



February 7, 2013

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

The dinner meeting scheduled for Wednesday, February 13, is canceled.

THURSDAY, FEBRUARY 14, 2013

9:00 to 10:15 a.m.	UW Tower Board Room, 22nd Floor	FINANCE, AUDIT AND FACILITIES COMMITTEE: Regents Smith (Chair), Blake, Jewell, Shanahan, Simon
*10:25 to 11:40 a.m.	UW Tower Board Room, 22nd Floor	ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regents Ayer (Chair), Cole, Jaech, Jordan
*11:50 a.m. to 12:40 p.m.	UW Tower Board Room, 22nd Floor	ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regents Ayer (Chair), Cole, Jaech, Jordan
		<i>in Joint Session with</i>
		FINANCE, AUDIT AND FACILITIES COMMITTEE: Regents Smith (Chair), Blake, Jewell, Shanahan, Simon
1:00 p.m.	UW Tower Board Room, 22nd Floor	REGULAR MEETING OF BOARD OF REGENTS

****or upon conclusion of the previous session.***

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

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

1.1/202-13
2/14/13



**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

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

February 14, 2013

9:00 to 10:15 a.m.

UW Tower, Board Room, 22nd Floor

1. **Report of Contributions – December 2012** **INFORMATION** F-1
Walt Dryfoos, Associate Vice President, Advancement Services
Connie Kravas, Vice President, University Advancement
2. **Grant and Contract Awards Summary – November and December 2012** **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
4. **UW Medicine Board Annual Compliance Report** **INFORMATION** F-4
Rich Jones, Chair, UW Medicine Board Compliance Committee
Paul G. Ramsey, M.D., CEO, UW Medicine, and Executive Vice President for Medical Affairs, UW, and Dean of the UW School of Medicine
Sue Clausen, Chief Compliance Officer, UW Medicine, and Associate Vice President for Medical Affairs, UW
5. **UW Medical Center Expansion Phase II: Montlake Tower – Adopt Project Budget; Delegate Authority to Award General Contractor/Construction Manager (GC/CM) Contract** **ACTION** F-5
Johnese Spisso, Chief Health System Officer, UW Medicine Health System
Eric Smith, Director, Major Capital Projects, UW Capital Projects Office
6. **Burke-Gilman Trail Corridor – Adopt Project Budget, Select Landscape Architect, and Delegate Authority to Award Design and Construction Contracts** **ACTION** F-6
Jon Lebo, Director, Special Projects Group, Capital Projects Office
Josh Kavanagh, Director, Transportation Services
Rebecca G. Barnes, University Architect, Office of Planning and Budgeting

7. wəˈtəbʔaltɪx^w (**Intellectual House**) **Phase I – Review Schematic Design** **INFORMATION** F-7
 Rebecca G. Barnes
 Jon Lebo
 Sheila Edwards Lange, Vice President, Minority Affairs and
 Vice Provost, Diversity

8. **Other Business**



**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

Academic and Student Affairs Committee
Regents Ayer (Chair), Cole, Jaech, Jordan

February 14, 2013

10:25 to 11:40 a.m.

UW Tower, Board Room, 22nd Floor

1. **Academic and Administrative Appointments** **ACTION** A-1
Ana Mari Cauce, Provost and Executive Vice President
2. **Amending Chapter 478-276 WAC, “Governing Access to Public Records”** **ACTION** A-2
Norm Arkans, Associate Vice President, Media Relations and Communications
Eliza Saunders, Director, Public Records and Open Public Meetings Office
3. **UW Bothell Change of Status: Designation of the Schools of Business; Interdisciplinary Arts and Sciences; and Science, Technology, Engineering, and Mathematics at the University of Washington Bothell as collegiate-level units headed by deans** **ACTION** A-3
Ana Mari Cauce
Kenyon Chan, Chancellor, UW Bothell
4. **Assessment of Student Learning** **INFORMATION** A-4
Jerry Baldasty Senior Vice Provost for Academic and Student Affairs; Professor, Communication
Ed Taylor, Vice Provost and Dean, Undergraduate Academic Affairs; Professor, Education
Catharine Beyer, Research Scientist, UW Office of Educational Assessment
Resat Kasaba, Professor and Director, Jackson School of International Studies
Kerry Naish, Associate Professor, School of Aquatic and Fishery Sciences
Guillermo Romano, Senior, Biochemistry and Public Health
Sarah Boone, Senior, International Studies
5. **Other Business**



**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

Academic and Student Affairs Committee
Regents Ayer (Chair), Cole, Jaech, Jordan

In Joint Session with

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

**February 14, 2013
11:50 a.m. to 12:40 p.m.
UW Tower, Board Room, 22nd Floor**

1. **Budget Update** **INFORMATION** F-8
Paul Jenny, Vice Provost, Office of Planning & Budgeting
2. **Executive Session**
(to discuss with legal counsel representing the University, litigation or potential litigation to which the University is, or is likely to become, a party, when public knowledge regarding the discussion is likely to result in an adverse legal or financial consequence to the University.)
3. **Executive Session**
(to review the performance of public employees.)
4. **Other Business**



AGENDA

BOARD OF REGENTS University of Washington

February 14, 2013

1:00 p.m.

UW Tower, Board Room, 22nd Floor

(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 Harrell

PUBLIC COMMENT PERIOD

University of Washington Board of Regents Memorial to the United States Senate in Support of the Confirmation of Sally Jewell as Secretary of the Interior (Action)

BP-1

V. REPORT OF THE UNIVERSITY PRESIDENT: President Young

VI. CONSENT AGENDA

Approval of Minutes of Meeting of January 10, 2013

Amending Chapter 478-276 WAC, "Governing Access to Public Records"

A-2

UW Bothell Change of Status: Designation of the Schools of Business; Interdisciplinary Arts and Sciences; and Science, Technology, Engineering, and Mathematics at the University of Washington Bothell as collegiate-level units headed by deans

A-3

Grant and Contract Awards Summary – November and December 2012

F-2

UW Medical Center Expansion Phase II: Montlake Tower – Adopt Project Budget; Delegate Authority to Award General Contractor/Construction Manager (GC/CM) Contract

F-5

Burke-Gilman Trail Corridor – Adopt Project Budget, Select Landscape Architect, and Delegate Authority to Award Design and Construction Contracts

F-6

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

Academic and Administrative Appointments (Action) A-1

Assessment of Student Learning (Information only) A-4

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

Budget Update (Information only) F-8

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

Report of Contributions – December 2012 (Information only) F-1

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

UW Medicine Board Annual Compliance Report (Information only) F-4

wəʔəbʔaltx^w (Intellectual House) Phase I – Review Schematic Design
(Information only) F-7**VIII. OTHER BUSINESS****Reports to the Board:****Faculty Senate Chair – Professor Jim Gregory****Student Leaders:****GPSS President – Mr. Adam Sherman****ASUW President – Mr. Evan Smith****ASUW Tacoma President – Ms. Elizabeth Pierini****ASUW Bothell President – Mr. Kevin King****Alumni Association President – Mr. Patrick Crumb****IX. DATE FOR NEXT REGULAR MEETING: Thursday, March 14, 2013****X. ADJOURNMENT**

MINUTES

**BOARD OF REGENTS
University of Washington**

February 14, 2013

The Board of Regents held its regular meeting on Thursday, February 14, 2013, beginning at 1:00 p.m. in the UW Tower Board Room, 22nd Floor. The notice of the meeting was appropriately provided to the public and the media.

CALL TO ORDER

A notice was posted announcing a delay in the start time of the meeting. Regent Harrell called the meeting to order at 1:20 p.m.

ROLL CALL

Assistant Secretary Tennant called the roll: Present were Regents Harrell (chairing), Ayer, Blake, Cole, Jaech, Jewell, Jordan, Shanahan, President Young, Provost Cauce, Ms. Warren, Ms. Goldblatt; ex officio representatives: Professor Gregory, Mr. Sherman, Mr. Smith.

Absent: Regents Simon and Smith, Mr. Crumb

CONFIRM AGENDA

The agenda was confirmed as presented.

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

PUBLIC COMMENT PERIOD

Regent Harrell announced that as required by law, there is a time for public comment at each meeting of the Board of Regents. Three people signed up in advance, and came forward to provide public comment about labor issues. Regent Harrell thanked them for their comments.

Regent Harrell noted how thrilled the University of Washington community was when President Obama announced Sally Jewell as his nominee to the position of Secretary of the Interior. She said this is an unprecedented honor for Sally and the University of Washington, and while members of the Board will miss Sally's presence and leadership, they wish her all the best as she moves to the "other Washington" to serve the country.

Those who viewed the press conference live from the White House watched proudly as Sally received this high honor, along with a hug from President Obama.

A celebration for Sally will be planned in the future. As her nomination moves through the Senate confirmation process, Regent Harrell proposed the approval of a Memorial to the United States Senate in support of Regent Jewell's confirmation as Secretary of the Interior. Regent Harrell read the Memorial and asked for a motion for adoption.

University of Washington Board of Regents Memorial to the United States Senate in Support of the Confirmation of Sally Jewell as Secretary of the Interior (Agenda no. BP-1)

MOTION: Upon the recommendation of the Chair of the Board and the motion made by Regent Cole, seconded by Regent Blake, the Board voted to approve a Memorial in support of Regent Jewell's confirmation as Secretary of the Interior. Regent Jewell abstained.

See Attachment BP-1.

Regent Harrell welcomed Howard Behar, Chair of the UW Foundation Board, who provided the Board with an update.

Mr. Behar said the University is preparing for a multi-year capital fundraising campaign. He listed five elements required by a successful campaign:

- 1) Volunteer leadership participation;
- 2) Fundraising priorities with well-articulated cases for support;
- 3) Prospective donors;
- 4) University executive leadership commitment and staff support; and
- 5) Funding for advancement staff and operations.

He elaborated on volunteer leadership participation, saying the goal is to make "insiders out of outsiders," involving everyone as part of the University and its purpose. Advancement strives to engage people in every way to strengthen their ties to the University and to encourage thinking in terms of "we and us" when speaking on behalf of the University. Mr. Behar cited national data indicating volunteers give significantly more than non-volunteers. He stressed that every level of volunteerism counts and everyone needs to participate. Three volunteer roles have been identified in the traditional thinking about volunteerism. These are "time, talent, and treasure," with each volunteer having a unique role, small or large, to contribute to a fundraising campaign. Each has his or her own responsibility and accountability to support the campaign fully. Mr. Behar said he sees a lot of volunteers in the room! The success of UW's campaign depends on everyone's active engagement and participation. The details on the timing of the campaign will be coming soon.

Regent Harrell thanked Mr. Behar for his report and for all he does for the University. She then invited President Young to deliver his report.

REPORT OF THE UNIVERSITY PRESIDENT: President Young

President Young shared news since the last meeting, beginning with news about UW Regents:

- Regent Jewell was nominated to become U.S. Secretary of the Interior. President Young said she will be balanced and fair in what she does. Provost Cauce presented Regent Jewell with a gift – a magnetic board with a cut-out “Sally” and an accompanying magnetic wardrobe for outdoor activities.
- Board Chair Joanne Harrell has been selected as the 2013 UW Department of Communications Distinguished Alumna and will be honored in June.
- Regent Bill Ayer has been selected to join the Junior Achievement Puget Sound Business Journal Hall of Fame. This award honors outstanding business leaders and entrepreneurs who have made significant contributions to the quality of life in the state of Washington.

The President noted the installation of glass art by renowned artist and UW alumnus Dale Chihuly in the foyer of the UW Tower’s twenty-second floor. The piece commemorates the centennial of UW Professional & Continuing Education and the importance of lifelong learning. A formal dedication ceremony will be held in the future.

The President described his participation in recent meetings and events since the last meeting of the Board.

- Grand opening of the Samuel E. Kelly Ethnic Cultural Center;
- Deans and Vice Presidents/Vice Provosts retreats focused on strategic planning;
- Hosting an event celebrating UW’s partnership and collaboration with the Allen Institute for Brain Science;
- Meeting with local community leaders, including Mayor McGinn, as part of the Community Conversation event;
- UW Medicine Board meeting;
- Continued to meet with Faculty Senate leaders and attend faculty meetings;
- Toured various parts of campus with Provost Cauce to listen to faculty concerns and discuss ways in which the work of the faculty can be enhanced;
- Launched this year’s Next Course Dinner Series where couples host dinners in their homes to provide guests the opportunity to hear from Professors about their work and to experience the great things that go on in the University. About thirty dinners have been held over the past few years, attended by hundreds of people. President and Mrs. Young hosted the hosts at the President’s residence to thank them;
- Attended an event for the renaming of the Boeing Department of Aeronautics & Astronautics, celebrating a deep and long-time commitment to the University by the Boeing family and company;
- Attended the University Faculty Lecture.

At a number of recent speaking engagements, the President noted hearing the appreciation and affection with which the University is held.

The President was pleased to announce the UW once again leads the nation in producing Peace Corps volunteers. A press conference was held on campus to celebrate this milestone. UW was the leader for large schools, Western Washington University was the leader in medium schools, and Gonzaga the leader in small schools, a positive reflection on public-service orientation in the state of Washington.

Cedric Howard, Vice Chancellor at UW Tacoma, received Weyerhaeuser's Living the Dream Award in recognition of his work in the community reflecting the values espoused by Dr. King.

The President introduced the newly selected Dean of the College of Arts & Sciences, Robert Stacey. His appointment, subject to approval by the Regents, is effective on February 15, 2013.

Currently serving as Interim Dean of the College of Arts & Sciences, Dean Stacey has been at the University since 1988 and has held numerous leadership positions. He has chaired the Jewish Studies Program and the Department of History, served as divisional dean for three of the College's four divisions, chaired numerous University-wide committees, and served on the Faculty Senate. His teaching excellence was recognized with a UW Distinguished Teaching Award in 1997. Dean Stacey's biographical information is attached to these minutes.

Dean Stacey said it has been a privilege to be part of the University for the past twenty-five years. Professor Stacey left a position at Yale to come to the University of Washington because he wanted to teach in a public University and believes in the value of education to the University's students. He said he has plans for the College and looks forward to sharing those with the Regents in the future.

The President presented the Regents with tote bags created from the banners displayed to commemorate the University's 150-year celebration. He praised this type of "up-cycling" as representative of the University's deep commitment to the core value of sustainability.

CONSENT AGENDA

Regent Harrell noted there were six items for approval on the consent agenda, and called for a motion.

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

Minutes for the meeting of January 10, 2013

Amending Chapter 478-276 WAC, "Governing Access to Public Records" (Agenda no. A-2)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents adopt the amendments to Chapter 478-276 WAC, "Governing Access to Public Records."

See Attachment A-2.

UW Bothell Change of Status: Designation of the Schools of Business; Interdisciplinary Arts and Sciences; and Science, Technology, Engineering, and Mathematics at the University of Washington Bothell as collegiate-level units headed by deans (Agenda no. A-3)

It was the recommendation of the administration and the Academic and Student Affairs Committee that the status of the Schools of Business; Interdisciplinary Arts and Sciences; and Science, Technology, Engineering, and Mathematics at the University of Washington Bothell, be changed to that of collegiate-level units, each under the leadership of a Dean.

See Attachment A-3.

Grant and Contract Awards Summary – November and December 2012 (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 2012 in the amount of \$86,811,210 and December 2012 in the total amount of \$63,514,860.

See Attachment F-2.

UW Medical Center Expansion Phase II: Montlake Tower – Adopt Project Budget; Delegate Authority to Award General Contractor/Construction Manager (GC/CM) Contract (Agenda no. F-5)

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

- 1) Adopt a project budget of \$186.3 million for the UW Medical Center (UWMC) Expansion Phase II: Montlake Tower; and
- 2) Delegate authority to the President to award a General Contractor/Construction Manager (GC/CM) contract.

See Attachment F-5.

Burke- Gilman Trail Corridor – Adopt Project Budget, Select Landscape Architect, and Delegate Authority to Award Design and Construction Contracts (Agenda no. F-6)

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

- 1) Establish a total project budget of \$6,078,000 for the Burke-Gilman Trail Corridor project;
- 2) Delegate authority to the President to award a design contract to PLACE Studio subject to successful negotiation of an architectural agreement. In the event of an unsuccessful negotiation with PLACE Studio, it was requested that authority be delegated to open negotiations and award a design contract with Berger Partnership, first alternate, and then with Otak, second alternate, if necessary; and
- 3) Delegate authority to the President to award a construction contract, subject to scope, budget, and funding remaining within 10% of the established budget.

See Attachment F-6.

STANDING COMMITTEES

ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Ayer Chair

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

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

Regent Ayer asked Provost Cauce if she would like to highlight any appointments. Provost Cauce highlighted the appointment of Robert Stacey as the Dean of the College of Arts & Sciences. She also mentioned the appointment of Azita Emami, currently Dean of the School of Nursing at Seattle University, as the Dean of the School of Nursing. Her appointment at UW begins on July 1.

MOTION: Upon the recommendation of the administration and the motion made by Regent Ayer, seconded by Regent Jewell, the Board voted to approve the personnel appointments. Regent Jordan abstained from the vote.

See Attachment A-1.

Assessment of Student Learning (Agenda no. A-4) (Information only)

Regent Ayer described the “great” presentation on the assessment of student learning which attempted to answer the question if the UW admits really smart people as freshmen and graduates really smart people as seniors, how does it measure what happens in the interim?

Cathy Beyer, UW’s “guru” of educational assessment began the presentation, pointing out that University-wide assessment with standardized tests would not be helpful,

because assessment needs to be at the department level where learning takes place. The presentation described two aspects of assessment. The first was the traditional approach, involving identifying learning goals, followed by curriculum design and assessment in a continuous cycle. The second was the use of capstone courses to assess learning. The capstone method demonstrates cumulative learning in students' majors, allows measurement of student learning, and also helps the department assess academic progress, and modify curriculum design as needed.

As part of the report Resat Kasaba, Jackson School Director, and Kerry Naish, Associate Professor in the School of Aquatic and Fishery Sciences, along with students, described capstone projects in their areas. Students reported the capstone project was the highlight of their undergraduate experience. The report also highlighted the importance of research for undergraduate students, as capstone courses contain an aspect of research. Regent Ayer said it was inspirational and motivational to hear from students.

During the report Regents heard how important writing skills are, and about the opportunity for UW students to improve their writing skills.

See Attachment A-4.

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

Regent Harrell thanked Regent Shanahan for Chairing the Finance, Audit and Facilities Committee in Regent Smith's stead and invited him to provide a report from the Committee meeting.

Report of Contributions – December 2012 (Agenda no. F-1) (Information only)

The total gifts received in December 2012 was \$4,938,149, the total for the year-to-date is \$170,782,748.

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-4) (Information only)

Regent Shanahan told the Board Dr. Ramsey led UW Medicine's annual report on compliance. Following a review of the executive summary, Sue Clausen, Associate Vice President for Medical Affairs and Chief Compliance Officer, highlighted three areas: 1) recovery audit contractor and progress on rejection rates, 2) data stewardship and information security, and 3) integrating Northwest hospital into the compliance process to assure a system-wide approach for all the UW Medicine facilities.

Regent Shanahan said he found the comments by Rich Jones, Chair of UW Medicine Board Compliance Committee, on the culture of compliance particularly helpful and insightful. He praised the strong emphasis on not just meeting the letter of the law but building a strong culture of continuously improving sense of responsibility.

See Attachment F-4.

Regent Shanahan reported Regents approved the expansion of UW Hospital Montlake Tower, authorizing \$186.3 million to continue the project. Regents requested UW Medicine return to the Board in September to review the budget to determine if the project still remains affordable.

Regents approved the Burke-Gilman Trail Corridor, following a good discussion, emphasizing the sources of funding – twenty-five percent funded by parking collections and the remaining seventy-five percent by federal highway funds. Regents authorized the first phase of the project and agreed to review future phases based on funding.

wəʔəbʔaltx^w (Intellectual House) Phase I – Review Schematic Design (Agenda no. F-7) (Information only)

Sheila Edwards Lange presented the schematic design for the wəʔəbʔaltx^w. Regents viewed the Coast Salish architectural style. The project is on track to break ground in late 2013, with occupancy in the winter of 2015.

See Attachment F-7.

Joint Session

ACADEMIC AND STUDENT AFFAIRS COMMITTEE: Regent Ayer, Chair
FINANCE, AUDIT AND FACILITIES COMMITTEE: Regent Shanahan, Vice Chair

Budget Update (Agenda no. F-8) (Information only)

Regent Shanahan reported on a budget update from Paul Jenny about mitigating risks, including a focus on cyber security. He cited the effort to identify, in a low growth environment with limited funding, where the UW needs to focus to project future growth. Vice Provost Jenny reported the state is about a third of the way through the budgeting process, with a draft budget expected on March 20. Regent Shanahan said this was a lively discussion.

See Attachment F-8.

OTHER BUSINESS: REPORTS TO THE BOARD OF REGENTS

Regent Harrell invited the student leaders from UW Bothell and UW Tacoma to join the Regents at the table.

Faculty Senate Chair: Professor James N. Gregory

Professor Gregory commented on the public comments by members of local union 1488 and those who serve loyally on campus keeping the operations going and the campus clean. He said it is important to faculty that the University honor its contracts with employees. Faculty members are not covered by bargaining contracts and depend on honoring the faculty code and the University's policies. He hopes for resolution of the issues between 1488 and the University.

Professor Gregory added his congratulations to Regent Jewell, saying the faculty would miss her, and that she has been a friend to the University, particularly the faculty and students. He also congratulated his History Department colleague, Bob Stacey, in his new role as Dean,

The Faculty Senate recently held elections. Professor Gregory introduced Professor Jack Lee, from the Department of Mathematics, who will serve as Chair of the Faculty 2013-14, and Vice Chair-elect Kathleen O'Neill, Professor of Law. Marcia Killien, Professor of Nursing, was reelected to the Secretary of the Faculty, and Jim Fridley, College of Forestry and Engineering, will again serve as Faculty Legislative Representative.

Professor Gregory addressed the concept of shared governance, saying faculty are represented by a senate and faculty councils and committees in a number of different areas. Professor Gregory offered words of praise to senior administrators, specifically citing President Young and Provost Cauce's efforts to exercise the responsibilities of shared governance. He acknowledged the shared governance consultative process could slow decision-making down, but said it could potentially save the University from making mistakes.

