qualifications:*

- *The highest ethical standards and integrity;*
- *A willingness to act on and be accountable for Committee decisions;*
- *The ability to provide informed and thoughtful counsel to senior leaders and compliance officers;*
- *A history of achievement that reflects superior standards;*
- *Loyalty and commitment to driving the success of UW Medicine; and*
- *A background that provides a portfolio of experience and knowledge commensurate with UW Medicine's needs.*

### **Committee Decision-Making Processes**

*In conformance with Section 4.4.4 of the UWMB Bylaws, a majority of voting Committee members will constitute a quorum for the purpose of making official decisions and taking formal actions. Other types of decision-making will be based on member consensus.*

### **Committee Reporting Requirements**

*The Committee shall report meeting proceedings and recommendations to the UW Medicine Board at the Board's regularly scheduled meetings.*

### **Committee Member Obligations**

- *Members shall attend the majority of scheduled Committee meetings and notify the Committee Chair when circumstances prevent attendance.*
- *Members will review germane materials in advance of each Committee meeting.*
- *Members will not act as an agent for any person or organization where such an act would create a conflict of interest with the terms of service to the Committee.*
- *Members will recuse themselves from discussions or decisions that may represent a potential conflict of interest.*

- *Members will safeguard the confidentiality and security of information obtained during the course of their Committee service.*

### **Annual Committee Goals, Objectives and Performance Measures**

- **Goal:** *Maintain awareness of UW Medicine compliance program activities, including policy development, risk assessment, education/outreach, auditing/monitoring, handling of complaints, and corrective actions.*

**Performance Measure:** *The Committee receives and reviews at least two comprehensive written reports per year from each UW Medicine Compliance Officer, and members have opportunities to ask questions and provide feedback on program activities.*

- **Goal:** *Maintain awareness of UW Medicine’s primary compliance risks, mitigation strategies, and compliance work plans.*

**Performance Measure:** *The primary risk areas are identified annually. At each meeting of the Committee, significant time is devoted to an in-depth review of at least one risk area, led by an appropriate content expert. Members have opportunities to ask questions and provide feedback.*

- **Goal:** *Maintain awareness of emerging compliance issues facing UW Medicine.*

**Performance Measure:** *Each meeting of the Committee will include briefings about emergent issues, changes in the regulatory environment, and late-breaking or urgent developments. Additionally, each meeting will reserve an executive session for briefings of a sensitive nature. Members have opportunities to ask questions and provide feedback.*

### **Committee Administrative Matters**

*In conformance with Section 4.4.3 of the UWMB Bylaws, the Compliance Committee meets at the call of the Chairperson as often as necessary, but not less than quarterly, to perform its duties. The annual schedule of meetings (including planned focus areas) is developed and distributed at the beginning of each fiscal year. This schedule is updated as necessary. Material referenced in the schedule is provided to Committee members one week in advance of the relevant meeting.*

*The Committee is staffed by the CCO/AVPMA.*

*Voting members of the Committee are oriented to their roles and responsibilities in a joint meeting with the Committee Chair and the CCO/AVPMA.*

*Written minutes are maintained of each Compliance Committee meeting. Minutes shall accurately record the topics discussed, decisions reached, and attendance of*

*Committee members and guests. Official documentation of each meeting, including minutes, supporting handouts, and presentation materials, shall be maintained by the office of the CCO/AVPMA.*

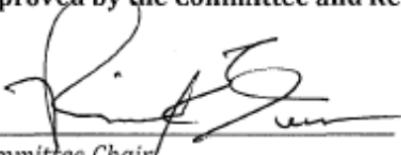
*The Committee Charter will be reviewed annually.*