GPSS President: Mr. Adam Sherman

Mr. Sherman echoed President Young's remarks about UW's success in Peace Corps recruiting, saying UW students are true leaders who make a difference in the world. He noted UW as a graduate program is number three in the nation for Peace Corps volunteers, and that Seattle University was number five on the list of small universities, showing the state of Washington has a lot to be proud of.

During the upcoming Student Lobby Day in Olympia, Friday, February 15, students statewide will travel to Olympia to advocate for funding for higher education. GPSS leaders will focus on restoring funding and limiting tuition increases for graduate and professional students. Other areas of interest are safeguards for new fee-based programs and shifting of state programs to fee-based programs. They are also interested in finding funding solutions for students' childcare needs. They plan to conduct presentation sessions to demonstrate the University's research to legislators. Fifty students attended science communication workshops conducted by GPSS to train them to effectively communicate their research to people outside the science fields.

Mr. Sherman updated the Regents on GPSS efforts to improve alumni relations and establish an alumni network. Despite a setback, he remains optimistic about establishing an endowment to provide more reliable support for GPSS programs.

A primary area of concern for GPSS continues to be fee-based programs. The Student Senate passed a resolution stating the need for greater attention to this issue.

Students have expressed concerns about freezing the level of graduate and professional tuition rates. He said people need to understand the role of high-quality graduate education in the University's reputation.

Mr. Sherman recognized the work of Regent Jordan and ASUW President Smith in helping to establish student college councils. These councils provide the opportunity for students to inform campus decision-making. Councils are in place in Arts & Sciences, Evans School, Law School, Business School, Built Environments, Social Work, and the College of the Environment, and in process in Dentistry.

ASUW President: Mr. Evan Smith

Mr. Smith congratulated Regent Jewell on her nomination, and said he was inspired about her mention of a "call to public service" during her remarks. She is a role model to him, and other students, in the areas of sustainability and economic growth.

ASUW is currently reviewing its budget to make sure it serves the needs of students. Upcoming programming includes the annual production of The Monologues, a Queer Student Commission drag show, and the Everybody, Every Body Fashion Show celebrating healthy body image.

Mr. Smith congratulated Dean Stacey on his appointment, specifically praising his commitment to involving and engaging students.

At a recent ASUW Senate meeting, student leaders approved a resolution supporting state-funded faculty salary increases. The students also discussed tuition rates in what he termed a contentious debate.

Regent Cole encouraged students to look at the entire financial model – including sources of financial aid – in their discussions about tuition rates, state funding, educational quality, and faculty salaries.

Regent Jordan thanked Dean Stacey for his leadership in establishing and promoting college councils and the importance of the role of students in the budget process.

ASUW Tacoma President: Ms. Elizabeth Pierini

Ms. Pierini thanked Regent Jaech for visiting the Tacoma campus and meeting with students. She told the Regents she is attending college funded by the GET program and it is of value to her.

UW Tacoma recently announced a partnership with the YMCA to build a facility housing a student union and a YMCA, to open in 2015. The building would be between fifty and seventy thousand square feet, at a total cost of \$20 million. The UW Tacoma Student Activities Fee Committee has been setting aside funds to build a student union, and would share operating costs with the YMCA. This would continue to create “porous walls” between the campus and the community. The facility would offer student employment and engagement opportunities, and provide workout facilities.

Ms. Pierini reported, in conjunction with their advocacy efforts, ASUW Tacoma is focusing on its veteran constituents. With Joint Base Lewis-McChord nearby many veterans attend UW Tacoma. The students are monitoring bills related to veterans and in-state tuition.

ASUW Tacoma hosted a Town Hall style meeting featuring the Chair of their Faculty Senate, the Chancellor, the Director of Student Involvement, and Ms. Pierini. The panel members answered questions about many issues, including the effect of differential tuition on students.

ASUW Bothell President: Mr. Kevin King

Mr. King did not attend the meeting.

Alumni Association President: Mr. Patrick Crumb

In Mr. Crumb’s absence, Past President Susan Wilson Williams was invited to provide a report from the Alumni Association.

Ms. Wilson Williams reported UW Impact joined forces with WSU Impact and Western Washington University Advocates for a targeted “alumni week of action” during the week of February 4. The week was a big success for UW Impact with 643 verified contacts to legislators consisting of 569 email messages, 41 phone calls, and 33 letters. Alumni hosted a community conversation in Tacoma attended by Regent Simon and UWAA Trustee John Harrison. UW Impact will co-host a reception in Olympia on Regents and Trustees Day, Monday, February 25.

Ms. Wilson Williams discussed Husky Career Network, the UWAA’s longstanding online career resource for students and alumni. In January, the UWAA launched a campaign to increase alumni volunteers for the network with the goal of 1,000 new volunteers by the end of the year. Alumni volunteer help students and fellow alums with advice as they navigate their academic and career experience. It is one of the most meaningful ways alumni can help strengthen the UW community. To learn more about Husky Career Network, Ms. Wilson Williams directed Regents to the “Careers” tab at UWAlum.com.

Ms. Wilson Williams highlighted a recent UWAA event held in Los Angeles for “LA Huskies.” Over two hundred alumni living in Southern California attended a group tour of the new Space Shuttle Endeavor exhibit at the California Science Center. Following

the tour, UW engineering alumnus Bobak Ferdowsi, '01, joined the group for a special reception. Mr. Bobak, known as NASA's "Mohawk Guy" for his notable hairstyle, was the Flight Director for NASA's recent Mars Rover mission. The day was completed with the group's attendance at the UW men's basketball game against USC.

Ms. Wilson Williams reported one of her final responsibilities as UWAA Past President is to chair the Nominations Committee to select future Association officers and trustees. She asked Regents for referrals for potential Board members, saying UWAA looks forward to welcoming the next generation of leadership in the near future.

DATE FOR NEXT MEETING

The next regular meeting of the Board of Regents will be held on Thursday, March 14, 2013, at UW Bothell.

ADJOURNMENT

The regular meeting was adjourned at 2:45 p.m.



Joan Goldblatt
Secretary of the Board of Regents

Approved at the meeting of the Board on March 14, 2013.

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.

Attachments

2012 Facts, UW Office of the Vice Provost for Academic Personnel
Historical Overview 2002-2013, Annual Profile of Professorial Faculty
Academic and Administrative Appointments



The University of Washington acts on its great capacity and ambition for addressing vital issues, motivated by the power of shared concern, as is characteristic of our region and the people who join it.

Discover what's next.
It's the Washington Way.

ACADEMIC PERSONNEL

Mission

The Office of the Vice Provost for Academic Personnel (AP) serves as the institutional portal for academic personnel administration.

Vision

We bring clear institutional perspective and guidance to school, college, and campus administrations while maintaining and advancing the careers of faculty, librarians, and academic staff.

Customer Focus

- Institutional support and expertise for recruitment, appointment, on-boarding and reporting of academic personnel
- Retention, advancement and career transitions for faculty, librarians, and academic staff
- Monitor and uphold the high standards for ethics, integrity and compliance related to academic personnel administration

Age Information by Rank as of 10/31/2012

	Median	Min	Max
Professorial Faculty	51	27	86
Professor	59	37	86
Associate Professor	49	32	76
Assistant Professor	39	27	69
Instructional Faculty	54	28	78
Principal Lecturer	59	45	78
Senior Lecturer	58	29	74
Lecturer	46	28	78

Faculty Statistics by Rank as of 10/31/2012

	Male	Female	American Indian	Asian	Black	Hispanic	Pacific Islander	White	Multiple Race	Not Reported
Professorial Faculty	2495	1473	11	538	73	143	1	3044	49	109
Professor	1305	490	3	162	22	34	0	1549	9	16
Associate Professor	662	533	4	166	24	57	0	900	21	23
Assistant Professor	528	450	4	210	27	52	1	595	19	70
Instructional Faculty	163	225	1	37	4	15	1	312	5	13
Principal Lecturer	7	14	0	1	0	1	0	18	1	0
Senior Lecturer	82	103	1	16	1	5	0	161	1	0
Lecturer	74	108	0	20	3	9	1	133	3	13
Sub Total Faculty**	2658	1698	12	575	77	158	2	3356	54	122

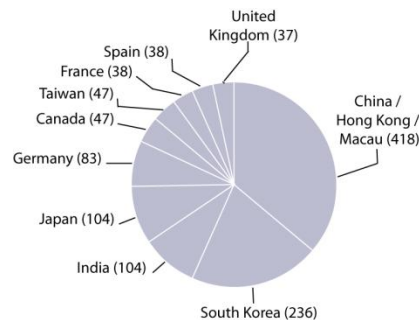
**The total number of academic personnel is 17,727. Appointments excluded from the above data include clinical faculty (5,653), affiliate faculty (2,736), and other faculty and academic personnel (4,982).

Faculty Profile by Rank and Track as of 10/31/2012

	Tenure	WOT	Research
Professorial Faculty	2036	1559	373
Professor	1114	582	99
Associate Professor	566	483	146
Assistant Professor	356	494	128

INTERNATIONAL SCHOLARS

Number of Scholars by Country 2012



Number of Scholars by Visa Type

Total J-1	1221
Total H-1B	347
Total TN	35
Total Visas	1603

Number of Promotions Awarded in 2012

Professional Promotions	201
Associate Professor to Professor	75
Assistant to Associate Professor	126
Instructional Promotions	8
Senior Lecturer to Principal Lecturer	7
Lecturer to Senior Lecturer	1
Clinical Promotions	161
Affiliate Promotions	38
Total Promotions	408

Quarters of Paid Professional Leave Used by School/College/Campus 2012-2013

Arts & Sciences	132
Built Environments	12
Business School	7
Dentistry	4
Education	14
Engineering	26
Environment	24
Information School	3
Law	11
Medicine	17
Nursing	0
Pharmacy	3
Public Affairs	5
Public Health	13
Social Work	10
UW, Bothell	24
UW, Tacoma	32
TOTAL	337

New Hire Statistics by Rank and Track as of 10/31/2012

	Male	Female	American Indian	Asian	Black	Hispanic	Pacific Islander	White	Multiple Race	Not Reported
Professional Faculty	137	106	0	38	1	17	0	140	7	40
Professor	18	3	0	3	0	0	0	14	0	4
Tenure	8	1	0	0	0	0	0	6	0	3
WOT	9	1	0	2	0	0	0	7	0	1
Research	1	1	0	1	0	0	0	1	0	0
Associate Professor	13	17	0	3	1	1	0	20	0	5
Tenure	4	6	0	2	0	1	0	6	0	1
WOT	8	8	0	1	1	0	0	10	0	4
Research	1	3	0	0	0	0	0	4	0	0
Assistant Professor	106	86	0	32	0	16	0	106	7	31
Tenure	36	28	0	5	0	10	0	32	1	16
WOT	54	49	0	22	0	3	0	62	4	12
Research	16	9	0	5	0	3	0	12	2	3
Instructional Faculty	28	32	0	2	0	4	0	48	0	6
Senior Lecturer	7	10	0	0	0	2	0	15	0	0
Lecturer	21	22	0	2	0	2	0	33	0	6
Total Faculty	165	138	0	40	1	21	0	188	7	46

New Hire Statistics by Year – Professorial Faculty

Year	Male	Female	American Indian	Asian	Black	Hispanic	Pacific Islander	White	Multiple Race	Not Reported
2012-2013	137	106	0	38	1	17	0	140	7	40
	56%	44%	0%	16%	0%	7%	0%	58%	3%	16%
2011-2012	116	90	0	29	8	8	Not Reported	115	3	43
	56%	44%	0%	14%	4%	4%	Not Reported	56%	1%	21%
2010-2011	138	95	1	34	4	5	Not Reported	154	3	32
	59%	41%	0%	15%	2%	2%	Not Reported	66%	1%	14%

Resignation Statistics by Year – Professorial Faculty

Year	Male	Female	American Indian	Asian	Black	Hispanic	Pacific Islander	White	Multiple Race	Not Reported
2011-2012	54	37	0	15	1	8	0	64	0	3
	59%	41%	0%	16%	1%	9%	0%	70%	0%	3%
2010-2011	63	44	1	20	7	4	Not Reported	71	0	4
	59%	41%	1%	19%	6%	4%	Not Reported	66%	0%	4%
2009-2010	53	34	0	18	1	1	Not Reported	61	0	6
	61%	39%	0%	21%	1%	1%	Not Reported	70%	0%	7%

Separation Statistics by Year and Reason – Professorial Faculty

Year	Total	Resigned	Retired	Denied Promotion/ Non-Renewed	Deceased
2011-2012	159	91	60	5	3
2010-2011	205	107	92	2	4
2009-2010	151	87	47	8	9

Historical Overview 2002-2013

Annual Profile of Professorial Faculty

Academic Year	Total Professorial Faculty	New Professorial Faculty
2012 - 13	3968 (TT-2036 WOT-1559 R-373)	243
2011 - 12	3889 (TT-2028 WOT-1491 R-370)	206
2010 - 11	3883 (TT-2062 WOT-1443 R-378)	233
2009 - 10	3823 (TT-2060 WOT-1376 R-387)	214
2008 - 09	3756 (TT-2068 WOT-1305 R-383)	285
2007 - 08	3652 (TT-2039 WOT-1220 R-393)	249
2006 - 07	3602 (TT-2042 WOT-1172 R-388)	249
2005 - 06	3568 (TT-1980 WOT-1198 R-390)	220
2004 - 05	3534 (TT-1961 WOT-1182 R-391)	198
2003 - 04	3490 (TT-1946 WOT-1152 R-392)	148
2002 - 03	3417 (TT-1939 WOT-1113 R-365)	156

Professorial faculty includes Assistant Professors, Associate Professors, and Professors appointed in the following appointment tracks: 1) Tenure Track/Tenure (TT), 2) Without Tenure by Reason of Funding (WOT), and 3) Research (R).

Updated January 2013

ADMINISTRATIVE APPOINTMENTS

College of Arts and Sciences

College of Arts and Sciences

Stacey, Robert Charles

Dean, Arts and Sciences, effective 2/15/2013

Continuing Appointment:

- Professor, History

Degrees:

- PhD, 1983, Yale University
- MPHIL, 1979, Yale University
- MA, 1978, Yale University
- BA, 1975, Williams College

School of Art

Walker, James S.

Acting Director, Art, effective 12/16/2012

Continuing Appointments:

- Professor, Art
- Associate Director, Art

Degrees:

- MFA, 1983, Rhode Island School of Design
- BA, 1981, University of Washington
- BFA, 1981, University of Washington

School of Dentistry

Department of Pediatric Dentistry

Slayton, Rebecca Lynn

Chair, Pediatric Dentistry, effective 3/1/2013

Degrees:

- PhD, 1998, University of Iowa
- DDS, 1992, University of Iowa
- MS, 1983, University of Iowa
- BA, 1980, Earlham College

School of Medicine

School of Medicine

Eacker, Anne Marie

Associate Dean, School of Medicine, effective 1/7/2013

Continuing Appointment:

- Associate Professor without Tenure, Medicine

Degrees:

- MD, 1997, University of Washington
- BA, 1987, Whitman College

School of Nursing

School of Nursing

Emami, Azita

Dean, Nursing, effective 7/1/2013

Degrees:

- PhD, 2000, Karolinska Institute (Sweden)
- MNS, 1994, Karolinska Institute (Sweden)
- Registered Nurse, 1993, Karolinska Institute (Sweden)

ENDOWED APPOINTMENTS

College of Built Environments

Department of Urban Design and Planning

Rolfe, George Richard

**Bob Filley Endowed Professorship in Real Estate Studies,
effective 3/16/2013**

Continuing Appointment:

- Associate Professor, Urban Design and Planning

Degrees:

- Master Of Architecture, 1968, University of Pennsylvania
- MCP, 1968, University of Pennsylvania
- BArch, 1961, Iowa State University

College of Arts and Sciences

Department of Psychology

Lengua, Liliana Josephine

Earl R. Carlson Endowed Professorship, effective 9/16/2012

Continuing Appointment:

- Professor, Psychology

Degrees:

- PhD, 1994, Arizona State University
- BA, 1988, University of California (Irvine)

Department of Scandinavian Studies

Smidchens, Guntis I.

**The Kazickas Family Endowed Professorship in Baltic Studies,
effective 1/1/2013**

Continuing Appointments:

- Associate Professor, Scandinavian Studies
- Adjunct Associate Professor, Slavic Languages and Literatures

Degrees:

- PhD, 1996, Indiana University
- MA, 1988, Indiana University
- BA, 1985, Northwestern University

College of Engineering

Department of Computer Science and Engineering

Guestrin, Carlos Ernesto

**Amazon Professorship in Machine Learning, effective
12/16/2012**

Degrees:

- PhD, 2003, Stanford University
- MSC, 2000, Stanford University
- Engineer's Degree, 1998, University of Sao Paulo

College of the Environment

School of Environmental and Forest Sciences

Bakker, Jonathan

**David R. M. Scott Endowed Professorship in Forest Resources,
effective 3/1/2013**

Continuing Appointment:

- Associate Professor, School of Environmental and Forest Sciences

Degrees:

- PhD, 2005, Northern Arizona University
- MSC, 1996, University of Regina (Saskatchewan)
- BA, 1994, Dordt College

Doty, Sharon L.

**Byron and Alice Lockwood Endowed Professorship in Forest
Resources, effective 3/1/2013**

Continuing Appointment:

- Associate Professor, School of Environmental and Forest Sciences

Degrees:

- PhD, 1995, University of Washington
- BS, 1989, University of California (Davis)

Lawler, Joshua John

Denman Endowed Professorship in Sustainable Resource Sciences, effective 3/1/2013

Continuing Appointment:

- Associate Professor, School of Environmental and Forest Sciences

Degrees:

- PhD, 2000, Utah State University
- MS, 1997, Utah State University
- BA, 1993, Bowdoin College

Marzluff, John Mark

James W. Ridgeway Professorship in Forest Resources, effective 3/1/2013

Continuing Appointment:

- Professor, School of Environmental and Forest Sciences

Degrees:

- PhD, 1987, Northern Arizona University
- MSC, 1983, Northern Arizona University
- BSC, 1980, University of Montana

School of Medicine

Department of Medicine

Disis, Mary Lenora

Athena Distinguished Professorship of Breast Cancer Research, effective 5/1/2013

Continuing Appointments:

- Professor without Tenure, Medicine
- Adjunct Professor, Obstetrics and Gynecology
- Adjunct Professor, Pathology
- Associate Dean, School of Medicine

Degrees:

- MD, 1986, University of Nebraska
- MS, 1986, University of Nebraska
- BS, 1981, Creighton University

School of Nursing

Department of Biobehavioral Nursing and Health Systems

Emami, Azita

Robert G. and Jean A. Reid Endowed Deanship in Nursing, effective 7/1/2013

Degrees:

- PhD, 2000, Karolinska Institute (Sweden)
- MNS, 1994, Karolinska Institute (Sweden)
- Registered Nurse, 1993, Karolinska Institute (Sweden)

Department of Family and Child Nursing

Lewis, Frances Marcus

**University of Washington Medical Center Endowed
Professorship in Nursing Leadership, effective 1/1/2013**

Continuing Appointment:

- Professor, Family and Child Nursing

Degrees:

- PhD, 1977, Stanford University
- MA, 1974, Stanford University
- MA, 1973, Stanford University
- MN, 1968, University of Washington
- BSN, 1967, Loretto Heights College

NEW APPOINTMENTS

College of Arts and Sciences

Department of Germanics

Rosch, Gertrud Maria

Visiting Professor, Germanics, effective 3/16/2013

Prior Non-UW Appointment:

- Professor and Chair, German as Foreign Language
Department, Heidelberg University, Germany

Degree:

- PhD, 1989, University of Regensburg (Germany)

Department of History

Urbanski, Charity Leah

Lecturer, Full-time, History, effective 12/16/2012

Prior UW Appointment:

Lecturer Part-Time, History

Degrees:

- PhD, 2007, University of California (Berkeley)
- MA, 1999, University of California (Berkeley)
- BA, 1996, University of California (Berkeley)

Department of Physics

Yoo, Kyung-Hwa

Visiting Professor, Physics, effective 1/1/2013

Prior Non-UW Appointment:

Professor, Department of Physics, Yonsei University,
Korea

Degrees:

- PhD, 1985, University of Illinois (Urbana)
- MS, 1984, University of Illinois (Urbana)
- BS, 1982, Yonsei University (Korea)

Department of Speech and Hearing Sciences

Miller, Christi Wise

**Lecturer, Full-time, Speech and Hearing Sciences, effective
1/1/2013**

Degrees:

- PhD - Expected, 2013, University of Washington
- MA, 2001, University of Texas (Austin)
- BS, 1998, University of Texas (Austin)

School of Dentistry

Department of Pediatric Dentistry

Slayton, Rebecca Lynn

Professor, Pediatric Dentistry, effective 3/1/2013

Prior Non-UW Appointment:

Professor and Chair, Pediatric Dentistry, University of
Iowa

Degrees:

- PhD, 1998, University of Iowa
- DDS, 1992, University of Iowa
- MS, 1983, University of Iowa
- BA, 1980, Earlham College

College of Engineering

Department of Computer Science and Engineering

Guestrin, Carlos Ernesto

**Associate Professor, Computer Science and Engineering,
effective 12/16/2012**

Prior UW Appointment:

Acting Associate Professor, Computer Science and
Engineering

Degrees:

- PhD, 2003, Stanford University
- MSC, 2000, Stanford University
- Engineer's Degree, 1998, University of Sao Paulo

Taskar, Benjamin

**Associate Professor, Computer Science and Engineering,
effective 3/16/2013**

Prior UW Appointment:

Visiting Associate Professor, Computer Science and
Engineering

Degrees:

- PhD, 2005, Stanford University
- MS, 2000, Stanford University
- BS, 1998, Stanford University

Department of Human Centered Design and Engineering

Rosner, Daniela

**Assistant Professor, Human Centered Design and Engineering,
effective 9/16/2013**

Degrees:

- PhD, 2008, University of California (Berkeley)
- MS, 2006, University of Chicago
- BFA, 2003, Rhode Island School of Design

School of Law

School of Law

Covington, William Edward

Senior Lecturer, Full-time, Law, effective 1/1/2013

Prior UW Appointment:

Assistant Professor without Tenure, Law

Degrees:

- JD, 1977, University of Michigan
- BA, 1972, New York University

Riedinger, Jeffrey

Visiting Professor, Law, effective 9/1/2013

Degrees:

- PhD, 1991, Princeton University
- MA, 1989, Princeton University
- JD, 1980, University of Washington
- BA, 1977, Dartmouth College

School of Medicine

Department of Global Health

Barnabas, Ruanne Vanessa

Assistant Professor without Tenure, Global Health, effective 1/2/2013

Prior UW Appointment:

Acting Instructor, Global Health

Degrees:

- PhD, 2005, University of Oxford (UK)
- MSC, 2000, University of Oxford (UK)
- MB ChB, 1997, University of Capetown (South Africa)

Hanlon, Michael

Assistant Professor without Tenure, Global Health, effective 1/2/2013

Prior UW Appointment:

Lecturer Full-Time, Global Health

Degrees:

- PhD, 2010, University of Washington
- MA, 2008, University of Washington
- BS, 1994, Oregon State University

Vos, Eric Theo

Professor without Tenure, Global Health, effective 2/1/2013

Prior Non-UW Appointment:

Professor, and Head, Centre for Burden of Disease and Cost-Effectiveness, School of Population Health, University of Queensland

Degrees:

- PhD, 2006, Erasmus University (Netherlands)
- MSC, 1994, London School of Hygiene & Tropical Medicine (UK)
- MD, 1978, University of Groningen (Netherlands)

Department of Medicine

Barnabas, Ruanne Vanessa

Assistant Professor without Tenure, Medicine, effective 1/2/2013

Prior UW Appointment:

Acting Instructor, Global Health

Degrees:

- PhD, 2005, University of Oxford (UK)
- MSC, 2000, University of Oxford (UK)
- MB ChB, 1997, University of Capetown (South Africa)

Dombrowski, Julia Cook

**Assistant Professor without Tenure, Medicine, effective
1/2/2013**

Prior UW Appointment:

Acting Instructor, Medicine

Degrees:

- MD, 2004, Duke University
- MPH, 2002, University of North Carolina (Chapel Hill)
- BS, 1998, University of New Mexico

Merrill, Joseph Owen

**Associate Professor without Tenure, Medicine, effective
1/2/2013**

Prior UW Appointment:

Clinical Assistant Professor, Salaried, Medicine

Degrees:

- MPH, 1998, University of Washington
- MD, 1990, Yale University
- BA, 1982, Wesleyan University

Department of Neurological Surgery

Shain, William

**Professor without Tenure, Neurological Surgery, effective
2/1/2013**

Prior UW Appointment:

Acting Professor, Neurological Surgery

Degrees:

- PhD, 1972, Temple University
- BA, 1966, Amherst College

Department of Pediatrics

Chan, Titus Tai-Kong

**Assistant Professor without Tenure, Pediatrics, effective
2/18/2013**

Degrees:

- MPP, 2012, University of Utah
- MSC, 2009, University of Utah
- MD, 2003, University of Alberta (Canada)
- Bachelor of Medicine (BMed), 2002, University of Alberta (Canada)

Department of Psychiatry and Behavioral Sciences

Lostutter, Ty William

Assistant Professor without Tenure, Psychiatry and Behavioral Sciences, effective 2/1/2013

Prior UW Appointment:

Acting Instructor, Psychiatry and Behavioral Sciences

Degrees:

- PhD, 2009, University of Washington
- MS, 2008, University of Washington
- BS, 1996, University of Washington

Department of Radiology

Porrino, Jack A. Jr.

Assistant Professor without Tenure, Radiology, effective 7/1/2013

Degrees:

- MD, 2005, University of Nevada
- BS, 2001, University of Nevada

Department of Surgery

Quiroga, Elina

Assistant Professor without Tenure, Surgery, effective 2/1/2013

Prior UW Appointment:

Acting Assistant Professor, temporary, Surgery

Degree:

- MD, 1998, University of Buenos Aires (Argentina)

School of Nursing

Department of Biobehavioral Nursing and Health Systems

Emami, Azita

Professor, Biobehavioral Nursing and Health Systems, effective 7/1/2013

Prior Non-UW Appointment:

Professor and Dean of the College of Nursing, Seattle University

Degrees:

- PhD, 2000, Karolinska Institute (Sweden)
- MNS, 1994, Karolinska Institute (Sweden)
- Registered Nurse, 1993, Karolinska Institute (Sweden)

Daniel J. Evans School of Public Affairs

Daniel J. Evans School of Public Affairs

Suarez, David F.

Associate Professor, Public Affairs, effective 9/16/2013

Prior Non-UW Appointment:

Assistant Professor, School of Public Policy, University of Southern California

Degrees:

- PhD, 2006, Stanford University
- MA, 2002, Stanford University
- BA, 1996, University of California (Davis)

School of Public Health

Department of Global Health

Barnabas, Ruanne Vanessa

Assistant Professor without Tenure, Global Health, effective 1/2/2013

Prior UW Appointment:

Acting Instructor, Global Health

Degrees:

- PhD, 2005, University of Oxford (UK)
- MSC, 2000, University of Oxford (UK)
- MB ChB, 1997, University of Capetown (South Africa)

Hanlon, Michael

Assistant Professor without Tenure, Global Health, effective 1/2/2013

Prior UW Appointment:

Lecturer Full-Time, Global Health

Degrees:

- PhD, 2010, University of Washington
- MA, 2008, University of Washington
- BS, 1994, Oregon State University

Vos, Eric Theo

Professor without Tenure, Global Health, effective 2/1/2013

Prior Non-UW Appointment:

Professor, and Head, Centre for Burden of Disease and Cost-Effectiveness, School of Population Health, University of Queensland

Degrees:

- PhD, 2006, Erasmus University (Netherlands)
- MSC, 1994, London School of Hygiene & Tropical Medicine (UK)
- MD, 1978, University of Groningen (Netherlands)

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Amending Chapter 478-276 WAC, "Governing Access to Public Records"RECOMMENDED ACTION

It is the recommendation of the administration and the Academic and Student Affairs Committee that the Board of Regents adopt the amendments to Chapter 478-276 WAC, "Governing Access to Public Records."

BACKGROUND

With the exception of minor housekeeping changes, the University of Washington has not revised Chapter 478-276 WAC since 2001. Since that time, case law and statutory developments have clarified various aspects of the state of Washington's Public Records Act. In addition, the state Legislature passed new guidelines for the hours of operation at state agency public records offices (RCW 42.56.090) in 2009. These proposed amendments address not only those external influences but also the public's access to the University's electronic records, and a more comprehensive guide to current office practices.

As required by the Washington Administrative Code rule-making process, the public was notified that a hearing would be held on December 7, 2012 to consider these proposed rules amendments via notices in the *Washington State Register*, *The Daily*, *UW Today*, and included in various online campus calendars. The hearing officer's report is attached.

REVIEW AND APPROVALS

These proposed revisions have been reviewed by the Attorney General's Office, and endorsed by the Office of the President, the Office of the Associate Vice President for Media Relations and Communications, and the Office of Public Records and Open Public Meetings.

Attachments

1. Hearing Officer's Report
2. Current Chapter 478-276 WAC, "Governing Access to Public Records"
3. Proposed Amendments to Chapter 478-276 WAC, "Governing Access to Public Records."

Rules Coordination Office

January 16, 2013

President Michael K. Young
Office of the President
University of Washington

Dear President Young,

Pursuant to your delegation, I served as the Hearing Officer to receive public comment on the University of Washington's proposed amendments to Chapter 478-276 WAC, "Governing Access to Public Records." This hearing was held on December 7, 2012 at 12:00 Noon in Room 142 of Gerberding Hall at the University of Washington, Seattle campus. I am pleased to provide this report on the hearing and all written comments received.

As required by the Administrative Procedure Act, the University filed the following notices with the Washington State Office of the Code Reviser: a Preproposal Statement of Inquiry (published as WSR 10-04-104); a Proposed Rule Making (published as WSR 12-21-047); and a continuation of that Proposed Rule Making, moving the intended adoption date to February 14, 2013 (published as WSR 13-01-035). Notices that a hearing would be held were published in The Daily and in UW Today on November 29, 2012. Notice of this public hearing was also included in the UW Seattle online events calendar. The written comment period began February 17, 2010 and ended December 7, 2012.

Public Comment

Three individuals provided testimony at the hearing citing concerns with the proposed amendments; no written comments were received. Two of the individuals who testified were UW employees and the third represented the Allied Daily Newspapers of Washington. A summary of the comments are as follows:

General Concerns:

- That the amendments, while creating greater efficiency for the UW Office of Public Records and Open Public Meetings (hereafter Office), makes requesting records more challenging for the requestor.
- That these rules don't block malicious individuals from using the Public Records Act as a means to drive up administrative costs to various University departments in order to comply with records requests that serve no purpose.

Specific Concerns:

- WAC 478-276-080—That a requestor's name be provided in order to receive records. The commenter felt that this was too narrow, that it didn't address whether a representative of a requestor might request records instead. [The Office explained that a named representative would be treated equally with a named individual, but a name was needed for contact purposes.]

ATTACHMENT 1

- WAC 478-276-085(3); WAC 478-276-095(7); and WAC 478-276-105(2)—That in each of these instances (responding to a request for clarification of records by the Office, rescheduling a missed viewing appointment with the Office; and closing a request based on no response from the requestor), five business days was inadequate and that the timeframe needed to be longer for requestors to respond to the Office. [The Office has since amended the timeframe in each these three instances to ten business days each.]
- WAC 478-276-085(6)—That the section addressing electronic records did not make clear that the UW would provide electronic documents in common formats, useful to the requestor. Also, there was concern that this section did not fully explain when customization of records would be required. Examples were recommended. [The Office has since amended this section by adding an explanatory sentence that notes because of the wide variety of electronic records formats maintained by the UW, electronic records are handled on a case-by-case basis.]
- WAC 478-276-095(5)—That a requestor who wanted to retain specific records after viewing an installment of an ongoing request would “tip their hand” to the Office as to what they were interested in pursuing further, since each installment would be subject to disposition independently.
- WAC 478-276-100—That this section, regarding the copying of records, did not reiterate that inspection of public records was free. [This is noted in WAC 478-276-050.]
- WAC 478-276-100(2)—That the UW might allow any free copies when the cost of public records requests to the institution was prohibitively expensive to individual UW departments. The commenter thought the word “may” should to be changed to “will” in the following sentence: “The university *may* charge for providing copies of public records.”
- WAC 478-276-105—That separate installments of a single request handled independently will be problematic for the requestor and the Office. Also, concern that the method of notice to the requestor from the Office (usually by email) might be lost in cyberspace, and that a certified letter might be less problematic.
- WAC 478-276-110(4)—That this section, regarding enjoining inspection, appeared to give too much authority to the UW and/or was stated too broadly. Yet, the concern from another commenter was that this section did not appear to go far enough to prevent damage to any person or vital governmental functions in a proactive manner.
- WAC 478-276-120(2)—The commenter thought the word “judicial” should be replaced with “agency” in the following sentence: “Such approval or disapproval shall constitute final university action for purposes of *judicial* review.”

Analysis and Recommendation

The amendments to Chapter 478-276 WAC are proposed to better conform to current case law and statutory developments since the last complete revision to

the chapter in 2001, and also, to reflect the current business practices of the Office.

Following the public hearing, the Office reviewed the testimony noted above with the Attorney General's Office. This resulted in the addition of an explanatory sentence being added to WAC 478-276-085(6) regarding the handling of electronic records, and the expansion of the Office's timeframe from five to ten business days for requestors to respond to the Office in specific circumstances, noted in WAC 478-276-085(3), 478-276-095(7), and 478-276-105(2). In all other cases, the consensus of the Attorney General's Office and the UW Office was to retain the WAC rules as originally proposed. In some cases the modifications sought lay outside the authority of the Public Records Act or the authority of the University, and in other cases the rules were considered more accurate or appropriate as originally drafted.

With the modification of the chapter as noted above, it is my recommendation that the Board of Regents adopt the amendments to Chapter 478-276 WAC as provided on the amended copy (marked OTS-5043.3).

In addition to the extensive review by the Attorney General's Office these WAC rules are endorsed by the Associate Vice President, Media Relations and Communications, and the Director, Office of Public Records and Open Public Meetings.

An audio recording of the hearing has been deposited with the Secretary of the Board of Regents.

Sincerely,



Rebecca Goodwin Deardorff
Director of Rules Coordination

c: Ms. Lenina Arenas-Fuentes
Mr. Norm Arkans
Ms. Joan Goldblatt
Mr. Jack Johnson
Mr. Rolf Johnson
Ms. Eliza Saunders

Chapter 478-276 WAC

GOVERNING ACCESS TO PUBLIC RECORDS

WAC Sections

[478-276-010](#) Purpose.

[478-276-020](#) Definitions.

[478-276-050](#) Public records available.

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[478-276-080](#) Requests for public records.

[478-276-090](#) Commercial purposes.

[478-276-100](#) Inspection of public records -- Copying -- Costs.

[478-276-105](#) Protection of public records.

[478-276-110](#) Exemptions -- Court protection.

[478-276-120](#) Review of denials of public records requests.

[478-276-140](#) Public records and open public meetings office -- Address.

DISPOSITIONS OF SECTIONS FORMERLY CODIFIED IN THIS CHAPTER

478-276-030 Description of central and field organization of the University of Washington. [Order 73-5, § 478-276-030, filed 5/29/73.] Repealed by 97-14-004, filed 6/19/97, effective 7/20/97. Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW.

478-276-040 General course and method of government. [Statutory Authority: RCW [28B.20.130](#). 91-10-031, § 478-276-040, filed 4/24/91, effective 5/25/91. Statutory Authority: RCW [28B.20.130](#)(1). 81-20-049 (Order 81-2), § 478-276-040, filed 10/2/81; Order 73-5, § 478-276-040, filed 5/29/73.] Repealed by 97-14-004, filed 6/19/97, effective 7/20/97. Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW.

478-276-130 University records. [Statutory Authority: RCW [28B.20.130](#)(1). 81-20-049 (Order 81-2), § 478-276-130, filed 10/2/81; Order 73-5, § 478-276-130, filed 5/29/73.] Repealed by 91-10-031, filed 4/24/91, effective 5/25/91. Statutory Authority: RCW [28B.20.130](#).

478-276-010 Purpose.

This chapter is enacted by the board of regents of the University of Washington in compliance with the provisions of chapter [42.56](#) RCW, "Public records."

[Statutory Authority: RCW [28B.20.130](#), 2005 c 274, and Executive Order 97-02. 06-17-131, § 478-276-010, filed 8/22/06, effective 9/22/06. Statutory Authority: RCW [28B.20.130](#). 91-10-031, § 478-276-010, filed 4/24/91, effective 5/25/91. Statutory Authority: RCW [28B.20.130](#)(1). 81-20-049 (Order 81-2), § 478-276-010, filed 10/2/81; Order 73-5, § 478-276-010, filed 5/29/73.]

478-276-020 Definitions.

(1) "Public record" includes any writing containing information relating to the conduct of government or the performance of any governmental or proprietary function prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.

(2) "Writing" means handwriting, typewriting, printing, photostating, photographing, and every other means of recording any form of communication or representation, including, but not limited to, letters, words, pictures, sounds, or symbols, or combination thereof, and all papers, maps, magnetic or paper tapes, photographic films and prints, motion picture, film and video recordings, magnetic or punched cards, discs, drums, diskettes, sound recordings, and other documents including existing data compilations from which information may be obtained or translated.

[Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW. 01-11-136, § 478-276-020, filed 5/23/01, effective 6/23/01; Order 73-5, § 478-276-020, filed 5/29/73.]

478-276-050 Public records available.

All public records of the University of Washington, as defined in WAC [478-276-020](#), are deemed to be available for public inspection and copying pursuant to these rules, except as otherwise provided by law.

[Order 73-5, § 478-276-050, filed 5/29/73.]

478-276-060 Public records officer.

For purposes of compliance with chapter [42.56](#) RCW, the person designated as public records officer for the University of Washington is the director of public records and open public meetings. Duties for this individual shall include but not be limited to: The implementation of the university's rules and regulations regarding release of public records, coordinating the staff of the public records and open public meetings office in this regard, and generally coordinating compliance by the university with the public records disclosure requirements of chapter [42.56](#) RCW. The person so designated shall be at the following location:

University of Washington
Public Records and Open Public Meetings Office
4311 11th Ave. N.E.
Suite 360
Seattle, WA 98105

(for internal campus mail use: Box 354997).

[Statutory Authority: RCW [28B.20.130](#). 07-03-069, § 478-276-060, filed 1/17/07, effective 2/17/07. Statutory Authority: RCW [28B.20.130](#), 2005 c 274, and Executive Order 97-02. 06-17-131, § 478-276-060, filed 8/22/06, effective 9/22/06. Statutory Authority: RCW [28B.20.130](#) and Executive Order 97-02. 06-13-021, § 478-276-060, filed 6/13/06, effective 7/14/06. Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW. 01-11-136, § 478-276-060, filed 5/23/01, effective 6/23/01; 97-14-004, § 478-276-060, filed 6/19/97, effective 7/20/97. Statutory Authority: RCW [28B.20.130](#). 91-10-031, § 478-276-060, filed 4/24/91, effective 5/25/91. Statutory Authority: RCW [28B.20.130](#)(1). 81-20-049 (Order 81-2), § 478-276-060, filed 10/2/81; Order 73-5, § 478-276-060, filed 5/29/73.]

478-276-070 Times for inspection and copying.

Public records of the University of Washington shall be available for inspection and copying by appointment during the regular office hours of the public records and open public meetings office: Monday through Friday, 8:00 a.m. to 5:00 p.m., excluding legal holidays.

[Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW. 01-11-136, § 478-276-070, filed 5/23/01, effective 6/23/01; 97-14-004, § 478-276-070, filed 6/19/97, effective 7/20/97; Order 73-5, § 478-276-070, filed 5/29/73.]

478-276-080 Requests for public records.

In accordance with requirements of chapter [42.56](#) RCW, that agencies prevent unreasonable invasions of privacy, protect public records from damage or disorganization, and prevent excessive interference with essential functions of the agency, public records required to be disclosed by chapter [42.56](#) RCW, may be inspected or copies of such records may be obtained, by members of the public upon compliance with the following procedures: All requests shall be directed to the director of public records and open public meetings at the address set forth in WAC [478-276-140](#). The request shall include the following information:

- (1) The name and address of the person requesting the records;
- (2) The date on which the request was made; and
- (3) The public record(s) requested.

[Statutory Authority: RCW [28B.20.130](#), 2005 c 274, and Executive Order 97-02. 06-17-131, § 478-276-080, filed 8/22/06, effective 9/22/06. Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW. 01-11-136, § 478-276-080, filed 5/23/01, effective 6/23/01; 97-14-004, § 478-276-080, filed 6/19/97, effective 7/20/97. Statutory Authority: RCW [28B.20.130](#). 91-10-031, § 478-276-080, filed 4/24/91, effective 5/25/91. Statutory Authority: RCW [28B.20.130](#)(1). 81-20-049 (Order 81-2), § 478-276-080, filed 10/2/81; Order 73-5, § 478-276-080, filed 5/29/73.]

478-276-090 Commercial purposes.

No provision of any regulation contained in this chapter [478-276](#) WAC shall be construed as giving authority to any faculty or staff member of the University of Washington to give, sell, or provide access to lists of individuals requested for commercial purposes.

[Statutory Authority: RCW [28B.20.130](#)(1). 81-20-049 (Order 81-2), § 478-276-090, filed 10/2/81; Order 73-5, § 478-276-090, filed 5/29/73.]

478-276-100 Inspection of public records — Copying — Costs.

(1) Public records of the University of Washington required to be disclosed by chapter [42.56](#) RCW, shall be made available for inspection and copying by the public records and open public meetings office staff under the supervision of the director of public records and open public meetings. Arrangements for photocopying of documents in accordance with RCW [42.56.210](#) shall be made by the university in such a way as to protect the records from damage or disorganization and to prevent excessive interference with other essential functions of the agency.

(2) No fee shall be charged for the inspection of public records. The university imposes a charge for providing copies of public records whether the copies are on paper or on other media such as, but not limited to, CDs, diskettes, audio or videotape; the university also charges for packaging,

postage, and other charges as allowed by statute. Such charges shall not exceed the amount necessary to reimburse the university for actual costs as allowed by law.

(3) No person shall be provided a copy of a public record which has been copied by the university at the request of such person until and unless such person has tendered payment for the charge for providing such copying.

[Statutory Authority: RCW [28B.20.130](#), 2005 c 274, and Executive Order 97-02. 06-17-131, § 478-276-100, filed 8/22/06, effective 9/22/06. Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW. 01-11-136, § 478-276-100, filed 5/23/01, effective 6/23/01; 97-14-004, § 478-276-100, filed 6/19/97, effective 7/20/97. Statutory Authority: RCW [28B.20.130](#). 91-10-031, § 478-276-100, filed 4/24/91, effective 5/25/91. Statutory Authority: RCW [28B.20.130](#)(1). 81-20-049 (Order 81-2), § 478-276-100, filed 10/2/81; Order 73-5, § 478-276-100, filed 5/29/73.]

478-276-105 Protection of public records.

Access to any "writing," as defined in WAC [478-276-020](#)(2), shall be restricted to the viewing area designated by the university. No document shall be physically removed by a member of the public from the viewing area for any reason whatsoever. Nor shall any member of the public who is viewing documents disassemble, deface, or cause the disorganization of documents for any reason whatsoever.

[Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW. 97-14-004, § 478-276-105, filed 6/19/97, effective 7/20/97.]

478-276-110 Exemptions — Court protection.

(1) The University of Washington reserves the right to determine that a public record requested in accordance with the procedures outlined in WAC [478-276-080](#) is exempt under the provisions of chapter [42.56](#) RCW.

(2) In addition, pursuant to chapter [42.56](#) RCW, the University of Washington reserves the right to delete identifying details when it makes available or publishes any public record in any cases when there is reason to believe that disclosure of such details would be an invasion of personal privacy protected by RCW [42.56.050](#).