**Other Committee Items**

*None.*

+++++

**Approved by the Committee and Recommended to the UW Medicine Board**

  
\_\_\_\_\_  
*Committee Chair*

4-18-11  
*Date*

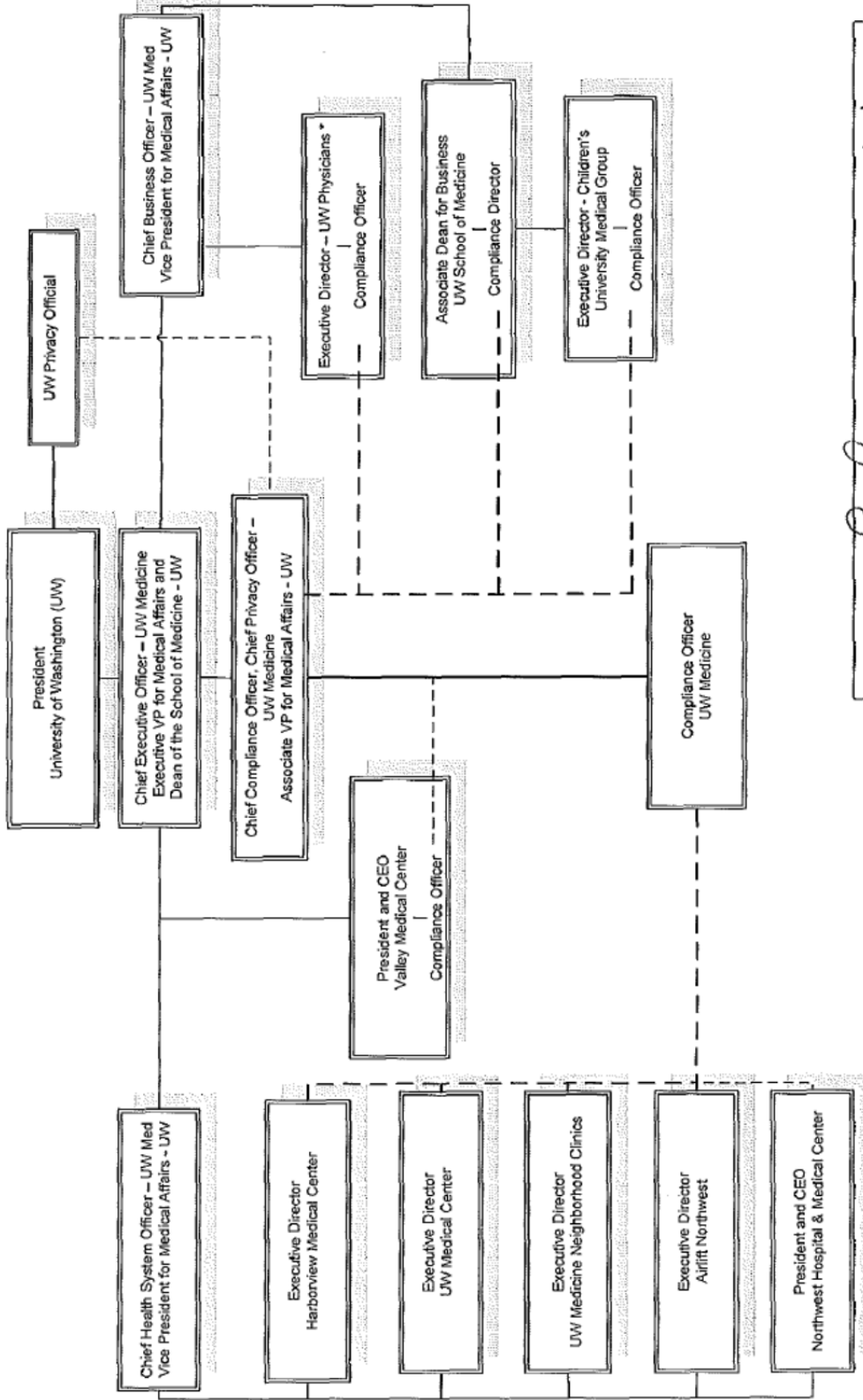
**Approved by the UW Medicine Board**

  
\_\_\_\_\_  
*Chair of the UW Medicine Board*

4-18-2011  
*Date*

# ATTACHMENT C

UW Medicine Compliance Organization Chart (10/26/11)