(3) Responses by the University of Washington refusing, in whole or in part, inspection of any record shall include a statement of the specific exemption authorizing the withholding of the record (or part) and a brief explanation of how the exemption applies to the record withheld.

(4) Pursuant to RCW [42.56.540](#), the University of Washington reserves the right to seek to enjoin the examination of any specific record, the examination of which the university determines would clearly not be in the public interest and would substantially and irreparably damage any person or would substantially and irreparably damage vital governmental functions.

[Statutory Authority: RCW [28B.20.130](#), 2005 c 274, and Executive Order 97-02. 06-17-131, § 478-276-110, filed 8/22/06, effective 9/22/06. Statutory Authority: RCW [28B.20.130](#). 91-10-031, § 478-276-110, filed 4/24/91, effective 5/25/91; Order 73-5, § 478-276-110, filed 5/29/73.]

478-276-120 Review of denials of public records requests.

(1) A person who has been denied access to public records may submit to the director of public records and open public meetings a petition for prompt review of such decision. The written

request shall specifically refer to the written statement by the director of public records and open public meetings or staff member which constituted or accompanied the denial.

(2) Immediately after receiving a written request for review of a decision denying a public record, the director of public records and open public meetings or other staff member denying the request shall refer it to the office of the president of the University of Washington. The petition shall be reviewed promptly and the action of the public records and open public meetings office staff shall be approved or disapproved. Such approval or disapproval shall constitute final university action for purposes of judicial review.

[Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW. 01-11-136, § 478-276-120, filed 5/23/01, effective 6/23/01. Statutory Authority: RCW [28B.20.130](#)(1). 81-20-049 (Order 81-2), § 478-276-120, filed 10/2/81; Order 73-5, § 478-276-120, filed 5/29/73.]

478-276-140 Public records and open public meetings office — Address.

All requests for public records to the University of Washington shall be addressed as follows:

University of Washington
Public Records and Open Public Meetings Office
4311 11th Ave. N.E.
Suite 360
Seattle, WA 98105

(for internal campus mail use: Box 354997). The telephone number of the public records and open public meetings office is 206-543-9180.

[Statutory Authority: RCW [28B.20.130](#) and Executive Order 97-02. 06-13-021, § 478-276-140, filed 6/13/06, effective 7/14/06. Statutory Authority: RCW [28B.20.130](#) and chapter [42.17](#) RCW. 03-12-007, § 478-276-140, filed 5/22/03, effective 6/22/03. Statutory Authority: RCW [28B.20.130](#), [42.17.260](#), [42.17.290](#), [42.17.300](#) and chapter [34.05](#) RCW. 01-11-136, § 478-276-140, filed 5/23/01, effective 6/23/01; 97-14-004, § 478-276-140, filed 6/19/97, effective 7/20/97. Statutory Authority: RCW [28B.20.130](#)(1). 81-20-049 (Order 81-2), § 478-276-140, filed 10/2/81; Order 73-5, § 478-276-140, filed 5/29/73.]

AMENDATORY SECTION (Amending WSR 06-17-131, filed 8/22/06, effective 9/22/06)

WAC 478-276-010 Purpose. This chapter is enacted by the board of regents of the University of Washington in compliance with the ~~((provisions of chapter 42.56 RCW, "))~~ Public Records Act. The university adopts these rules and regulations so as to provide fullest assistance to inquirers and full public access to the university's public records while protecting those records from damage or disorganization; preventing excessive interference with other essential university functions, including the university's core education and research missions; and not unreasonably disrupting university operations. (("))

AMENDATORY SECTION (Amending WSR 01-11-136, filed 5/23/01, effective 6/23/01)

WAC 478-276-020 Definitions. (1) ~~(("Public record" includes any writing containing information relating to the conduct of government or the performance of any governmental or proprietary function prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.))~~ "Business days" are weekdays, Monday through Friday, excluding official Washington state holidays and university closures.

(2) ~~(("Writing" means handwriting, typewriting, printing, photostating, photographing, and every other means of recording any form of communication or representation, including, but not limited to, letters, words, pictures, sounds, or symbols, or combination thereof, and all papers, maps, magnetic or paper tapes, photographic films and prints, motion picture, film and video recordings, magnetic or punched cards, discs, drums, diskettes, sound recordings, and other documents including existing data compilations from which information may be obtained or translated))~~ "Public Records Act" means chapter 42.56 RCW.

(3) "Public records office" means the university's office of public records and open public meetings.

(4) "University" means the state university established under chapter 28B.20 RCW and designated the University of Washington.

AMENDATORY SECTION (Amending Order 73-5, filed 5/29/73)

WAC 478-276-050 Public records available. (~~(All public records of the University of Washington, as defined in WAC 478-276-020, are deemed to be)~~) The university's public records are available for public inspection and copying pursuant to these rules, except as otherwise provided by law.

AMENDATORY SECTION (Amending WSR 07-03-069, filed 1/17/07, effective 2/17/07)

WAC 478-276-060 Public records officer. (~~(For purposes of compliance with chapter 42.56 RCW, the person designated as public records officer for the University of Washington is the director of public records and open public meetings. Duties for this individual shall include but not be limited to: The implementation of the university's rules and regulations regarding release of public records, coordinating the staff of the public records and open public meetings office in this regard, and generally coordinating compliance by the university with the public records disclosure requirements of chapter 42.56 RCW. The person so designated shall be at the following location:~~

~~University of Washington
Public Records and Open Public Meetings Office
4311 11th Ave. N.E.
Suite 360
Seattle, WA 98105~~

~~(for internal campus mail use: Box 354997).)~~ The university's public records officer is the director of the public records office. The contact information for the public records officer is set forth under WAC 478-276-140.

AMENDATORY SECTION (Amending WSR 06-17-131, filed 8/22/06, effective 9/22/06)

WAC 478-276-080 Requests for public records. (~~(In accordance with requirements of chapter 42.56 RCW, that agencies prevent unreasonable invasions of privacy, protect public records from damage or disorganization, and prevent excessive interference with essential functions of the agency, public records required to be disclosed by chapter 42.56 RCW, may be inspected or copies of such records may be obtained, by members of the public upon compliance with the following procedures:))~~ All requests under the Public

Records Act to inspect or copy public records shall be in writing and shall be directed to the ((director of)) university's public records ((and open public meetings)) officer at the e-mail address, street address, or facsimile number set forth in WAC 478-276-140. The request shall include the following information:

(1) The requestor's name ((and)), e-mail address ((of the person requesting the records)) or street address, and telephone number; and

(2) ~~((The date on which the request was made; and~~

~~(3) The public record(s) requested.)) A request for identifiable public records.~~

An identifiable public record is one for which the requestor has given a reasonable description enabling the university to locate the requested record.

NEW SECTION

WAC 478-276-085 Responses to public records requests. (1) **Responses generally.** The public records office shall respond within five business days of receiving a public records request by:

(a) Providing the records;

(b) Providing an internet address and link to the records on a university web site;

(c) Acknowledging that the request has been received and providing a reasonable estimate of the time required to respond to the request; or

(d) Denying the request.

(2) **Additional time.** Additional time for the office to respond to a request may be based upon the need to:

(a) Clarify the request;

(b) Locate, assemble, and review the records requested;

(c) Notify third persons or agencies affected by the request;

or

(d) Determine whether any of the information requested is exempt and that a denial should be made as to all or part of the request.

(3) **Request for clarification.** If a public records request is unclear, the public records office may ask the requestor to clarify the request. If the requestor does not respond to a request for clarification or otherwise fails to clarify the records request within ten business days, the university need not respond to it, and the university may consider the request abandoned and close it in accordance with WAC 478-276-105.

(4) **Priority of requests.** The public records office will handle requests in the order in which they are received; provided, however, that the public records office will modify this approach as, and to the extent it deems necessary, to ensure that requests which seek larger volumes of records, require closer review, or are

otherwise more complicated or time consuming, do not unreasonably delay simpler, more routine requests.

(5) **Installments.** When it appears that the number of records responsive to a request may be large, that the process of locating, assembling, or reviewing the records may be lengthy, or that it is otherwise appropriate, the public records office may choose to provide records on a partial or installment basis. For the purposes of WAC 478-276-090 through 478-276-105, and unless otherwise provided under these rules, each installment of records shall be treated as a separate public records request.

(6) **Customized electronic access.** Where the public records office deems it appropriate, the university may choose to provide customized electronic access to public records; provided, however, that any requestor seeking such customized electronic access must pay, in advance, for university staff time and any other direct costs related to providing such customized electronic access. Because the university maintains electronic records in a very wide variety of formats, the viability of providing this service is evaluated on a case-by-case basis.

AMENDATORY SECTION (Amending Order 81-2, filed 10/2/81)

WAC 478-276-090 ((Commercial purposes)) Notice of availability. ((No provision of any regulation contained in this chapter 478-276 WAC shall be construed as giving authority to any faculty or staff member of the University of Washington to give, sell, or provide access to lists of individuals requested for commercial purposes)) (1) Notice of availability generally. Once records responsive to a request (or any installment thereof) have been located, assembled, reviewed, and prepared for release, and any affected third persons or agencies notified, the public records office shall promptly notify the requestor that those records are available for inspection or copying.

(2) Statement of copying, mailing, or other costs. The notice of availability will state any costs for obtaining a copy of the records, the costs for having a copy mailed to the requestor, and any other allowable costs under WAC 478-276-100 or the Public Records Act.

(3) Response to notice of availability. Upon receipt of a notice of availability, the requestor may inspect the records by either:

(a) Scheduling a viewing appointment with the public records office as provided under WAC 478-276-095;

(b) Requesting that a copy of the requested records be held for pickup at the public records office subject to payment of any copying or other charges as set forth under WAC 478-276-100; or

(c) Requesting that a copy of the requested records be sent to the requestor (subject to payment of any copying or other charges

as set forth under WAC 478-276-100).

(4) **Failure to respond to notice of availability.** If, within ten business days of issuance of a notice of availability, the requestor fails to claim the records (or any installment thereof) by either scheduling a viewing appointment or requesting copies and making any required payment, the public records office may consider the request closed. In such case, the public records office may cease locating, assembling, reviewing, or otherwise processing any remaining records, and it may dispose of any records made available as provided under WAC 478-276-105.

NEW SECTION

WAC 478-276-095 Viewing appointments. (1) **No fee.** No fee shall be charged for inspecting records at the university's public records office.

(2) **By appointment only.** In-office inspections are by appointment only during regular office hours: Monday through Friday 9:00 a.m. to 12:00 p.m. and 1:00 p.m. to 4:00 p.m., excluding university holidays, university closures, and such other closures as may be posted on the public records office's web site.

(3) **Scheduling appointments.** In-office inspections must be scheduled in advance by contacting the public records office (see WAC 478-276-140).

(4) **Protection of public records.** Access to records during viewing appointments shall be restricted to the viewing area designated by the public records office. No document shall be physically removed by a member of the public from the viewing area for any reason whatsoever; nor shall any member of the public who is viewing documents disassemble, deface, or cause the disorganization of any record for any reason whatsoever. A public records office staff member may observe any inspection to ensure that records are not disorganized, defaced, or otherwise harmed.

(5) **Identification of records reviewed.** At the end of each viewing appointment, the requestor will identify to the public records office staff those records reviewed during the appointment. If any records remain to be reviewed, another viewing appointment must be scheduled at that time. Reviewed records, or remaining records for which no further viewing appointment has been scheduled, are subject to disposition as provided under WAC 478-276-105.

(6) **Obtaining copies at viewing appointments.** At the end of each viewing appointment, the requestor shall identify to the public records office staff any records he or she would like copied. The public records office staff will arrange to provide such copies in as timely a manner as possible in view of all circumstances, including the volume of copies requested, any pending copying requests, time of day, staff resources, and any

other relevant considerations. Records identified for copying during viewing appointments are subject to prepayment of any copying or other costs in accordance with WAC 478-276-100. Requestors may not make their own copies of public records during viewing appointments.

(7) **Failure to attend a scheduled viewing appointment.** A requestor who fails to attend a scheduled viewing appointment must call the public records office within ten business days to reschedule the missed appointment. Unless otherwise permitted by the public records office, a viewing appointment may not be rescheduled more than two times. If a requestor fails to reschedule a missed viewing appointment within ten business days or has already rescheduled the appointment two times, the public records office may consider the request closed and may dispose of any records or copies made available in accordance with WAC 478-276-105.

AMENDATORY SECTION (Amending WSR 06-17-131, filed 8/22/06, effective 9/22/06)

WAC 478-276-100 (~~(Inspection of public records)~~) Copying (~~(-- Costs)~~). (~~((1) Public records of the University of Washington required to be disclosed by chapter 42.56 RCW, shall be made available for inspection and copying by the public records and open public meetings office staff under the supervision of the director of public records and open public meetings. Arrangements for photocopying of documents in accordance with RCW 42.56.210 shall be made by the university in such a way as to protect the records from damage or disorganization and to prevent excessive interference with other essential functions of the agency.~~)

~~(2) No fee shall be charged for the inspection of public records. The university imposes a charge for providing copies of public records whether the copies are on paper or on other media such as, but not limited to, CDs, diskettes, audio or videotape; the university also charges for packaging, postage, and other charges as allowed by statute. Such charges shall not exceed the amount necessary to reimburse the university for actual costs as allowed by law.~~

~~(3) No person shall be provided a copy of a public record which has been copied by the university at the request of such person until and unless such person has tendered payment for the charge for providing such copying.)~~ (1) Copying facilities available. Facilities shall be made available to requestors for the copying of public records as set forth under WAC 478-276-095, except when and to the extent that this would unreasonably disrupt the operations of the public records office.

(2) Copying costs. The university may charge for providing copies of public records. Charges are posted on the office's web

site.

(3) Other costs. The university may charge for nonpaper media (for example, without limitation, compact disks (CDs), digital versatile disks (DVDs), audiotape, or videotape) used to provide copies, packaging, postage, or other charges as allowed by law. Such charges shall not exceed the amount necessary to reimburse the university for actual costs.

(4) Deposits. The university may require a ten percent deposit on copying or other charges. Any required deposit must be paid before the request is processed.

(5) Prepayment. The public records office shall not release any requested copies of public records unless and until the requestor has paid all copying and other charges as set forth above. If payment is not received by the public records office within fifteen business days of issuance of the university's notice of availability, the university may consider the request closed, and any records or copies responsive to such request shall be subject to disposition as provided under WAC 478-276-105.

AMENDATORY SECTION (Amending WSR 97-14-004, filed 6/19/97, effective 7/20/97)

WAC 478-276-105 ((Protection of)) Closing public records requests. ((Access to any "writing," as defined in WAC 478-276-020(2), shall be restricted to the viewing area designated by the university. No document shall be physically removed by a member of the public from the viewing area for any reason whatsoever. Nor shall any member of the public who is viewing documents disassemble, deface, or cause the disorganization of documents for any reason whatsoever.)) (1) Closing requests generally. Once the requestor has reviewed or been provided with copies of the records made available in response to his or her request, that request shall be deemed closed; provided, however, that with respect to any installment of records other than the final installment, and except as otherwise provided in these rules (including, without limitation subsection (2)(c) of this section), the foregoing shall apply only to that installment, not the entire request.

(2) Other closing events. A request may also be deemed closed:

(a) If a requestor does not respond to a request for clarification or otherwise fails to clarify within ten business days;

(b) If the requestor fails to make a required deposit or payment for requested copies as provided under WAC 478-276-100;

(c) If the requestor fails to respond to a notice of availability as provided under WAC 478-276-090;

(d) If all records identified in any notice of availability (including a notice with respect to an installment of records) have

not been inspected, paid for, or picked up within fifteen business days of issuance of such notice of availability; or

(e) As otherwise provided under these rules or by law.

(3) **Disposition of records upon closing.** Upon the closing of a request, originals of any records assembled in response to the request shall be refiled, and any copies of records may be destroyed.

AMENDATORY SECTION (Amending WSR 06-17-131, filed 8/22/06, effective 9/22/06)

WAC 478-276-110 Exemptions(~~(--)~~) and court protection. (1) **Exemptions generally.** The university (~~(of Washington)~~) reserves the right to determine that a public record requested in accordance with (~~(the procedures outlined in)~~) WAC 478-276-080, or any portion thereof, is exempt under the (~~(provisions of chapter 42.56 RCW)~~) Public Records Act.

(2) (~~(In addition, pursuant to chapter 42.56 RCW, the University of Washington reserves the right to delete identifying details when it makes available or publishes any public record in any cases when there is reason to believe that disclosure of such details would be an invasion of personal privacy protected by RCW 42.56.050.)~~) **Commercial purposes.** The Public Records Act prohibits the university from disclosing lists of individuals requested for commercial purposes.

(3) (~~(Responses by the University of Washington refusing, in whole or in part, inspection of any record)~~) **Identification of exemptions.** Public records office responses denying inspection of any record, in whole or in part, shall include a statement of the specific exemption(s) authorizing the withholding of the record (or (~~(part)~~) portion thereof) and a brief explanation of how the exemption applies to the record or information withheld.

(4) **Enjoining inspection.** Pursuant to (~~(RCW 42.56.540)~~) the Public Records Act, the university (~~(of Washington)~~) reserves the right to seek to enjoin the (~~(examination)~~) inspection of any specific record(~~(, the examination of which)~~) if the university determines that inspection would clearly not be in the public interest and would substantially and irreparably damage any person or would substantially and irreparably damage vital governmental functions.

AMENDATORY SECTION (Amending WSR 01-11-136, filed 5/23/01, effective 6/23/01)

WAC 478-276-120 Review of denials of public records requests.

(1) **Petition for review.** A person who has been denied access to public records may submit to the ~~((director of))~~ university's public records ~~((and open public meetings))~~ officer a petition for prompt review of such decision. The written request shall specifically refer to the written statement by the ~~((director of))~~ public records ~~((and open public meetings or))~~ office staff member which constituted or accompanied the denial.

(2) ~~((Immediately))~~ **Response to petition.** After receiving a written request for review of a decision denying a public record, the ~~((director of))~~ public records ~~((and open public meetings or other staff member denying the request shall refer it to the office of the president of the University of Washington))~~ office shall promptly refer it to the hearing officer. The petition shall be reviewed ~~((promptly))~~ and the action of the public records ~~((and open public meetings))~~ office ~~((staff))~~ shall be approved or disapproved. Such approval or disapproval shall constitute final university action for purposes of judicial review.

AMENDATORY SECTION (Amending WSR 06-13-021, filed 6/13/06, effective 7/14/06)

WAC 478-276-140 Public records ~~((and open public meetings office--))~~ address. ~~((All requests for public records to the University of Washington shall be addressed as follows:~~

University of Washington
Public Records and Open Public Meetings Office
4311 11th Ave. N.E.
Suite 360
Seattle, WA 98105

~~((for internal campus mail use: Box 354997)). The telephone number of the public records and open public meetings office is 206-543-9180.))~~ The university's public records officer may be contacted at the following physical address, telephone numbers, or e-mail address:

Office of Public Records and Open Public Meetings
University of Washington
4311 11th Ave. N.E., Suite 360
Seattle, WA 98105
Telephone: 206-543-9180
Facsimile: 206-616-6294
E-mail: pubrec@uw.edu

The public records office's web site is at

[http://depts.washington.edu/publicrecords.](http://depts.washington.edu/publicrecords)

REPEALER

The following section of the Washington Administrative Code is repealed:

WAC 478-276-070 Times for inspection and copying.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

UW Bothell Change of Status: Designation of the Schools of Business; Interdisciplinary Arts and Sciences; and Science, Technology, Engineering, and Mathematics at the University of Washington Bothell as collegiate-level units headed by Deans

RECOMMENDED ACTIONS

It is the recommendation of the administration and the Academic and Student Affairs Committee that the status of the Schools of Business; Interdisciplinary Arts and Sciences; and Science, Technology, Engineering, and Mathematics at the University of Washington Bothell, be changed to that of collegiate-level units, each under the leadership of a Dean.

JUSTIFICATION FOR PROPOSED ACTIONS

The UW Bothell Schools of Business; Interdisciplinary Arts and Sciences; and Science, Technology, Engineering, and Mathematics have now reached a maturity, size, support structure, and status, with full potential for further growth to warrant their change of status to collegiate-level schools headed by Deans, effective March 16, 2013.

Recognition of the Schools of Business; Interdisciplinary Arts and Sciences; and Science, Technology, Engineering, and Mathematics is supported by the faculty at UW Bothell, the UW Bothell General Faculty Organization Executive Council, and the UW Bothell Office of the Chancellor. It is their view that the recognition of these units as collegiate-level organizations will enhance faculty and academic effectiveness by increasing the Schools' visibility and impact with their external communities and contribute to the continued growth of partnerships with industries, non-profits, and community organizations. Such enhanced partnerships will result in the development of new curricula, research programs, and entrepreneurship activities.

The School of Business is independently accredited by the American Association of Collegiate Schools of Business and offers degrees in Bothell and Bellevue. Programs offered by the School of Business include a day and evening BA in Business Administration, with concentrations in seven areas, as well as an Accounting option. Graduate-level options include the Technology MBA at Bothell and the Leadership MBA at Bellevue. The School of Business has 28 full-time and 13 part-time faculty members, with a student enrollment of 770 FTE and 10,768 student credit hours in Autumn 2012.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

UW Bothell Change of Status: Designation of the Schools of Business; Interdisciplinary Arts and Sciences; and Science, Technology, Engineering, and Mathematics at the University of Washington Bothell as collegiate-level units headed by Deans (continued p. 2)

The School of Interdisciplinary Arts and Sciences is the largest academic unit at UW Bothell, offering 10 undergraduate degrees and three options. Graduate-level options include the MA in Cultural Studies, MA in Policy Studies, and MFA in Creative Writing and Poetics. The School of Interdisciplinary Arts and Sciences has 57 full-time and 36 part-time faculty members, with a student enrollment of 1,136 FTE and 16,605 student credit hours in Autumn 2012.

The School of Science, Technology, Engineering, and Mathematics offers five undergraduate degrees and an MS in Computer Science and Software Engineering. It has 36 full-time and 14 part-time faculty members, with a student enrollment of 629 FTE and 9,192 student credit hours in Autumn 2012.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Assessment of Student Learning

For information only.

BACKGROUND

The following materials are presented as a background to our presentation on the Assessment of Student Learning at UW.

We know that our faculty offer tremendous classes, and that our students study hard and are truly engaged in their work at UW. But how do we know what students are actually learning? Assessment of student learning is a major issue throughout education today, from K to 20. We take student learning seriously at UW, and have created what we see as thoughtful methods for measuring student learning. We will present on these issues at the February regents' meeting; the following material constitutes the background material for our presentation. You will hear from academic leaders, staff, faculty and students.

The materials here include:

1. Powerpoint overview from Catharine Beyer, Research Scientist, Office of Education Assessment, Undergraduate Academic Affairs. She will discuss our approach to assessment, and very briefly cover material in these slides that summarize the broad array of data and measures that we use, including capstone courses and new assessment work.
2. Capstone course, Henry M. Jackson School of International Studies. Professor Resat Kasaba, director of the Jackson School, will talk briefly on February 14 about the Jackson School's capstone project. This is a requirement for all undergraduate majors.
3. Senior Capstone Research Experience, School of Aquatic and Fishery Science. This capstone is a requirement for all undergraduate majors. Associate Professor Kerry Naish will talk briefly about the experience.
4. In addition, we will send all of the Regents a copy of *Inside the Undergraduate Teaching Experience: The University of Washington's Growth in Faculty Teaching Study*, by Catharine Beyer, Edward Taylor, and Gerald Gillmore.
5. We have included here a brief article from Inside Higher Ed on this remarkable new book.

VII. STANDING COMMITTEES

A. Academic and Student Affairs Committee

Assessment of Student Learning (continued p. 2)

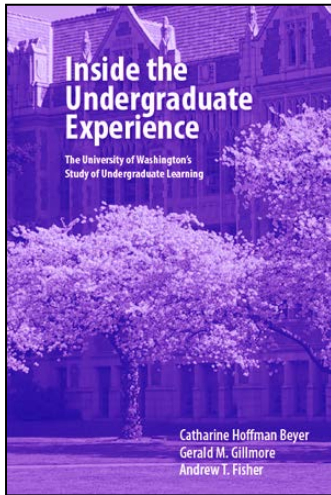
Attachments

1. UW's Evidence-driven Approach to Assessment of Student Learning
2. International Studies Program: Task Force Overview
3. 2013 Task Forces Titles and Descriptions
4. Task Force 2013 Student Handbook
5. Indonesia Task Force 2012
6. School of Aquatic & Fishery Sciences Senior "Capstone" Research Experience
7. Inside Higher Education article

UW's Evidence-driven Approach to Assessment of Student Learning

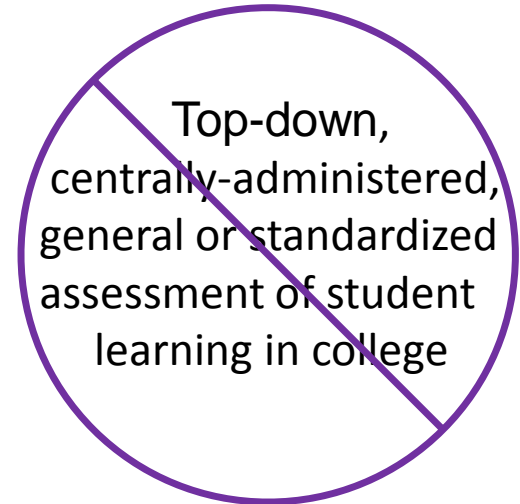
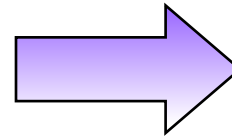
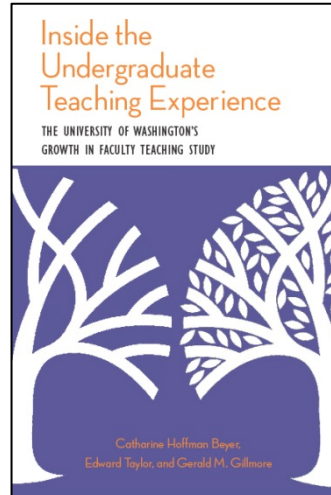
The UW SOUL

A longitudinal study tracking the learning of 304 UW undergraduates for four years

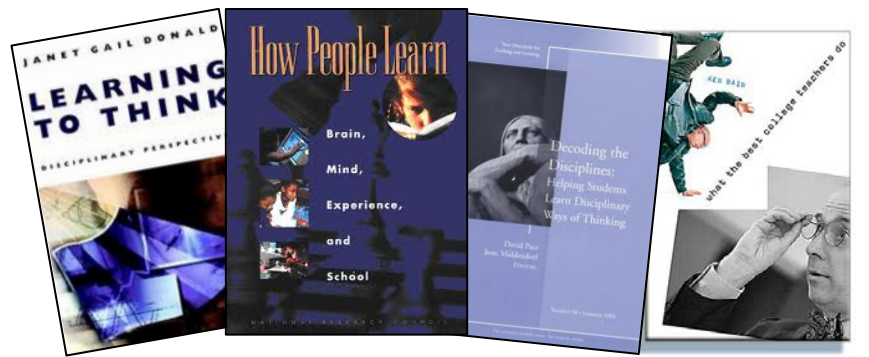


The UW GIFTS

An interview study of 55 UW faculty from across the curriculum on change in their teaching.

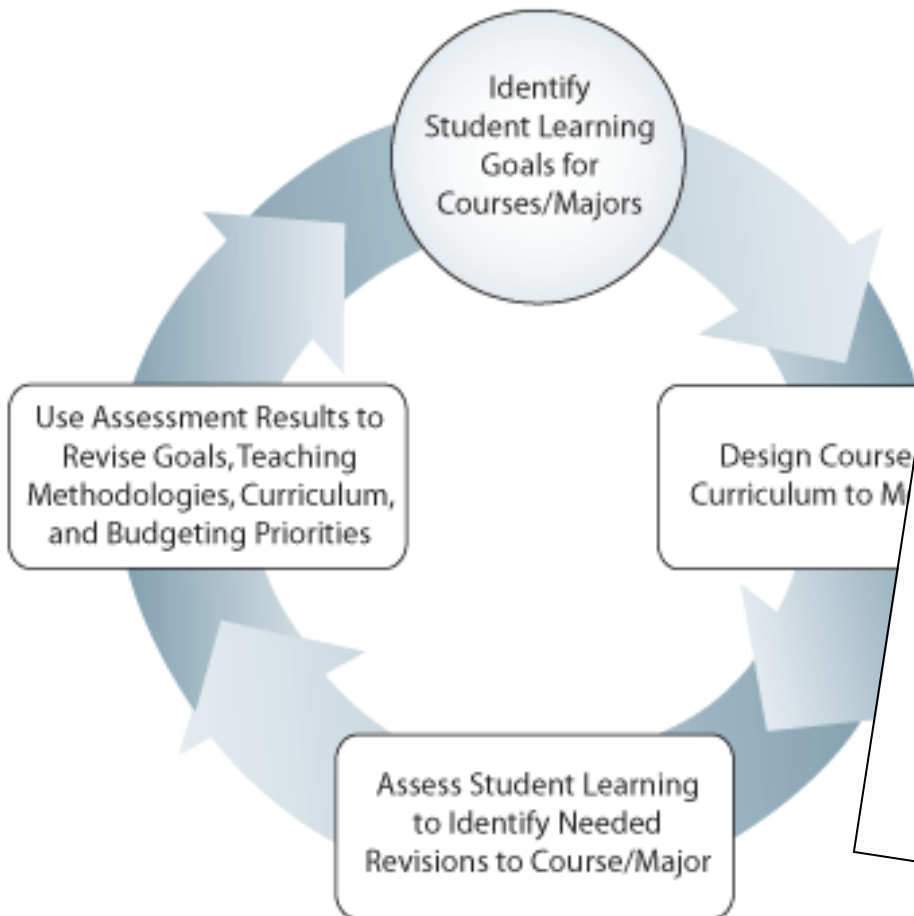


Informed by a strong research foundation



✓ Assessment of college student learning that is seated in the academic departments and is conducted by experts in those fields of learning

However, a focus on departmental assessment is neither quick nor easy. It requires that faculty set learning goals/objectives for students in the major, engage in meaningful assessment of both student performance and student perception of their learning experience at the course-level and at the departmental level, and have both ways and means to implement the curricular changes that assessment may suggest.



Assessing Teaching & Learning at the University of Washington

Institutional Approaches

Accreditation ~ NW Commission on Colleges & Universities

Regional/National Evaluation

Institutional Data & State Accountability Measures

Includes grad & retention rates and other measures
<http://www.washington.edu/admin/factbook/>

Focused Studies on Teaching & Learning

- 2013: UW Academic Challenge and Engagement Study (UW ACES) –63 academic advisors interviewing seniors in 33 UW departments about challenge in the major
- 2013: UW Learning in Embodied and Artistic Disciplines Study (UW LEADS) –teaching and learning in Art, Dance, Drama, Music, Physical Therapy, & coached athletics
- 2012: UW Growth in Faculty Teaching Study (UW GIFTS) *Inside the Undergraduate Teaching Experience*, Beyer, Taylor, & Gillmore, 2013
- 2012: Exit Survey Initiative (ESI)
- 2009: UW Senior Research Study (UW SRS)
- 2007: UW Study of Undergraduate Learning (UW SOUL), *Inside the Undergraduate Experience*, Beyer, Gillmore, & Fisher, 2007

OEA Surveys of Students, Alumni (1, 5, & 10 Yrs Post Grad) & Faculty

<http://www.washington.edu/oea/pdfs/reports/OEARReport1101.pdf>

Biennial Departmental Assessment Charts

Reports from UW Departments

<http://www.washington.edu/oea/pdfs/reports/OEARReport1102.pdf>

Specialized & National Studies

For example, the National Survey of Student Engagement
<http://www.washington.edu/oea/pdfs/reports/OEARReport0905.pdf>

Departmental Approaches

Learning Goals for Majors

All UW departments offering undergraduate degrees have learning goals for majors available at:
<http://www.washington.edu/oea/pdfs/reports/OEARReport1102.pdf>

Curricular Mapping & Review

Identifying where in the curriculum students learn the knowledge and develop the skills listed in the departmental learning goals

Performance-based Measures

Using **capstone courses, or projects/performances in targeted courses**, portfolio assessment, national exams and other authentic student work—evaluated by faculty and/or external audiences—to assess learning

Perception-based Measures

Aggregate course evaluations, student self-assessment, exit surveys, focus groups, internship/work review by employers/community partners, & input from employer advisory boards/groups

Information about Faculty

Research, publications, awards, specialties, and other information

UW Ten-Year Academic Review Process & National Departmental Accreditation Processes

Course-based Approaches

Classroom Assessment Techniques

Use of in-class activities and out-of-class assignments to monitor student learning.
(See *Inside the Undergraduate Teaching Experience*, Beyer, Taylor, & Gillmore, 2013, for examples of UW faculty using classroom assessment to monitor and improve student learning.)

Course Evaluations & Peer Review

- Peer review of faculty teaching
- Course evaluation ~ 13 forms suitable for a variety of kinds of courses + comment sheets for use in-class or online
- Challenge Index ~ information from course evaluations on student perceptions of rigor

Faculty Development

- Center for Teaching and Learning
- A wide range of teaching training opportunities, including Faculty Fellows, Large Lecture Collegium, Institute for Teaching Excellence, and many others

Other

Mentoring ~ Formal and Informal

Conversations, Books, & Articles on Learning across Institutions

Conversations with Students ~ Formal and Informal

Assessing Teaching & Learning at the University of Washington

Departmental Approaches

Course-based Approaches

Some areas of recent assessment work at UW...

Learning Goals for Majors
 All UW departments offering undergrad degrees have learning goals for majors
<http://www.washington.edu/oea/pdfs/reports/OEAReport1102.pdf>

Curricular Mapping & Review
 Identifying where in the curriculum students learn the knowledge and develop the skills listed in the departmental learning goals

Performance-based Measures
 Using **capstone courses, or projects/performances in targeted courses**, portfolio assessment, national exams and other authentic student work—evaluated by faculty and/or external audiences—to assess learning

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Other

- Mentoring ~ Formal and Informal**
- Conversations, Books, & Articles on Learning across Institutions**
- Conversations with Students ~ Formal and Informal**

Focusing on Capstone Courses/experiences as a Way to Assess Student Learning

Performance-based Measures

Using **capstone courses, or projects/performances in targeted courses**, portfolio assessment, national exams and other authentic student work—evaluated by faculty and/or external audiences—to assess learning

- Capstone courses/experiences typically ask students to produce a piece of work that demonstrates their cumulative learning in the major. The goals for learning in capstones are the same as the learning goals for the major.
- Therefore, student work in capstones can be used in two ways: 1. to assess individual students' learning in the major; 2. to assess the success of the department's undergraduate curriculum.
- About 66% of the UW's majors included some kind of capstone experience in 2011 (about 45% of Arts & Sciences majors).
- We are hoping in the next biennium to help departments that offer capstones use their students' work to assess their curricula and to help departments not having capstones identify courses/experiences that might serve as capstone "substitutes."
- Capstone examples: International Studies (Dr. Resat Kasaba) and Aquatic & Fishery Sciences (Dr. Kerry Naish)

Other New Assessment Work: Institutional Approaches with a Disciplinary Focus

The UW Academic Challenge and Engagement Study (UW ACES)

Using 5-10 minute interviews with seniors applying for graduation, 64 academic advisors from 33 departments across the UW who have been trained in interviewing techniques are asking seniors applying for graduation the following questions: 1) What is the most challenging project or assignment they completed in the major—the assignment that most stretched their thinking; 2) what made the project challenging; and 3) how they learned to meet those challenges. Interview results will be analyzed by undergraduate researchers in each participating department who have been trained in qualitative analysis by researchers in OEA.

The UW Learning in Embodied and Artistic Disciplines Study (UW LEADS)

The purpose of the UW LEADS is to extend limited notions of what it means to learn in college by examining a little-studied and rarely-assessed area of teaching and learning—an area we are calling “embodied learning.” These are the learning experiences—most often found in the arts and perhaps best exemplified by Dance majors—that require that students’ bodies demonstrate what they have learned, thought, and analyzed, as well as what the students hope to express. Although Dance may offer the best example of such learning, embodied learning can be found in other disciplines, as well, and, along with Dance, the UW Leads includes Drama, Art, Music, Physical Therapy, and coached athletics. Using interviews with faculty, students, and alumni, this study seeks to answer the following questions: 1) What constitutes learning in embodied and artistic disciplines or practices? 2) How is that learning taught? 3) What are the applications of that learning inside and outside the disciplinary areas? and 4) How is learning typically assessed in these fields?

Exit Survey Initiative

In 2012, OEA researchers worked with more than 27 departments to help them improve their surveys of graduating seniors. Three focuses of this work were: improving administration of surveys to guarantee student anonymity and increase student response rates; ensuring that departments included questions about how well students felt they had met departmental learning goals for majors; and asking questions in such a way that results could be easily analyzed and passed on to faculty. Next steps include follow-up contact to participating departments.

Biennial Assessment Reports

At the end of the biennium (2013), UAA will ask all departments to submit assessment reports and will compile them into charts, such as those at <http://www.washington.edu/oea/pdfs/reports/OEARReport1102.pdf>. These charts allow the UW to know the learning goals for undergraduate programs, the methods departments use to assess those goals, and the changes departments make to their programs as a result of their assessment work.



THE HENRY M. JACKSON
SCHOOL OF INTERNATIONAL STUDIES
UNIVERSITY OF WASHINGTON
Box 353650, THOMSON HALL, SEATTLE, WA
98195



& International Studies Program

International Studies Program: Task Force Overview
A Capstone Requirement for Undergraduate Majors
<http://jsis.washington.edu/taskforce/>

The International Studies Program at The Henry M. Jackson School of International Studies introduces students to international issues through rigorous coursework in a wide variety of disciplinary and cross-disciplinary settings. The Program equips students with the conceptual knowledge and analytical tools required to understand and address complex global issues. We know that our graduates will want to shape the world that they have studied – and be effective advisers, researchers, or managers in the arenas of international policy and advocacy.

Task Force (JSIS 495) is our required undergraduate capstone course. In groups of 15-17 individuals, students experience a simulated version of an international expert commission tasked with providing a research brief and policy recommendations. Task Force students apply what they have learned in the major and (1) comprehensively define the scope of a research project to inform a focused international policy challenge; (2) conduct independent research that informs policy recommendations; (3) produce a sophisticated piece of writing individually and as a member of a team; (4) collaborate with a group of peers to produce a book-length policy analysis that reads coherently from beginning to end; and, then (5) defend their policy recommendations to an expert evaluator. These experts are usually representatives of real world clients and they provide substantive comments and a critical oral review of the students' work. For our students, Task Force is the most memorable experience of their entire academic career.

Because of our students' comprehensive view on history, culture, geography, economics and policy, Task Force students bring fresh new perspectives and insights on international and global affairs. Our expert evaluators frequently remark on the quality of our students' work and the important insights our students bring to each project. Task Force offers students a chance to sharpen their research, analysis, and writing with in-depth attention to each component of the entire project. They practice the art of scoping very complex situations from multiple vantage points and distilling findings that are sensitive to both global and local conditions. And, they gain valuable collaborative work experience on a project in which academic rigor, real-world relevance, and writing skills are combined to produce a polished and presentable report.

The skills acquired and applied in Task Force help our students stand out as they step outside UW and towards the jobs and activities they are passionate about. At the end of the Task Force experience successful students have the ability to locate, compile, synthesize, evaluate and compellingly present complex and up-to-date information on rapidly changing global issues and to do so in a team-based environment. These abilities are highly valued in the worlds of policy-making, research, and enterprise.

ATTACHMENT 2



2013 Task Forces | Titles and Descriptions

JSIS 495 A TTh 12.30-2.20 Sabine Lang

Making European Citizens: Assessing Challenges and the Road Ahead

One of the most pressing questions in the current Euro crisis is how much solidarity Europeans are willing to show and to what degree they are rooted in their identity as Europeans. Therefore, the 'making' of European citizens remains a central challenge for European integration. Early warning signs pointing to a lack of European identity were low turnouts for European Parliamentary elections and the failure of the Constitutional Process. In the current crisis, strong re-nationalization of public opinion and decision making fuels the perception of a deep-seated legitimacy deficit of the Brussels-based polity. Recently, the EU has tried to address this deficit with attempts to strengthen the European Parliament, to create a more powerful EU executive, to formalize organized civil society input, and to engage citizens more in EU affairs. But it seems as though too little has been done too late. Our task force will assess the current legitimacy deficit by identifying several areas in which this democratic challenge is obvious. We will then proceed to draft fact-based policy recommendations that could strengthen European citizenship.

Evaluator: Mr. Conny Reuter, President Social Platform, Solidar (independent international alliance of NGOs involved in social service provision, international co-operation, humanitarian aid, and life-long learning, based in Brussels)

JSIS 495 B MW 1.30-3.20 Brian Baird

First Amendment Rights, New Democracies and US Foreign Policy

In recent decades United States foreign policy has focused explicitly on promotion of democracy, but there typically has not been a comparable commitment to promoting the fundamental rights guaranteed in the First Amendment to our Constitution. Even in nations where democratic processes have taken root, the freedoms of religion, press, speech and assembly are well established neither in the minds of all the public nor in the practices of the governments and interest groups. Recent and tragic outbreaks of violence in the Middle East and elsewhere illustrate the challenges that can arise when the exercise of constitutional rights within our nation or nascent democracies conflicts with strongly held values, beliefs, practices and interests in other lands. This task force will explore the importance of promoting basic rights as an essential element of successful democracy and, more specifically, will consider if, why, and how the promotion of First Amendment rights can be more strongly and successfully championed by our government and embraced by other nations and their citizens.

Evaluator: Ambassador Ryan Crocker

JSIS 495 C MW 1.30-3.20 Scott Radnitz

US Policy toward Russia and Its Neighbors

The former Soviet Union provides more than its share of challenges for the rest of the world: loose nuclear weapons, "frozen" conflicts, drug trafficking, repressive governments, Islamist insurgency, and a

wealth of energy resources. American relations with Russia have waxed and waned over the years. After reaching their nadir in 2008, relations improved steadily until the disputed Russian election in 2012. Now the White House is faced with how to manage an irascible Russian president and his coterie of officials from the security sector, along with ongoing conflicts in the Caucasus, fragile regimes in Central Asia, and renewed autocracy in Ukraine. The Middle East may be America's top priority, but the president ignores Russia and its neighbors at his peril. This task force will instruct him on how to manage, if not prevent, the next crisis that will inevitably emerge from the region.

Evaluator: Andrew Kuchins, Director and Senior Fellow, Russia and Eurasia Program, Center for Strategic and International Studies

JSIS 495 D TTh 1.30-3.20 Mary Callahan

US-Burma Relations: Next Steps

In the last year, the bilateral rapprochement between the United States and the Government of the Union of Myanmar has been radically transformed. In large part, this change was possible because of an extraordinary political liberalization undertaken by the Myanmar military. This task force will make recommendations for the incoming presidential administration on how to influence the ongoing transition to democracy, assuming the momentum toward progressive reform continues. Task Force members will be expected to read a substantial amount of background material before winter quarter starts.

Evaluator: (invited) Kurt M. Campbell, Assistant Secretary for East Asian and Pacific Affairs, US Department of State

JSIS 495 E TTh 11.30-1.20 Scott Montgomery

A New Great Game? U.S. Interests in Central Asia: Azerbaijan, Kazakhstan, Turkmenistan

Azerbaijan, Kazakhstan, and Turkmenistan lie at the center of a global power struggle. This struggle may be muted when compared to the conflicts over Syria and North Korea. Yet it involves some of the same players—Russia, China, Europe, Iran, and the U.S.—and has been growing over time. Due to geography, resources, and long-term borderland status, Central Asia has been a nexus of great power rivalry since the 19th century Great Game between the British and Russian empires. Today, conflict has several dimensions, forming a “story” of challenging complexity. One dimension is resources—huge volumes of recoverable oil and gas to which Europe and China desperately want access, but which Russia wishes to control as part of its “near abroad.” The U.S. would prefer these resources be responsibly developed for the global market. More generally, U.S. interests are multifold but not always pursued with coherent policies. Central Asia is a logistical hub for supplying NATO troops in Afghanistan. But America also has plans for a “new silk road,” an economic integration of Central Asia with Afghanistan to help stabilize the latter. Another interest is solving the frozen conflict between Armenia and Azerbaijan, which are now are engaged in a rapid arms buildup. On another level, America views the three countries as standing at a crucial turning point in their development. It has considered, for example, policies that would aid education, training, language teaching, and other ways of improving human capital in these countries. Helping spread the English language here would provide a key medium for integration into the global community of trade, culture, and science/technology. This task force will: 1) analyze current political, economic, and social conditions in the three mentioned countries; 2) evaluate specific U.S. interests and policies in light of the mentioned analyses; 3) answer the question: how important are these countries to U.S. foreign policy and how important *should* they be; and 4) suggest improvements to these policies, which might involve amending, deleting, or replacing those currently in action.