Approved: *Paul G. Ramsey* Date: 11/9/11  
 Paul G. Ramsey, M.D.  
 CEO, UW Medicine  
 Executive Vice President for Medical Affairs and  
 Dean of the School of Medicine, University of Washington

\*Dual reporting relationship to UWP President

## ATTACHMENT D

### UW Medicine Compliance Issues Channels of Communication

Committee/Chair	Committee Role	Membership
UW Medicine Board Compliance Committee, chaired by Rich Jones (UW Medicine Board member)	This committee has a wide scope of advisory responsibilities including strategic planning, advocacy and support for compliance efforts, and assessment of progress on major compliance matters. The group meets approximately 8 times/year, receives semi-annual reports regarding entity-specific program activities, and is briefed at each meeting about urgent, emergent and on-going issues. Minutes of each meeting are provided to the UW Medicine Board.	Voting members include community members, the UW Medicine Board Chair, and other UW Medicine Board members. Non-voting members include senior executive leaders and entity compliance officers. See Attachment A for the full roster.
UWP Business Excellence Committee, chaired by Thomas Payne, MD  CUMG Physician Billing & Education Compliance Committee, chaired by Mark DelBeccaro, MD	These committees provide a venue for engaging administrative, clinical and operational leaders in the planning, problem-solving, and risk assessment activities associated with key compliance initiatives. The committees work closely with compliance and operations staffs to assess risk, establish compliance standards, monitor program effectiveness, implement effective educational and outreach activities, and endorse policies and standards.	Members include executive leaders, physicians, clinical department representatives, legal counsel, training and operational staff, the practice plan compliance officers, the SoM compliance director, and the CCO/AVPMA.
UW Medicine Executive Compliance Committee	This committee is convened by the Chief Health System Officer/VPMA, and serves as a forum for engaging key executives from the health system in compliance planning, policy approval, problem-solving, and risk assessment activities. The group works closely with UW Medicine Compliance to evaluate urgent and emergent issues, monitor progress toward resolution of compliance issues, and establish strategies for communicating and enforcing expectations to staff.	Members include the CCO/AVPMA; executive directors and senior officers from the hospitals, clinics and ALNW; administrative directors from key operational units; the UW Medicine CO; the Privacy/ITPP Director; and a representative from the AGO.
Compliance Officers Group, chaired by Sue Clausen, CCO/AVPMA	This group provides a forum for engaging entity compliance officers in the identification of and response to regulatory developments, assessment of risks, and development of mitigation strategies. Subgroups provide a venue for working collaboratively on mutual concerns, establishing system-wide standards, and coordinating the handling of urgent/emergent issues that involve multiple entities.	Members include the UW Medicine compliance officers/directors and compliance representatives from ITHS, Pharmacy, Laboratory, Patient Financial Services, and information security; compliance representatives from the School of Dentistry, UW information security, health sciences, risk management, environmental health and safety, animal and human research protection programs, and research compliance; and compliance officers from affiliates including Seattle Children's Hospital, Fred Hutch and SCCA..
UW Medicine Operations and Finance Committee, chaired by Paul Ramsey, CEO/EVPMA/Dean	This committee provides a venue for engaging senior leaders in the evaluation of, and response to, UW Medicine-wide compliance issues.	Members include the CCO/AVPMA, VPs for Medical Affairs, Vice Dean for Clinical Affairs, UWP President, Executive Directors (UWMC, HMC, UWNC, UWP, ALNW), Financial Officers, SoM Assoc. Deans for Admin/Finance & Business Affairs, UW Medicine Chief of Staff/AVPMA, Director of Business & Legal Matters/AVPMA, Director of News & Community Relations/AVPMA
Executive Clinical Leadership, chaired by Johnese Spisso, CHSO/VPMA	This group provides clinical operations leadership for UW Medicine System, develops/implements strategic operating & financial plans, and addresses related issues (e.g., access management, coordination of care, process improvement, HR, regulatory affairs, recruitment/retention needs, space planning, IT).	Members include the Executive Leadership Team from UW Medicine clinical health system entities (HMC, UWMC, NWH, VMC, UW Neighborhood Clinics, UWP, and ALNW) and other UW Medicine leadership
Security Program Executive Committee (SPEC), chaired by Johnese Spisso, CHSO/VPMA	SPEC provides executive direction for the UW Medicine Info Security Program, reviews and endorses security policies, strategic plans, annual budget requests and risk assessments.	Members include UW Medicine Director of Security & Networking, CCO/AVPMA, CIO, SoM Vice Dean for Admin/Fin, Director of Health Science Risk Mgmt, UWP President, Executive Directors (UWMC, HMC, UWNC), UW CISO, Asst VP for Med Ctr. HR