Evaluator: Martha Olcott, Senior Associate, Russia and Eurasia Program, Carnegie Endowment

JSIS 495 F TTh 3.30-5.20 Stefanie Frease

The International Criminal Court: Assessing Mass Atrocity Crimes

Over the past 20 years substantial advancements have been made in prosecuting mass atrocity crimes committed during conflict. Beginning in 1993 the United Nations established an *ad hoc* Tribunal for the former Yugoslavia. In 1994 a similar court was established for Rwanda. Subsequently, hybrid tribunals were set-up for Sierra Leone, East Timor and Cambodia, among others, with the primary purpose of holding individuals, not states, accountable. In July 2002 the Rome Statute came into force, thereby establishing a permanent international court, the International Criminal Court in The Hague, The Netherlands. The court has jurisdiction to investigate and prosecute individuals on charges of war crimes, crimes against humanity, and genocide. Currently, there are seven situations within the Court's purview, namely Uganda, Democratic Republic of Congo, Sudan (relating to the Darfur region), Central Africa Republic, Kenya, Libya, and Ivory Coast. This Task Force will focus on three of the seven situations currently being examined by the International Criminal Court. Students will gain an understanding of the defining features or elements of war crimes, crimes against humanity, and genocide and then review publicly available documentation to determine, much as a grand jury does, whether the evidence supports the various charges and adequately reflects the scope and nature of the respective conflicts. Additionally, students will contact individuals knowledgeable about the conflicts to test their findings. The final product, targeted toward the International Criminal Court, will provide ground-truth and make recommendations on a variety of issues including gaps identified between crimes committed and charges already filed by the Office of the Prosecutor.

Evaluator: Kelly Askin, Senior Legal Officer, Open Society Justice Initiative

JSIS 495 G TTh 9.30-11.20 Nadine Fabbi and Joel Plouffe

Arctic Security in the 21st Century: Emerging Issues and Challenges

Climate change is having a dramatic impact on the Arctic. The Arctic Ocean sea ice is vanishing rapidly with sea ice levels reaching their lowest point on record in 2012. Thawing ice, warmer temperatures, and growing economic activities in the Arctic are creating new security issues that go beyond conventional notions of national (military) security and defense. 'Arctic change' challenges national and sub-national policymakers and actors to continue to widen the traditional approach to 'Arctic Security' and develop policies that correspond to emerging social, economic, and environmental problems in the north. For students of international studies, the transformations taking place in Alaska, the Canadian Arctic territories and Inuit regions, and other Arctic nation-states, provides an opportunity to identify, assess, and challenge the meanings of 'Arctic Security' in the 21st century. The task force team, including Inuit participants from Canada, will have the opportunity to write a policy report presenting new approaches to security integrating international relations theories, security studies concepts and regional Inuit governance models. The dialogue between the Government of Québec and the Inuit of Nunavik in northern Québec will provide a point of focus for these concepts. Students will travel to Québec City and Ottawa (Jan 26-Feb 3) to meet with Inuit leaders, government officials, industry, Arctic embassies, and leading scholars in Arctic security.

Evaluator: Tony Penikett, former Premier of Yukon

JSIS 495 H MW 8.30-10.20 Adam Smith

Defense, Diplomacy, and Development: Making a '3D' Strategy Work in East Africa

This task force will issue its report to the President's National Security Council and will focus on United States policy in the East African region, with a particular emphasis on the role of the Department of Defense's African Command (AFRICOM). The East Africa region is of growing importance to United States national security interests. Instability in Yemen and Somalia, the increasing activity of Al Qaeda in the Arabian Peninsula, and the activities of various gangs and warlords that have both taken advantage of

the lack of governance in the eastern part of the Democratic Republic of the Congo and spilled over from previous conflicts in Rwanda, Uganda, and Sudan have all contributed to increasing the national security threats coming from East Africa. In its analysis of how best to meet these threats, this task force will focus on two principle aspects of US policy: First, the intersection of defense, diplomacy and development; and the interagency cooperation required in maximizing our effectiveness in the East Africa region in these three areas of policy. The Department of Defense can play a critical role in increasing security in this region, but this must be done in concert with improving governance, infrastructure, health, education, rule of law, and other areas of policy necessary for a nation to provide for its people. How best can the US DoD work with the State Department and other US agencies to help move the region towards greater stability and prosperity? Second, the importance of capacity building in the region—the process of building relationships with nations in East Africa and then using a limited amount of US resources to increase the ability of those nations to maintain security, improve governance, enforce the rule of law, build better infrastructure and health care systems, etc. The US has had some success in building these types of relationships with Kenya, Ethiopia, and Uganda in particular, and the class will examine how to build on these exiting relationships and develop others as well.

Evaluator: TBD

JSIS 495 I MW 3.30-5.20 Jonathan Warren

Violence and Crime Reduction in Rio de Janeiro

In the buildup to the 2014 World Cup and 2016 Summer Olympics, billions of dollars are being invested in Rio de Janeiro by the federal, state and municipal governments. One objective of these investments is to attempt to reduce substantially the levels of thefts, muggings, and murders, which are higher than in many war zones. This task force will consider the interventions that would be advisable in a myriad of arenas—policing, urban design, education, infrastructure, transportation, and decision making—to make a significant dent in the crime rates in Rio de Janeiro. This represents a once in a lifetime opportunity to improve substantially the quality of life for cariocas and, if successful, could prove a model for effecting improvements in urban areas throughout the Americas that face similar problems.

Evaluator: TBD

Task Force 2013 | Student Handbook

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Task Force Contacts and Resources

Wolfram Latsch, Coordinator of the Task Force Program	latsch@uw.edu
Tamara Leonard, Associate Director, Center for Global Studies	tleonard@uw.edu
Jane Meyerding, Program Assistant, International Studies	mjane@uw.edu
Amanda Hornby, Undergraduate Instruction Coordinator, UW Libraries	hornbya@uw.edu

Task Force Resources

Task Force reports, posters, and final presentations from 2011 and 2012 as well as other information can be found online at

<http://jsis.washington.edu/taskforce/>

1. Introduction: Why Task Force Matters To You – and To Us!

The International Studies Program at the Jackson School introduces students to international issues through rigorous coursework in a wide variety of disciplinary and cross-disciplinary settings. The Program seeks to equip its students with the conceptual and analytical tools and knowledge needed to help make sense of complex global issues and processes. We also recognize that many of our graduates will want to help shape the world that they have studied – and, for this, they will need to be effective advisers, researchers, or managers in the arenas of policy and advocacy. This recognition is the inspiration for one of our capstone projects, the Task Force, which all International Studies majors complete during the Winter quarter of their final year.

Task Force has been part of the International Studies major since 1981. The original format was modeled on the Presidential Commissions common in policymaking in the United States. In these U.S. Presidents appoint groups of experts to provide them with substantive policy recommendations based on rigorous research and evaluation. In recent years Task Forces have investigated a wide range of topics and provided recommendations to various branches and offices of the U.S. government – but also to international, multilateral, and non-governmental organizations.

Jackson School Task Forces consist of small groups of students, numbering between 12 and 18, who are tasked with investigating a real-world policy issue and producing a final report and practical policy recommendations. These recommendations are then evaluated by a visiting outside expert – typically a serving or retired high-ranking U.S. diplomat, policymaker, NGO leader, or prominent think tank member). Task Force students prepare and present a 2-hour oral briefing for their expert evaluator. The evaluator arrives for the briefing having read the final report. After the briefing the evaluator engages students in discussion and debate and provides feedback on content and presentation. All Task Forces are evaluated on the same day (Friday March 15th) and, later that same day, all Task Force students, instructors and evaluators gather for a formal dinner which offers more opportunities for professional conversations and connections.

Past generations of International Studies majors have greatly valued the opportunities and the challenges of working together in small groups with clear goals and tight deadlines – an environment intended to mimic the real-world activities and workplace experiences that our students will encounter upon graduation. Task Force quarter has been a unique, memorable and valuable experience for our majors for more than thirty years – and we hope that your own Task Force quarter in Winter 2013 will provide the same for you!

2. Why Task Force is Different from Any Other Class

A. You Have to Hit the Ground Running – on January 7th!

Your 2013 Winter quarter JSIS 495 is unlike any other class in the International Studies major. In a typical class the quarter will start off quite slowly with a gradual build-up towards midterms and finals, be they in-class exams or research papers. In other words, regular classes are typically back-loaded in terms of the distribution of effort and work (and stress!) during the quarter. The Task Force class, on the other hand, is heavily front-loaded: your work on organization, management, research and writing has to start immediately and intensively right at the beginning of the quarter. In fact, instructors will typically assign readings over the Winter break and ask students to come to the first class meeting prepared to help work out the content and structure of their Task Forces. It is important that you keep this in mind as you plan your Winter quarter. It is not uncommon for students to experience a lot of stress as they try to balance the demands of Task Force with the demand of other classes - especially during the month of February when everyone is trying to finalize their own contributions to the final report while peer-editing the writings of others and carrying out extra tasks such as editing, coordinating, creating the poster, or creating PowerPoint slides for the Task Force's final presentation to the evaluator on Task Force Evaluation Day – Friday, March 15th.

B. You Have to Complete your Report in Seven Weeks – by March 4th!

Yes, seven weeks – between the second week of Winter quarter and the end of the eighth week of the quarter. That's all the time a Task Force has to do the required research, to create multiple drafts of all the writing, to provide each other with feedback and comments – and to produce a final neat and copy-edited version of the report that can be sent and presented to a busy professional expert who is visiting Seattle and UW for the sole purpose of hearing your presentations. So, seven weeks is not the time you have to write your own contribution to the final report – it is the time you have to write your own contribution AND to help put all the contributions together AND to create a presentable final report for your Task Force as a whole. The to-do's and deadlines for all Task Forces, as outlined in the 2013 Task Force Calendar at the end of this handbook, are mandatory and immovable for everyone, including instructors and International Studies program staff.

C. Others Depend on You – and You Depend on Them!

Task Force is a group effort and a group project. You are not able to choose any of the other members of your Task Force – but you do have to work with them over the course of a very intense quarter in which all of you have other classes and other commitments. Task Forces are managed and coordinated largely by the students themselves, with guidance, advice and input from faculty instructors. This means that everybody has to work together and support each other in often stressful conditions as the final (and immovable) deadline for the final report rapidly approaches. Free riders and shirkers are a serious threat to any Task Force, as are any students who are unwilling or unable to create time in their schedules for the many different jobs and assignments required to make Task Force work. Everybody's experience (and grade!) suffers if anyone refuses to pull their weight.

D. The Final Report is One Big Collaborative Project – and You Have to Help!

Your Task Force works together to create one comprehensive final report. The final report contains research and policy recommendations from all the students in the group. It is typically between 200 and 300 pages long, depending on the length of the individual contributions. A final Task Force report consists of the chapters produced by individual students, plus the executive summary, an introduction and a conclusion, and a comprehensive bibliography. Students do all the writing and editing and reviewing and proof-reading, and turn it into a professional-looking report that is submitted to an external evaluator with deep experience of the topic. Unlike in most other classes your own contribution does not stand alone; it has to fit into the overall report which you have to help create.

3. The Organization of Your Task Force – and Your Role In It

Different people have different roles in your Task Force. And that includes you! You are not just a student dropped into a class: you are an active participant in creating the organizational structure of your Task Force – and making it work!

Below you will find a list and descriptions of the different positions and jobs and groups that make up a Task Force. For students these roles are not all mutually exclusive – actual arrangements and assignments will depend on decisions made by your particular Task

Force team and your instructor. But, apart from the instructor's role, all of these jobs will have to get done – by you and your fellow Task Force members!

A. The Instructor

Your Task Force instructor is a member of the UW faculty – he or she might be a full-time faculty member or an affiliate professor appointed to lead a Task Force. Your instructor created the topic of your Task Force based on their own interests, background and expertise. He or she will provide you and the other Task Force students with substantive guidance on the Task Force topic, research sources and resources, and the policy context. Your instructor will assign readings and tasks to you which you will complete over Winter break. They might spend a class or two at the beginning of Winter quarter providing you with essential background knowledge and will otherwise be available during and outside class meetings to give advice and feedback on the research you are doing for your contribution to the final report. Your instructor will also help you create the structure of the final report, provide guidance on its content, connect you with experts, and help get the group ready for its final presentation to the outside evaluator (who was identified by your instructor.)

B. The Coordinator and the Editor

Most Task Forces appoint a team of two students to carry out the jobs of coordinating and editing. The team can share both tasks, or divide them up – and this choice is left to individual Task Forces to decide. Read this section carefully to see if you are interested in one of these positions – they will need to be filled very quickly, in the first week of Winter quarter (i.e. by January 11th at the latest!) These positions are absolutely essential to the smooth and effective running of the Task Force. They are not vanity positions! If you enjoy, and are good at, managing a project or editing the writings of others then you may be a good fit for one of these positions. Both require an even temper and a lot of dedication and good will! Your instructor will determine the process by which the editor/coordinator team is appointed.

Being an editor or coordinator does not mean that you have no writing of your own to do: in most Task Forces the editor/coordinator team is also responsible for the final report's executive summary, introduction, and conclusion – all of which are typically written right before the final report goes to print.

The coordinator acts as a kind of project manager who oversees the overall workflow of the Task Force and is essential in enforcing deadlines and tracking individual contributions and overall progress. The coordinator typically creates a calendar of tasks based on the common to-do's and deadlines outlined in the Task Force Calendar, manages and enforces internal deadlines for drafts, peer-editing (students reading and editing each other's work), and any meetings outside of class time. The coordinator is also a liaison between the students and the instructor and between the Task Force and International Studies program staff. In this capacity the coordinator collects and passes on any required information about copyright, meal preferences for the formal dinner on March 15th, or the printing of the final report.

The editor is essential in ensuring that the final Task Force report is of high and even quality. This involves providing continuous feedback to individual students on their contributions, enforcing a uniform citation system and style, managing the peer-editing process, and integrating all the individual contributions in the final report. In doing all this, editors will have access to the advice and guidance of professionals at the UW Libraries and the Odegaard Writing Center. A special drop-in session for editors and coordinators will be provided by UW librarians.

C. Sub-Groups within Your Task Force

At the beginning of Winter quarter most Task Forces create sub-groups of students working on similar or related areas within the Task Force's overall topic. For example, there might be three sub-groups looking at the impact of an issue on three different regions or countries, or separate groups exploring different aspects of the same problem. These small sub-groups can more easily peer-edit each other's work, under the guidance of the Task Force's overall editor. Creating sub-groups can help make Task Forces more manageable, and allow students to cooperate more closely based on their interests and backgrounds.

D. Individual Task Force Members

If you are not an editor or a coordinator then you will be contributing your own chapter or section to the final Task Force report – typically as part of a sub-group of three or four students. Chapters and sections (and therefore groups) are usually defined and assigned at the beginning of the Winter quarter based on the interests and backgrounds of individual students and on the overall vision and goals of the report as developed between the

instructor and the students. Task Forces have some latitude in determining their division of labor and the length and nature of individual contributions – but, typically, you will be responsible for a written section of about 15-20 pages in length. You will carry out the research for your chapter, locating and managing your sources and references in a neat bibliography compiled according to your Task Force’s chosen citation style (for example MLA or Chicago.) You will write and rewrite and edit as you receive feedback from the instructor, the editor, or other students in your group. You will make sure that your contribution meshes and fits well with all the others as the final report is compiled, making adjustments and changes as needed and as advised. You will have to keep an eye on deadlines and make sure you do not jeopardize your group’s collective efforts to produce a presentable report free of plagiarism, typos, and errors. You will keep in mind that you are writing not for your instructor but for an evaluator with considerable professional experience who will judge your group’s report on its academic and professional merits.

In addition you will be asked to create content for your Task Force’s final briefing – which is typically a PowerPoint presentation. You will have to create a slide (or slides) with your own key findings and recommendations.

Two special assignments are available to students who are willing – and feel able – to carry them out. Both of these assignments give you the opportunity to present the work – and convey the process – of your Task Force to a broader audience on Evaluation Day. This audience may include students in other Task Forces, other instructors, and other evaluators. Both of these assignments have to be combined with the normal workload of research and writing.

The Poster Team: the findings and recommendations of your Task Force are presented on a poster that will be on display at the formal dinner on Friday, March 15th. A small group of students will work on condensing the report for presentation on the poster in a visually effective and appealing way – a challenging task!

The Dinner Speaker: one student from each of the eight Task Forces will speak during the formal dinner on Friday March 15th, briefly introducing their group and talking about the work of their Task Force, in an informal mood, for about three minutes.

4. Getting Ready for Task Force: Fall Quarter and Winter Break

A. Deadlines!

The most important aspect of Task Force to keep in mind is DEADLINES.

In other classes instructors might give you extensions or cut you some slack. In Task Force there is no slack to cut. All Task Forces are evaluated on the same day – on Friday, March 15th – and Evaluation Day ends with a formal dinner for all students, instructors and evaluators. Final reports have to be delivered to program staff (who overnight the hardcopy to evaluators) by noon on Friday, March 8th. Since it takes time to produce a presentable and readable and neat and professional-looking report, and it will need to be printed...

**...you have a total of SEVEN WEEKS to do
ALL the research, writing, editing,
rewriting, formatting...**

...after which you have about two weeks to prepare and rehearse your final presentation which should look professional (as should you!), with a clear and informative slide presentation and a concise script.

This ‘Seven Week Clock’ starts ticking at the beginning of the second week of Winter quarter – on Monday, January 14th – since the first week of the quarter is dedicated to determining the direction and structure of the final report.

So it is important that all the Task Forces (and you!) hit the ground running on the first meeting of your Task Force (which will be on Monday, January 7th or Tuesday, January 8th, depending on your class times) so that research and writing can start as quickly as possible.

To drive this home, here are the key dates to keep in mind:

First Meeting of Task Forces:

Monday January 7th or Tuesday January 8th

Beginning of 'Seven Week' Period for Research, Writing, and Editing:

Monday, January 14th

End of 'Seven Week' Period for Research, Writing, and Editing – The Final Version of Task Force Report Goes To Print:

Monday, March 4th

Evaluation Day (Presentation to Evaluator and Task Force Dinner):

Friday, March 15th

To make all this happen the run-up to Task Forces begins in Fall quarter.

B. Choosing your Task Force

Around the beginning of Fall quarter 2012 you will receive information about the topics of all the 2013 Task Forces, with short descriptions, along with an online Catalyst WebQ survey asking you to rank the available Task Forces according to your preferences. This will help Linda Iltis in JSIS Students Services assign you to a particular Task Force.

C. The Policy Memo Workshop in Fall

Your own contribution to your Task Force's final report will combine academic research and writing with policy writing. Policy writing means writing for an audience of decision-makers: you are providing background for a set of recommendations that will help others make a decision. In the "real world" this often means producing a very short policy briefing in the style of a memorandum (or "memo") – which might not be longer than one page. Developing this skill is important for professional work in a wide variety of settings – in policymaking, consultancy, or in the corporate and the non-profit worlds. After graduation most of you will not be spending much time writing 25-page research papers but almost all of you will be asked to provide very clear and concisely written input that synthesizes a large amount of literature or data or research for someone else's practical use in guiding an important decision or choice (and one day YOU may be that 'someone else'!)

In your Task Force you will typically be asked to preface your chapter with a very brief summary which condenses and digests your chapter's main points and findings. The final report must be prefaced by an overall Executive Summary which you may be asked to write (if you are an editor) or to help write or edit. This requires the ability to write in a style that is concentrated, clear, crisp and concise.

To this end you are required to register for, attend and complete a two-part Policy Memo Workshop in Fall quarter 2012 (JSIS 478 M, 1 cr. C/NC.) The workshop consists of two class meetings (you have a choice of dates and times) and is led by Philip Wall, a retired senior U.S. diplomat and affiliate professor in the Jackson School. In the workshop you will learn about the writing of policy memos and executive summaries and you will practice this by writing your own memo (based on a set of readings on a current policy issue) and having it read and critiqued by Professor Wall.

Policy Memo Workshop | Fall 2012 | JSIS 478 M | Dates and Times:

Workshop Part I: EITHER on Monday October 15th, 4:30 pm to 6:20 pm OR on Tuesday October 16th, 5:30 pm to 7:20 pm.

Workshop Part II: EITHER on Monday November 26th, 4:30 pm to 6:20 pm, OR on Tuesday November 27th, 5:30 pm to 7:20 pm.

NOTE: Professor Wall has also taught classes on Negotiations (SIS 490 J) and American Foreign Policy (SIS 423): if you have taken any of these two classes you will NOT have to attend the Policy Memo Workshop.

D. Readings and Assignments During Winter Break

Most students are unfamiliar with the topics they will be researching and reporting on in their Task Forces. To make sure everybody starts from a similar baseline your instructor will assign readings for you to complete by the first day of Winter classes (typically over Winter break). Your instructor may also ask you to prepare a preliminary written work based on the readings. Your instructor will be in touch with you before the end of Fall quarter with details. Some instructors may want to meet with their Task Forces before the end of Fall quarter. In any case, be ready and make time to do some preparatory work for your Task Force before Winter quarter begins.

5. Managing Your Task Force Quarter: To-Do's, Deadlines, and Deliverables

A. The First Meetings of Your Task Force

Winter quarter has finally arrived and you have your first official meeting with your instructor and the other members of your Task Force – either on the Monday or the Tuesday of the first week of the quarter (January 7th or January 8th). Do not arrive on campus late for Winter quarter! Work on Task Force begins right away and you are part of a team. You have to come to the first class meeting prepared and ready to sign up for tasks and jobs!

The first few meetings of your Task Force should be dedicated to:

Defining and delineating the scope of the final report, keeping in mind who the report is being written for

Defining the building blocks of the final report, including the scope and content of individual chapters and report sections (groupings of individual chapters)

Selecting and appointing the editor and coordinator from among the students

Creating a timeline, and understanding and reinforcing important deadlines

Creating tools and procedures to manage the Task Force and the communication between members (typically UW Catalyst tools such as GoPost, ShareSpaces, WebQ etc.)

Doing all this work effectively in the first week of the quarter means that research and writing can begin in the second week of the quarter (the week of January 14th): that's when the clock for the seven-week research/writing/editing phase of the Task Force starts to tick.

B. The UW Libraries Workshop

Every year we work with the staff at the UW Libraries to create a series of workshops to help students get started on the research they will need to do for their reports. The relevant subject librarians create a tailor-made workshop for each Task Force. In your workshop you will be introduced to your subject librarians and to the tools you need to work effectively on your specific topic. There is a dedicated UW Libraries page for each of the eight Task Forces which is a portal to a wide variety of sources and resources. Getting

to know your subject librarian is essential: they are a great resource when you need to do a lot of research under time pressure. UW has one of the best library systems in the country – make the most of its people and resources!

Your Task Force’s workshop will take place at the beginning of Winter quarter – during one of the first four class meetings. The workshops take place in the Suzzallo or Allen Libraries and we will let you know on what day and where your workshop takes place.

C. Doing Your Own Research and Writing

Task Force is a collective effort. This means that your own topic and your own research and writing have to fit into the overall structure of your Task Force’s final report. The editor and coordinator are tasked with managing the process and helping you ensure that all the pieces fit together. But it is your responsibility to carry out your own research and writing diligently, carefully and thoroughly so that the final report is of a high and consistent quality.

To be effective you will start by carrying out a survey of the relevant sources and information for your topic – a literature review. You cannot write a policy-relevant paper without showing that you know what you are writing about. For your chapter to inspire confidence you will have to demonstrate to your audience (your evaluator) that your information is relevant, authoritative, and up-to-date. Otherwise your policy recommendations and advice cannot be taken seriously.

Here are a few essential tips:

- Look at past Task Force reports which are available online via the JSIS International Studies page and in hardcopy in the JSIS Student Services office (THO 111)

- Use the links and databases available to you from your Task Force’s resource page (created for your Task Force by a UW Librarian) to get started

- Talk to your instructor about the scope of your chapter and about essential sources

- Talk to your subject librarian for additional guidance on sources

- Coordinate and work with other members of your group (especially those working on related sub-topics) to share important sources and information

- Maintain a clean and neat bibliography of the sources you consult, and maintain it in the citation format your Task Force has chosen so that it can easily be incorporated into the final report’s overall bibliography – and used by others if necessary

Maintain good and clear research notes...so you don't have to go back and re-take any notes or re-check any bibliographic information

Maintain good and clear research notes...so you don't inadvertently commit plagiarism by failing to distinguish between other authors' quotes and your own writing. Be wary of cutting and pasting!

Look for good and helpful and up-to-date visual information, such as graphs, charts and maps, which will help bring your chapter to life and can save you a lot of descriptive writing

Keep track of where you found your information – you will need to sign a copyright form to ensure that you are using this information ethically

Think about ways of creating your own visual information (tables, charts etc.) – it can be a very effective and efficient way of summarizing and presenting information. If you are good at this offer your help to others; otherwise find out who in your Task Force has some experience with this or skill in this area

D. Writing, Editing... and Re-Writing... and Editing Again...

Your chapter (and with it the final report) will evolve and develop over the course of the 'Seven Weeks' as you write and re-write a number of drafts. You will typically produce three or four drafts before the final version of your contribution goes into the final report.

Since everybody is doing this there is a lot of editing to do in a short time. Editors cannot do all this work by themselves – so they will ask small groups of students to peer-edit and review each other's drafts. Instructors will also help. The editor and the coordinator will create and maintain a timeline and schedule for producing and submitting drafts so that the process is synchronized – and a platform (such as Catalyst ShareSpaces and/or Google Docs) for doing this so that drafts can be submitted and picked up online and everyone can work on the report from different locations and at different times.

Be aware that there will be many bursts of intense writing, reading and editing. You will meet with others outside of your regular Task Force class times to review and discuss progress. It can be stressful at times because the deadline is drawing near and there are other things you have to do in your life. But you will need to prioritize Task Force because it is a team effort. You will need to get along with others or the whole project is in jeopardy.

E. Creating Your Own Policy Recommendations

When everyone has completed their final drafts your Task Force will have to produce its overall set of policy recommendations. They are typically part of a concluding section which the editor will oversee and write. This section is of course key to your report and your evaluator may well read that part first!

The policy recommendations should be few, clear, concise, and evidence-based – and they should give direction on actual steps that might be taken. Recommendations have to be backed up by the material that you presented and discussed in the individual chapters and sections. All Task Force members have to agree to these policy recommendations; achieving this consensus will typically involve some discussion and debate during a class meeting. Your policy recommendations should be clearly prioritized and sequenced and reflect your awareness of constraints. Decision-makers have scarce resources and may need to do just a few things – simply producing a long ‘laundry list’ of recommendations undermines the usefulness of your report.

Remember that your evaluator is a policy professional with considerable experience in the “real world.” Don’t just give them a list of nice-sounding platitudes of the ‘motherhood and apple pie’ variety (“Persuade warring factions that peace is in their best interest”) or completely unrealistic ‘pie-in-the-sky’ recommendations (“Immediately lower international carbon emissions by 50% to prevent sea level rise”)

F. Creating the Final Report

Eventually the editor and coordinator will ask for your final-final draft in a standardized format (fonts for main text, headings and sub-headings, font size, citation style, margins) which will then be merged with all the other contributions and the surrounding sections (introduction, conclusion/policy recommendations, and the executive summary). Pagination will have to be checked, spelling and grammar will have to be checked, visual information will have to be put in the right places and properly referenced, the bibliographies will have to be checked (and in many cases merged to create a single section of references.) The final report will then have to be taken to the Copy Center (in the basement of Communications) by Monday, March 4th.

The editor and coordinator will need help with all this. Be ready to step in and take responsibility during this crucial phase when the submission deadline is just a few days away!

G. The Task Force Poster

Early in the Winter quarter you will receive a PowerPoint template which you will use to create a poster for your Task Force. Each Task Force will create such a poster, representing its topic and highlighting its policy recommendations. Creating the poster is a useful part of the Task Force learning process because it requires you to distill the key findings of your research; it also gives you the experience of creating the kind and quality of poster suitable for an academic or professional conference. This distillation will provide a framework for your presentation at the evaluation session. The Jackson School also encourages Task Force students to submit their poster to the annual Mary Gates Undergraduate Research Symposium, to be held in the spring.

If you enjoy creating a visual representation of your groups' work then you should join your Task Force's 'poster team' and, using the information from the final report, help create your group's poster – by around Monday March 4th (the poster will be printed at the Copy Center in COMM.)

All the Task Force posters will be on display at the formal dinner on Evaluation Day (Friday March 15th.) Some posters from past years can be viewed along the staircase to the fifth floor of Thomson Hall – check them out for insights and inspirations. Additional posters are kept in THO 502 and can be viewed on request by contacting Tamara Leonard (tleonard@uw.edu).

6. How Your Task Force is Evaluated

Your completed Task Force report is expedited to your evaluator about one week before Evaluation Day (which is on Friday, March 15th, the last day of Winter quarter classes.) This gives your external evaluator time to read and digest the report and its findings – and to formulate questions and comments to put to you during the formal oral evaluation. This section will tell you more about the evaluation process and about the things that happen on Evaluation Day.

A. Evaluation Day – Friday March 15th

You must make sure you are available on Evaluation Day – all day! Your Task Force will be given a two-hour time slot during which you will present to your evaluator. Evaluations may start as early as 9 am and end as late as 5.30 pm, depending on room availability. The evaluation will happen on campus in a room that looks and feels professional: last year, evaluations took place in Paccar Hall, the Burke Museum, Thomson 317, and Mary Gates Hall. You or other members of your Task Force will be involved in hosting your evaluator which may involve escorting them to and from their hotel and between appointments such as the evaluator luncheon, the evaluation session, and the formal dinner. The formal dinner is typically at the University of Washington Club (near Hall Health); it begins around 6 pm and ends around 9:30 pm and includes all instructors, evaluators and students, and other Jackson School program faculty and staff. The formal dinner is part of the professional experience of Task Force: you are expected to dress nicely and comport yourself in a professional and presentable way that shows you, your Task Force, and the School in the best possible light!

B. Who Is Your Evaluator?

Your evaluator is an experienced professional who works in the field or in the region defined by your Task Force’s topic and ‘brief’. Many past evaluators have been retired diplomats or senior government officials (who may have some experience of universities and academic research), or senior members of NGOs and advocacy organizations. Your instructor will identify the appropriate evaluator, and evaluators from recent years include:

Ryan Crocker, former U.S. ambassador to Iraq, Afghanistan and Pakistan

Erin Conaton, U.S. Under Secretary of the Air Force

Krist Novoselic, co-founder and bassist of Nirvana and chair of FairVote

Donna Hopkins, Coordinator for Counter-Piracy and Maritime Security, U.S. Department of State

Bates Gill, Director, Stockholm International Peace Research Institute (SIPRI)

Rebecca Lent, Director, Office of International Affairs, National Oceanic and Atmospheric Administration (NOAA)

You will know early in Winter quarter who your evaluator is. This will help you focus your research and writing.

C. Your Task Force Report is Written for Your Evaluator

In most of your classes you produce written reports or papers for your instructor, or for your TA (who reads and grades on your instructor's behalf.) In your Task Force you are writing for your external evaluator. Task Force research and Task Force final reports are directed at a notional or actual client who will use the report for practical purposes. There are two possible formats for this, and your Task Force will use one of them:

The final report can be written for a branch or organization in the U.S. government (e.g. the White House, or the EPA, or the DoD) to inform and influence the U.S. policymaking process. In this case your evaluator will have some experience of that organization or be familiar with its workings as a policy or think-tank professional - for example as a senior diplomat, a member of Congress, or a government official (who might be retired.)

The report can be written for an organization that is not part of the U.S. government, such as a multilateral institution, a corporation, an NGO or international NGO, or a foreign government. For this type of Task Force the client organization is involved during the preparation and execution of the Task Force, and your evaluator will be a senior representative of that client organization. Examples of this in recent years include a Task Force reporting to the International Budget Project (on accountable and transparent budgeting in poor countries) and a Task Force reporting to the advocacy group FairVote (on electoral reform in Washington state); in both cases senior members of those organizations evaluated the Task Force reports and the format of the report was tailored to the practical needs of those organizations.

D. Preparing for Your Evaluation

Between the completion of your final report and Evaluation Day you will be involved in preparing for your evaluation. Under the guidance of the instructor and your editor/coordinator team you will create slides for a professional-looking PowerPoint presentation. You will also rehearse (typically twice) the entire presentation so you can be confident that it is effective and flows smoothly on the day. Every student should have a very short script ready, and preferably memorized, for their part of the presentation. Most

Task Forces decide to give every student a speaking slot during the evaluation – so you will have to create one very clear and concise PowerPoint slide for your own contribution and make sure the format and length are comparable to those prepared by other students.

E. The Two-Hour Final Evaluation

Each student's contribution will have to be very short to allow enough time for Q&A with your evaluator; if you have sixteen students in your group each student can speak for only about three minutes! Making a very brief presentation is a challenge, and rehearsals will help you get it right. Most Task Forces make a presentation of (at most) one hour's length to the evaluator and leave one hour for questions, comments and feedback. Hearing from your evaluator is the key part of the evaluation: your evaluator may direct questions at individual students, ask for clarification, and provide constructive criticism of any part of your report – especially the recommendations. The atmosphere is professional but courteous; it is neither confrontational nor hostile! Your evaluator has read your report and will listen to your presentation as they would in their professional lives, and treat you as they would treat another professional. They have not met you before and do not know you except through your contribution to the report and the evaluation. The quality of the content and the presentation are therefore essential, and preparing it thoroughly is well worth the effort. You should see the final evaluation as an opportunity to develop and sharpen the kinds of skills you will need in your own professional life: speaking clearly and confidently, taking responsibility for your work, building your professional relationships, and being willing to learn from others who have more experience than you do.

F. The Task Force Dinner

After your final evaluation, in the evening of Friday, March 15th, comes the formal Task Force Dinner. The dinner is a professional social event, and attendance is required for all students. You will dress smartly and behave professionally. You will be seated at a table with your own Task Force – including the instructor and the evaluator, and any guests they might bring. You will enjoy food, drink, and an opportunity to reflect and talk about the challenges and successes of the past quarter. There will be opening remarks by the director of the School and the chair of the I.S. program, and a keynote address by one of the evaluators. During dinner, one student from each of the Task Forces will briefly talk about and showcase their group with some informal and light-hearted impressions of what their

TF did and how the work went; this is also an opportunity to thank the instructor and evaluator.

It is important that you do not treat the dinner as an opportunity to let your hair down and party – you are free to do this after the dinner is over and you move to other, more casual venues! Please note that there will be no alcohol served to students at the dinner – and that you are not allowed to bring any alcohol of your own.

G. Your Final Grade

Final grades are awarded by the instructor, as in any other course. Your instructor will let you know about the specific criteria they will use to grade you and the other students in your Task Force. In general, though, your overall course grade in JSIS 495 will reflect your participation in the Task Force process as well as your contribution to the final report and the final evaluation. Instructors will use the evaluators' feedback and comments in creating the students' grades, taking into account any special efforts or contributions that individual students have made over the course of the quarter. Doing well in Task Force means more than just producing good research and writing: your Task Force is effective and works well only if everyone is also a 'good citizen', contributing more than just their own chapter. Instructors know this and use the grading scheme to reinforce it and provide incentives not just for rigorous and conscientious work, but for good citizenship.

7. How to Make the Most of Task Force: Five Tips

1. In Winter quarter, budget and manage your time in a smart way. Task Force has to take priority over other classes and commitments since it is a team effort and other people depend on you (even more so if you decide to become a coordinator or an editor in your group.)

2. Don't just do the minimum. Be a good citizen in your group and stand ready to help out with any jobs that have to be done – especially during 'crunch time' when the final report is being assembled from all the individual contributions; a lot of this work will have to be done during week eight of the quarter (Feb 25-Mar 1)

3. Accept and enjoy the challenge of working on a topic that is outside your comfort zone. Not everybody is assigned to their top-ranked Task Force – and even if you are you

may be asked to work on a topic that is new or unfamiliar to you, or that you did not think you were that interested in. That's life! You will often face challenges like that in your professional career, so try to roll with it. Many Task Force students have found that doing good research and writing in a dedicated group of peers is its own reward – and many issues become interesting and important once you start working on them.

4. Take Pride in Producing a Good Report. Task Force reports are published electronically by the UW Libraries, so future students will consult them before they take their own Task Forces. Your evaluator will give your report the scrutiny they would apply to any professional report. These are two good reasons for trying your best to create a professional product of high quality and lasting value.

5. Create Strong Academic and Professional Connections. Task Force is a great opportunity to make a strong and lasting impression on your instructor and on your evaluator. During Task Force instructors get to know their students' abilities and potential very well indeed – something that can result in a strong, personal and convincing letter of recommendation in the future. Many students have been able to strike up helpful and useful relationships with their evaluators through the final presentations and conversations on Evaluation Day. There are many opportunities for networking in Task Force, more than in most of your other classes.

8. One-Page Calendar of Key Deadlines, To-Do's, and Deliverables

On the following page you will find a concise calendar for the Task Forces in Winter quarter 2013. There may be small changes in dates but all the deadlines are fixed and immovable!

Keytoabbreviations:

TF = Task Force

JM = Jane Meyerding | THO 419 | mjane@uw.edu

TL = Tamara Leonard | THO 502 | tleonard@uw.edu

Task Force 2013 | Winter Quarter Calendar with To-Do's, Deadlines and Deliverables

Week	Dates	<i>To-Do's, Deadlines and Deliverables</i>
1	Jan 7- Jan 11	UW Libraries - Research and Writing Workshops Appoint Editors/Coordinators; define and assign format and chapters <ul style="list-style-type: none"> • Appoint Poster Team
2	Jan 14- Jan 18	<ul style="list-style-type: none"> • UW Libraries - Research and Writing Workshops • Make sure all students are available on Mar 15 for evaluation and dinner
3	Jan 21- Jan 25	
4	Jan 28- Feb 1	
5	Feb 4- Feb 8	<ul style="list-style-type: none"> • Sign copyright permission form and give to JM • You will receive room assignment for evaluation • Poster team: be familiar with poster format
6	Feb 11- Feb 15	<ul style="list-style-type: none"> • Copy Center: check deadline for submitting MS in time for Mar 8 binding • Give exact title of TF Report to JM • Poster team: design poster (graphics etc.) • Dinner prep: collect entrée choices + check for \$10 per student to JM
7	Feb 18- Feb 22	<ul style="list-style-type: none"> • Take class photo for poster • Determine time for evaluation "dry run" in week 10, arrange for room
8	Feb 25- Mar 1	<ul style="list-style-type: none"> • by Mar 1: send name of your TF's dinner presenter to JM • mid-to-end-of week: final versions of chapters to editors/coordinators • collation and merging of individual chapters, formatting final report MS
9	Mar 4- Mar 8	<ul style="list-style-type: none"> • Instructors review <i>final version of poster</i> by Mar 7: final version of poster to Copy Center for printing by Mar 4: deliver report manuscript to copy center by 12 noon on Mar 8: give hardcopy of evaluator's TF report to JM
10	Mar 11- Mar 15	Practice evaluations with PowerPoint presentation by Mar 14: bring printed poster to TL - by Mar 15: give complete PDF version of TF report to JM

Research, writing and editing period

SEVEN WEEKS

FRIDAY MARCH 15th

Two-hour evaluation of TFs by outside evaluators
Dinner 6-9 pm, UW Club (business/professional attire)

Enjoy your Task Force Experience!

Acknowledgements

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Hellmann Fund for Innovation and Excellence in International Studies

International Studies Program Discretionary Fund

Maxwell M. and Julia Fisher Endowment

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U.S. Department of Education

Center for Global Studies, UW

The Henry M. Jackson School of International Studies, UW

Indonesia Task Force 2012



Universitas Indonesia
University of Washington

Henry M. Jackson School of International Studies

Universitas Indonesia
University of Washington
The Henry M. Jackson School of International Studies

Faculty Advisers

Professor Suraya Afiff, Universitas Indonesia
Professor Celia Lowe, University of Washington

Interviews and Field Work in Indonesia

December 29, 2011- January 13, 2012
Trip Report

The facilitation of our research trip to Indonesia was made possible by the contributions of:

- Center for Global Studies
- The Hellman Fund for Innovation and Excellence in International Studies
- The Henry M. Jackson School of International Studies
- International and Foreign Language Office of Postsecondary Education
- International Studies Program Discretionary Fund
- Maurice D. and Lois Schwartz Endowment for International Education
- Maxwell M. and Julia Fisher Endowment
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- US Department of Education

In the Henry M. Jackson School of International Studies, we would like to thank:

- Sara Curran, Director, Center for Global Studies
- Wolfram Latsch, Associate Chair of the International Studies Program
- Tamara Leonard, Associate Director, Center for Global Studies
- Jane Meyerding, Program Coordinator, Center for Global Studies



The 2012 Indonesia Task Force has been a remarkable journey, bringing together students from the Universitas Indonesia and the University of Washington to study deforestation and environmental policy in Indonesia. Most undergraduate students in the Jackson School and the University never have the opportunity to participate in real fieldwork. While many undergraduates have research experiences, most are limited to library resources and applications of scholarly theory. Our research on Reducing Emissions from Deforestation and Forest Degradation in Indonesia was an invaluable introduction to real, on the ground research. Our work was comprised of interviews with stakeholders at all levels of policy-making. Instead of reading formal documents and reports to inform our analysis of REDD+, we were able to gather first hand information from various parties involved, including presidential aids, government bureaucrats, NGO and private company executives and local people on the ground. By asking our research questions directly to the very actors involved, we were able to get a true sense of REDD+ and it's implications for the region. These interviews were real, the information was real, and we believe that the understanding gained would simply not have been possible without this first hand experience.

More importantly, however, the aspect of our Task Force that contributed most to such a positive learning experience was that we conducted our research and writing through a collaborative process. During our research, at the beginning of each interview, we would describe our group and our mission.

“This research group is unique because it is the first collaborative task force of its kind. This project is a working partnership between the Universitas Indonesia and the University of Washington, to understand the REDD+ program in Indonesia.”

In every interview, we introduced ourselves in this way, stressing the unity of our international team. We described our group in this way because, the collaborative aspect of this research experience has been deeply rewarding, creating bonds of friendship and scholarship of which we are incredibly proud. We each brought different knowledge, backgrounds and disciplinary perspectives to our work, giving our report a broad perspective. As one, bilateral team, we were able to have fascinating discussions, challenging each other to grow our understanding and encouraging new perspectives and methods of analysis.

We cannot adequately express our gratitude to all of the individuals who made this experience possible. Many thanks to our professors, mentors, and other individuals who arranged every aspect of our wonderful stay in Indonesia and organized an incredible line-up of interviews and research opportunities. We have each learned a tremendous amount in an incredibly short period of time, and we owe our depth of understanding to you. Thank you, also, to our sponsors and everyone behind the scenes who invested in our experience.

Terima kasih!
Thank you!