## ATTACHMENT E

### UW Medicine Board Compliance Committee - Schedule 2011

Meeting Date	Focus Areas/Special Briefings	Focus Area Presenter(s)	Reports
January 10 9:30-11:30 am	Focus Area – External Review <ul style="list-style-type: none"> <li>• Office of Civil Rights</li> <li>• Information Security</li> <li>• Preview 2010 Annual Compliance Report</li> </ul>	Lisa Westlund	Briefings
February 14 9:30-11:30 am	Focus Area – Information Technology Security <ul style="list-style-type: none"> <li>• Office of Civil Rights</li> <li>• 2010 Annual Compliance Report Final</li> </ul>	Johnese Spisso, Jim Fine, David Chou, Paul Henderson	Briefings Distribute FY 11 Qtr 1 & 2 reports
March	No meeting		
April 11 9:30-11:30 am	Focus Area – Clinical Billing <ul style="list-style-type: none"> <li>• Office Of Civil Rights</li> <li>• External Review Activity</li> <li>• 2010 Annual Compliance Report</li> <li>• UWMB CC Charter</li> </ul>	Lisa Westlund	Briefings
May	No meeting		
June 6 9:30-11:30 am	Focus Area – Clinical Trials Billing <ul style="list-style-type: none"> <li>• External Review Activity</li> <li>• KPMG Review</li> <li>• Social Networking Policy</li> </ul>	Lori Oliver	Briefings
July	No meeting		
August	No meeting		Distribute FY 11 Qtr 3 & 4 reports
September 12 9:30-11:30 am	Focus Area – Privacy/ID Theft Prevention <ul style="list-style-type: none"> <li>• Compliance Issue Management</li> <li>• External Review Update</li> <li>• Changes in Federal COI Rules</li> </ul>	Sue Clausen, Richard Meeks	Briefings
October	No meeting		
November 14 9:30-11:30 am	Focus Area – Conflicts of Interest <ul style="list-style-type: none"> <li>• External Review Update</li> <li>• 2012 Annual Compliance Report Timeline</li> </ul>	Mark Green	Briefings
December	No meeting		

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.

**VII. STANDING COMMITTEES****A. Academic and Student Affairs Committee**

*in Joint Session with*

**B. Finance, Audit and Facilities Committee****Revised Facilities and Spaces Naming Policy****RECOMMENDED ACTION**

It is the recommendation of the Academic and Student Affairs Committee and the Finance, Audit and Facilities Committee that the Board of Regents approve the revised Facilities and Spaces Naming Policy. The revised policy will go into effect immediately upon approval of the Board of Regents.

**BACKGROUND**

It has become clear that many parts of the existing naming policy are not consistent with current practice. Revisions to the policy include the integration of corporate naming requirements into the general guidelines section, and inclusion of the previously approved section 5 regarding intercollegiate athletics facilities and playing fields temporary naming rights agreements. In addition is the requirement that the terms of corporate naming rights and the definition of “substantial contribution” for all external facilities names be approved by the Regents before any negotiations with prospective donors.

**REVIEW PROCESS**

The revised Facilities and Spaces Naming policy has been reviewed by individual members of the Board of Regents and is recommended for approval by University Advancement, the Senior Vice President, and the President. Revisions to the policy require the full endorsement of the Board of Regents.

*Attachment*

Facilities and Spaces Naming Policy

## Facilities and Spaces Naming Policy

### **Section 1. General Guidelines for Naming Opportunities**

The University of Washington recognizes the importance of naming opportunities for its buildings, outdoor and interior areas, spaces, features, and objects, and this document sets forth the University's naming guidelines. Naming actions shall not detract from the institution's values, dignity, integrity, or reputation, nor shall any such actions create a conflict of interest, or the appearance of a conflict of interest, or confer special privileges.

### **Section 2. Buildings or Outdoor Areas or Spaces Naming Guidelines – Final Approval by the Board of Regents**

A. Buildings or outdoor areas or spaces may be named for a person, or family, associated with the University community who has rendered distinguished service to the University or who has made a significant contribution to society, or for a donor to the University whose gifts represent a "substantial contribution" toward the project cost, provided that the individual or family or donor has a prominent relationship with the University and/or the region, with a positive image and demonstrated integrity. In the event of changed circumstances, the University reserves the right, on reasonable grounds, to revise the form of or withdraw recognition.

B. Corporations or organizations are encouraged to be major donors to the University by recognizing with naming opportunities a person or family important to their success. Only in rare, exceptional situations will a building or outdoor area or space be named for a corporation or organization whose gifts represent a "substantial contribution" toward the project cost. The corporation or organization must have a prominent relationship with the University and/or the region, with a positive image and demonstrated integrity. In the event of changed circumstances, the University reserves the right, on reasonable grounds, to revise the form of or withdraw recognition.

C. A "substantial contribution" is the target gift amount for naming that is set for each project as part of the Project Budget approved by the Board of Regents in the early stages of project development.

D. Pledges for naming should be paid in full within five years of the commitment.

E. Buildings named for an individual or family generally will either be termed "\_\_\_\_\_ Hall" (e.g. "William H. Gates Hall") or "\_\_\_\_\_ Building" (e.g. "William H. Foege Building").

F. The name will generally remain on the building or outdoor area or space for the life of the building, area, or space. If at some future time the building or outdoor area or space is replaced (which may include a major reconstruction that substantially changes the function or appearance of a building's interior and/or exterior), the use of the existing or a new name for the replacement facility will be subject to the approval of the Board of Regents pursuant to Section 4 below.

G. In cases where a corporation or organization name is used, the number of years during which the building or outdoor area or space will be named may be limited, normally to a period not to exceed 25 years. The proposed number of years for naming the project will be identified when it is presented to the Board of Regents for approval. The gift agreement will specify the number of years during which the building or outdoor area or space will be named and it will include the clause that any name changes during that period will be at the University's sole discretion, subject to approval by the Board of Regents.

H. The name will appear on the building, appropriate signage as determined by the University, and University maps and other documents in University approved lettering. No corporate logos will be permitted, except pursuant to Section 5 below.

### **Section 3. Interior Areas, Features, Objects or Spaces – Final Approval by the President**

A. Interior areas, features, objects or spaces may be named for a person or family associated with the University community who has rendered distinguished service to the University or who has made a significant contribution to society, or for a major donor to the University whose gifts represent a substantial contribution toward the project cost or the purchase of the object, provided that the individual or family or benefactor has a prominent relationship with the University and/or the region, and he or she has a positive image and demonstrated integrity. 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.

B. An interior area, feature, object or space may also be named for a corporation or organization whose gifts represent a "substantial contribution" toward the project cost or the purchase of the object. The corporation/organization must have a prominent relationship with the University and/or the region, with a positive image and demonstrated integrity. In the event of changed circumstances, the University reserves the right, on reasonable grounds, to revise the form of or withdraw recognition.

C. Naming for a person, family, or benefactor of the University whose gift amounts to a "substantial contribution" to the project cost or purchase of an object must meet the following:

- While the desired goal for a naming gift is the cost to provide and equip the

area, feature, object or space (which may include an operating endowment), the target gift amount for naming will be set for each project in advance of soliciting donors in coordination with the Vice President for Advancement, who will obtain written authorization from the President on amounts specified. Interior areas, features, objects or spaces that are part of a total building fundraising campaign should be included as part of the Project Budget approved by the Board of Regents in the early stages of project development.

- Pledges for naming should be paid in full within five years of the commitment.

D. Approved names for interior areas, features, objects or spaces will generally not be exhibited on external building walls; the names will be located as close as possible to (and otherwise affiliated with) the funded interior areas, features, objects or spaces.

E. In cases where the name of the corporation/organization is used, the gift agreement will specify the number of years for which the naming applies and will specify that any name changes during that period will be at the University's sole discretion. In cases where the name of an individual or family is used, the name will remain for the life of the area, feature, object or space with appropriate recognition as determined by the President if it is replaced.

#### **Section 4. Approval Process**

The President has final approval for naming interior areas, features, objects and spaces. Final decision to name buildings and outdoor areas and spaces rests with the Board of Regents, upon recommendation of the President. In situations in which a building may be named in recognition of a substantial contribution to the total project costs, the minimum contribution needed for naming and any limits imposed on the number of years it will be named will be specified as a part of the Project Budget approved or amended by the Board of Regents.

Each campus of the University of Washington, UW Bothell, UW Seattle, and UW Tacoma, is responsible for directly submitting to the Vice President for Advancement any request for approval of the naming of facilities, including but not limited to buildings, outdoor and indoor areas, features, objects or spaces, at their respective campuses. The UW Bothell and UW Tacoma will forward their recommendations through their respective Chancellors to the Vice President for Advancement, who will forward them to the President. The UW Seattle will forward its recommendations from the Vice President for Advancement to the President.

Proposals for all naming opportunities will follow the approval process described in this Section 4 in order to obtain appropriate approvals before negotiating with a prospective donor for a naming gift and before offering recognition of an individual, family, corporation or organization. Discussions with individual, family, corporate, or

other organizational donors who seek naming rights must be conducted with the understanding that the President (in the case of interior areas, features, objects or spaces) or the Board of Regents (in the case of buildings and outdoor areas or spaces) reserve final approval of the naming.

## **Section 5. Intercollegiate Athletics Facilities and Playing Fields Temporary Naming Rights Agreements**

The University may enter into agreements with business entities to temporarily name intercollegiate athletics facilities or playing fields when the business entity makes a substantial contribution to the University's intercollegiate athletics program. A "substantial contribution" in this context means that facts and circumstances, including relevant market conditions, show that the business entity is making a substantial financial contribution to the University's intercollegiate athletics program. Any such agreements must be reviewed by Advancement working with the Department of Intercollegiate Athletics and will normally be for a fixed term of five years and not in excess of ten years. The term should be consistent with the contribution. Any agreement to temporarily name an interior feature, object or space must be approved by the President. An agreement to temporarily name an interior feature, object or space may include the right to place a sign or signs on the exterior of a building or an outdoor area; however, such right shall be approved by the Board of Regents upon the recommendation of the President. Any agreement to temporarily name buildings or outdoor spaces must be approved by the Board of Regents upon the recommendation of the President.

The logo of a business entity may be included on the name temporarily affixed to an interior feature, object, space, building or outdoor area if the logo is part of a unique design created in part for the purpose of acknowledging the relationship between the University and the business entity. Inclusion of a logo in a unique design on the name temporarily affixed to an interior feature, object or space shall be reviewed and approved by the President. Inclusion of a logo in a unique design on the name temporarily affixed to a building or outdoor area shall be approved by the Board of Regents upon the recommendation of the President.

This policy will apply to both new and existing interior areas, features, objects, spaces, buildings, and outdoor areas or spaces. No agreement shall detract from the institution's values, dignity, integrity, or reputation, nor shall it create a conflict, or the appearance of a conflict, of interest or confer special privileges. The business entity shall have a prominent relationship with the University and/or the region, and have a positive image and demonstrated integrity. In the event of changed circumstances, the University reserves the right, on reasonable grounds, to revise the form of or withdraw recognition. In the event there are any inconsistencies or ambiguities between this policy and other University Naming Rights policies, this policy shall take precedence.