The UI-UW Task Force



Indonesia Hosts

Departments/ Organizations/Embassies

- Center for International Forestry Research (CIFOR)
- *Dewan Nasional Perubahan Iklim* (National Council on Climate Change, DNPI)
- Epistema Institute
- Flora and Fauna International (FFI)
- Forestry Research and Development Agency (FORDA)
- Greenpeace
- Aliansi Masyarakat Adat Nusantara (Alliance of Indigenous Peoples in the Archipelago, AMAN)
- Kemitraan
- Rimbawan Muda Indonesia (Indonesian Institute for Forest and Environment, RMI)
- Rimba Makmur Utama (RMU)
- The Royal Norwegian Embassy
- The Samdhana Institute
- Satuan Tugas REDD+ (REDD+ National Task Force, Satgas REDD+)
- UN-REDD Programme Indonesia
- USAID-Indonesian Forest and Climate Support
- Wahana Lingkungan Hidup Indonesia (Indonesia Forum for the Environment, WALHI)

Indonesia Schedule

December 29, 2011- January 13, 2012

Thursday, December 29

UW students arrive in Indonesia

Travel from Jakarta to Bogor

Friday, December 30

Hiking excursion to waterfalls at Taman Nasional Gunung Gede Pangrango

Saturday, December 31

Bogor Botanical Garden

Wayang Performance

Sunday, January 1

Travel from Bogor to Jakarta

Visit to Mesjid Istiqlal

Meeting with Universitas Indonesia research team

Monday, January 2

Opening workshop at the Universitas Indonesia



Tuesday, January 3

Satuan Tugas REDD+ (REDD+ National Task Force, Satgas REDD+)

Aliansi Masyarakat Adat Nusantara (Alliance of Indigenous Peoples in the Archipelago, AMAN)

Wednesday, January 4

Dewan Nasional Perubahan Iklim (The National Council on Climate Change, DNPI)

The Royal Norwegian Embassy

Wahana Lingkungan Hidup Indonesia (Indonesian Forum for the Environment, WALHI)

Thursday, January 5

UN-REDD Programme Indonesia

Flora and Fauna International (FFI)

Rimba Makmur Utama (RMU)

Friday, January 6

Rimbawan Muda Indonesia (Indonesia Institute for Forest and Environment, RMI)

Nyuncung Village Stay

Saturday, January 7

Nyuncung Village Stay

Sunday, January 8

Travel back to Jakarta

Monday, January 9

United States Agency for International Development (USAID)

Epistema Institute

Tuesday, January 10

Samdhana Institute

Greenpeace

Wednesday, January 11

Travel from Jakarta to Bogor

Center for International Forestry Research (CIFOR)

Forestry Research and Development Agency (FORDA)

Thursday, January 12

Task Force Workshop in Bogor

Friday, January 13

Travel from Bogor to Jakarta

UW students return to Seattle



Indonesia Hosts

Speakers/ Hosts/ Coordinators

- **Dr. Mubariq Ahmad**, Senior Consultant/Advisor on Climate Change Policy, World Bank
- **Mr. Patrick Anderson**, Fellow, Samdhana Institute
- **Ibu Laksmi Banowati**, National Project Manager, UN-REDD National Programme in Indonesia
- **Dr. Maria Brokhaus**, Scientist, Forests and Governance Programme, Center for International Forestry Research, Bogor
- **Pak Tachrir Fathoni**, Director General, Forestry Research and Development Agency, Bogor
- **Pak Dharsono Hartono**, President Director, PT Rimba Makmur Utama
- **Pak Yuyun Indradi**, Political Forest Campaigner, Greenpeace, Jakarta
- **Pak Darmawan Liswanto**, Indonesia Programme Director, Flora and Fauna International
- **Ibu Avi Mahaningtyas**, Chief of Cluster, Environmental and Economic Governance, Kemitraan
- **Dr. Moira Moelyono**, Senior Associate, Forests and Governance Programme, Center for International Forestry Research, Bogor
- **Pak Abdon Nababan**, General Secretary, The Indigenous People Alliance of the Archipelago (AMAN)
- **Mr. Alfred Nakatsuma**, Regional Environmental Advisor, United States Agency for International Development, Jakarta
- **Pak Heru Prasetyo**, Unit President, Secretary of the Task Force of REDD+
- **Dr. Joar Strand**, Counsellor, Norwegian Embassy, Jakarta
- **Dr. Doddy Sukardi**, Secretary of Working Group on Land Use, National Climate Change Council
- **Ibu Rini Sulaiman**, Climate Change and Forestry Adviser, Norwegian Embassy, Jakarta
- **Pak Teguh Surya**, Head of the Department of International Relations and Climate Change, Indonesia Forum for the Environment
- **Ibu Mina Susana Setra**, Advocate of Foreign Affairs, The Indigenous People Alliance of the Archipelago



Satuan Tugas REDD+
National REDD+ Taskforce

Pak Mubarik Ahmad – Senior Consultant/Advisor on Climate Change Policy, World Bank
Pak Heru Prasetyo – Secretary of Working Group on Land Use



For our first meeting, we interviewed Pak Heru Prasetyo and Pak Mubarik Ahmad, two members appointed in 2011 by the President of Indonesia to the National Task Force on REDD+. In his presentation, Mr. Prasetyo talked about the diverse perspectives different stakeholders have of forests, land tenure, and indigenous people, and how these differences have triggered problems in implementing REDD+. He also explained the role of the National Task Force, national strategies for REDD+, and about Indonesian REDD+ readiness. Mr. Ahmad explained about the economic aspects of REDD+ for Indonesia. This meeting was valuable because it helped give us a formal introduction to REDD+ in Indonesia.



Aliansi Masyarakat Adat Nusantara
Alliance of Indigenous People of the Archipelago

Pak Abdon Nababan – General Secretary
Ibu Mina Setra – Advocacy of Foreign Affairs



Alliansi Masyarakat Adat Nusantara (Alliance of Indigenous Peoples in the Archipelago, AMAN) is an indigenous rights organization that represents hundreds of Indonesia's communities governed by customary law (*masyarakat adat*). Through a short video and a presentation, Ibu Susetra demonstrated the historical tribulations of the *masyarakat adat* and their skepticism of REDD+ schemes. Our questions for both Ibu Susetra and Pak Nababan emphasized the fact that the Indonesian government has room for improvement in its relations with *masyarakat adat*. Indeed, AMAN sees REDD+ as a political tool used, at best, to micromanage natural resource use by *masyarakat adat*, and at worst to marginalize indigenous rights. Their perspectives were helpful in illuminating the many challenges REDD+ faces in uniting diverse stakeholders.



**Dewan Nasional Perubahan Iklim
National Council on Climate Change**

Dr. Doddy Sukardi – Chairperson of LULUCF



We started our second day of research with an interview with Dr. Doddy Sukardi at Dewan Nasional Perubahan Iklim (National Council on Climate Change, DNPI), one of the new agencies the Indonesian government has created to focus on climate change. Dr. Sukardi started the interview with a presentation on the role of the DNPI and their position on REDD+, of which they are supportive. A significant portion of the presentation discussed the plan for REDD+ implementation, the phases of implementation, and the role of donors and the international community. After the presentation we started an in depth discussion of some of REDD+'s challenges and critiques. One of the issues we discussed thoroughly was how the problem of land tenure can be addressed to satisfy all the stakeholders, as this is a key issue and became central to our report. The information from Dr. Sukardi and the DNPI and the issues we discussed during this interview proved to be a key resource for our report.



Royal Norwegian Embassy, Jakarta

*Dr. Joar Strand – Counselor for Forest and Development
Ms. Rini Sulaiman – Climate Change and Forestry Adviser*



From the Norwegian Embassy interview we learned that the funding mechanism for REDD+ works for Indonesia. It is not only important for Indonesia as recipient, but also for industrial countries responsibilities to take part in climate change mitigation efforts. Dr. Strand stressed Norway's commitment to REDD+ in Indonesia, and also acknowledged the many problems that it faces, such as corruption. According to Dr. Strand and Ms. Suleiman, Norway's perceives this project is an investment to maintain sustainable development. This visit provided us with a glimpse into the international politics surrounding REDD+ in Indonesia.



Royal Norwegian Embassy, Jakarta

*Dr. Joar Strand – Counselor for Forest and Development
Ms. Rini Sulaiman – Climate Change and Forestry Adviser*



Our interview with WALHI presented us with a critical view of REDD+ from a civil society organization. WALHI is an Indonesia NGO focused on environmental issues. We were given a presentation entitled “WALHI for Indonesia” by Pak Mohommad Teguh Surya, the Head of the Department of International Relations and Climate Change. In the presentation, we learned that WALHI does not support REDD+ because they believe that it provides a false solution to climate change. WALHI believes that REDD+ provides a way for industrialized countries to continue emitting greenhouse gasses. Instead, they propose that community management projects are the best way to preserve forests, and that the problem of deforestation does not require an international initiative. WALHI stressed the need for Indonesia independence and sovereignty. This interview was enlightening because it provided us with a dissenting opinion of REDD+. WALHI’s criticisms helped us identify some of the most controversial aspects of REDD+ in Indonesia to incorporate into our report.



UN-REDD Programme Indonesia

Ibu Laksmi Banowati – National Project Manager



We began our third day of research by interviewing Dr. Machfud, Pak Ucok, and Ibu Laksmi of the UN-REDD office in Jakarta, Indonesia. The staff of UN-REDD opted not to give an opening presentation and so we began with questioning. The staff told us that their UN-REDD was primarily concerned with developing a funding mechanism for REDD+ in Indonesia rather than developing a carbon market mechanism. We also learned that thus far, bilateral agreements between countries have taken the place of large-scale multilateral treaties. We also got to see the curious publications the office had produced in order to disseminate information to local communities and *masyarakat adat*.



Flora and Fauna International

Pak Dharmawan Liswanto - Director



We had a chance to get a similar perspective of forest conservation during the interview with the director of Flora and Fauna International (FFI). From the FFI interview we learned that the organization has projects several areas of Indonesia, such as Kapuas Hulu and Katapang regions, focusing on addressing problems of greenhouse emissions, habitat loss, rapid forest loss and logging. While initiating the change, FFI focuses on carbon counting; protection of forests, such as patrolling and protecting from potential fires; prevention, by establishing community based protection units to monitor forests; resource and forest management, by providing field data and updates to the people. FFI's success in projects relates to partnerships that they develop with local communities and the sense of belonging that they establish in their project areas. Although, they are not involved in any REDD+ projects, FFI views it as a practical approach to fight deforestation and forest degradation.



PT Rimba Makmur Utama

Pak Darsono Hartono



To understand the perspective of private companies in REDD+, we met with Mr. Dharsono Hartono, a businessman who has devoted his energy to private forest conservation with the intent of selling carbon credits. PT RMU is a private sector organization that is working to conserve around 220 thousand hectares of peat forest in Central Kalimantan. Mr. Dharsono Hartono, the company's chairperson, explained his conservation project and his goals for eventually using his land concession to enter a carbon market trading system. His project is unique and groundbreaking as he is following all "best business" practices and is taking in local community participation in his conservation project. He believes that his company will serve as a model for others to do the same, and believes that there are many profitable opportunities presented by REDD+.



Rimbawan Muda Indonesia
Indonesia Institute for Forest and Environment

Pak Indra N. Hatasura, Ibu Nani Saptariani, Pak Eman Sulaeman, Pak Asep Suryana



On January 6 2012, we planned to visit Hamlet Nyungcung near Bogor. This village is connected with an NGO called the Indonesian Institute of Forest and Environment (RMI). Before visiting Hamlet Nyungcung, we visited RMI office in Bogor. We got a very warm welcome from RMI staffs including Ibu Nia Ramdhaniaty who gave us a brief description about RMI and Hamlet Nyungcung. She has the responsibility for running the organizational and advocacy program for people's rights and assurance of land and natural resources in Halimun ecosystem area. In her presentation, she explained how the local community manages the forest in the village within a National Park area owned by the government and how RMI supports them through an advocacy program and capacity building. It is very important for us to understand interaction between local, government, and NGO regarding forest management in Indonesia to give us a perspective on how REDD+ should be implemented.



Hamlet Nyungung

Home-stay observation of local community livelihoods and conservation methods



Nyungung village is located 60 miles southeast of Jakarta, in a rural upland area with substantial forest. While the Task Force was unable to visit an actual REDD+ pilot project, Nyungung was an excellent stand-in. The village is site to both the RMI capacity-building project and a Ministry of Forestry model conservation project (MKK). Indonesia's historical battle between extractive industry and local communities was particularly salient here. A few years earlier, the people of Nyungung successfully pushed out a mining operation that threatened their local watershed with erosion and toxic runoff. Currently, Nyungung leaders are planning a strategy to reclaim nearby land under a soon-to-expire concession to a rubber plantation. Through group interviews and extensive hiking adventures, students witnessed both the beauty of the Indonesian rainforest and some of the methods at work to sustain or defend them. For the UW students, the homestay experience was a particularly fascinating window into Indonesian culture. The friendship and food enjoyed during the weekend stay in Nyungung will not be soon forgotten.



United States Agency for International Development Indonesia

Mr. Alfred Nakatsuma – Director of the Office of the Environment



USAID INDONESIA

We went through very rigid security examination before we went inside the USAID office, and met Mr. Alfred Nakatsuma. Mr Nakatsuma presented the USAID environmental programs in Papua and Sumatera, and USAID's efforts to amalgamate REDD+ and DRR in Indonesia. He clearly emphasized the development of equal partnership with the government of Indonesia, realizing the importance of Indonesian political, economic, and environmental positions in the international arena. USAID is attempting to remain neutral on local Indonesian issues and work behind the scenes for the overall goals of the Indonesian people and government.



Epistema Institute

*Pak Mumu Muhajir – Manager of Environmental Law and Justice Program
Ibu Myrna A. Safitri – Executive Director*



EPISTEMA is an NGO focused on soft advocacy and legal research which will support the arguments of fellow NGOs working more progressively. Myrna Safitri, the executive director of Epistema, highlighted the unpreparedness of Government of Indonesia as the biggest challenge for REDD+. Different interests between government agencies in the same level as well as between national and subnational had led to the inexistence of vertical and horizontal integration. Furthermore, corruption, overlapping regulation, weak law enforcement, and marginalized voice demand for rights acknowledgement, are queuing in the long list of problems urgently be addressed by the government. Mumu Muhajir spoke from his research experience and worried that the government might consider REDD+ as a short project, and thus not make the best effort towards the sustainability of the program.



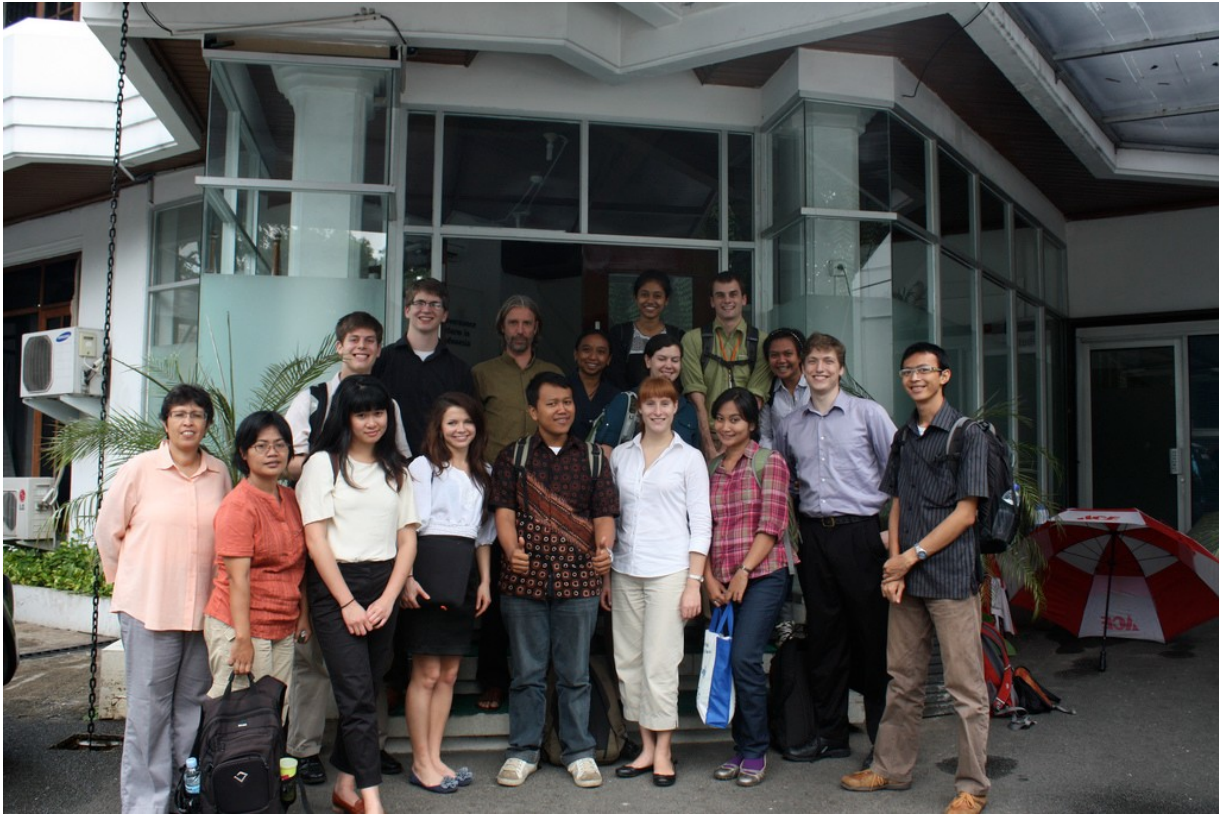


On this day, we talked to Patrick Anderson from the Samdhana Institute. At the Samdhana Institute, we came to understand that there are many issues that make it difficult for the REDD+ program to be successfully applied in Indonesia. Patrick Anderson gave us an explanation about free, prior and informed consent (FPIC) that encourages efficient and equitable climate change mitigation in the REDD+ program. Since we interviewed many institutions that are stakeholders in the REDD+ program, it seems like there are many people who are pessimistic about REDD+'s ability to successfully facilitate and define indigenous people's rights. From Patrick's explanation about FPIC, we were encouraged by the possibility of this process to promote actualized indigenous rights.



Kemitraan

Ibu Avi Mahaningtyas – Chief of Cluster, Environmental and Economic Governance



Kemitraan is a national NGO initiated by the government that takes international funding and allocates it to other NGOs in the implementation of local REDD+ projects as well as ensure that REDD+ will be effective, equitable, and efficient at the community level. Indirectly, they also improve public policies, which will potentially reduce impediments to REDD+ stemming from government ineffectiveness and corruption. From the interview we learned about the importance role of Kemitraan is gaining trust from international level, national level, and also local community level in order to achieve good governance at REDD+ project.



Kemitraan

Ibu Avi Mahaningtyas – Chief of Cluster, Environmental and Economic Governance



Greenpeace is one of the big international NGOs (also known as BINGOs) working on REDD+ in Indonesia. They have 30,000 active supporters in Indonesia. They operate publicity campaigns to raise awareness and influence the population's sentiment on environmental issues. Our two interviewees, Pak Yuyun Indradi and Pak Joko, expressed to us that they considered their campaigns on forest conservation in Indonesia to be among the most successful campaigns of Greenpeace because the general population in Indonesia is now in favor of the government advancing forest conservation policies. Through our discussion with Pak Yuyun and Pak Joko at Greenpeace we learned about the role of civil society in influencing national policy. Through its campaigns, Greenpeace hopes to make policy makers push for further anti-deforestation policies, eventually achieving zero deforestation. In our discussion we also learned how Greenpeace is attempting to close the knowledge gap on climate change issues. Our interviewees pointed out that while everyone is generally on the same page on deforestation, there exists a large knowledge gap between people living in local forest communities and policy makers in Jakarta. This knowledge gap can go both ways on issues like community forest management and the forestland concession process.



Kemitraan

Ibu Avi Mahaningtyas – Chief of Cluster, Environmental and Economic Governance



The Center for International Forestry Research (CIFOR) is a global nonprofit organization based in Bogor Indonesia that focuses on environmental conservation and human wellbeing. This meeting, one of our last, began with a presentation by Dr. Maria Brokhaus, a scientist in the Forests and Governance Programme, briefly describing the international research that CIFOR has conducted on REDD+. The task force members were then able to present our basic understanding of REDD+ to a group of experts in the organizations. In groups of three, we took our research from the past two weeks and outlined what we perceived as the most important issues in REDD+. The experts from CIFOR then responded to our presentations and provided constructive criticism. Their feedback encouraged us to focus on the complexities of REDD+ and how it has interacted with a variety of stakeholders. CIFOR's excellent suggestions were incredibly useful as they helped us refine the way in which we approached REDD+ in our policy recommendation.



Forestry Research and Development Agency

Pak Techrir Fathoni – Director General

Pak Ari Wibowo



During our visit to FORDA, Pak Salisto Saran, Pak Ari Wibowo and other FORDA staff graciously hosted us. The presentations from the FORDA representatives were very informative. In particular, we learned about how FORDA conducts research to report back to the Ministry of Forestry. Thus, FORDA has an important role in influencing the Ministry of Forestry's decision-making in regards to REDD+ design and implementation. The presentations highlighted the use of Demonstration Activities to evaluate how forest communities can cooperate with the Ministry of Forestry and national parks.



Task Force Instructors

Suraya Afiff- Universitas Indonesia



She is a lecturer at the Anthropology Graduate Program, University of Indonesia. She serves as the Head of Center for Anthropological Studies. Her research focuses on the political ecology of environmental changes in Indonesia, climate change, biofuel, forest and land tenure and conflicts.

Celia Lowe- University of Washington



Celia Lowe is Associate Professor of Anthropology and International Studies. She has worked in Indonesia since 1993 and taught there as a Fulbright Scholar from 2008-2010. Her research concerns the cultural study of science and technology. Her book, *Wild Profusion: Biodiversity in an Indonesian Archipelago*, was published in 2006, and she is now writing a book on the Indonesian experience with avian influenza.

Task Force Expert Evaluators

Todd Larson



Todd Larson served around the world and throughout the United Nations system for two decades, he retired as Senior Counselor to the UN, one of the highest, non-diplomatic positions in the UN. His work with the UN included advising the World Intellectual Property Organization, the UN High Commissioner for Refugees (UNHCR) and the UN Department of Peacekeeping Operations. He is co-Chair of the International Gay and Lesbian Human Rights Commission. He served as Peace Corps Volunteer in Togo from 1983-1985, following which he received his Master's Degree (International Studies, Jackson School) and Juris Doctor from the University of Washington, Seattle.

Muhammad Farid



Pak Muhammad Farid has served as the Secretary of Land Use, Land-Use Change and Forestry (LULUCF) for Dewan Nasional Perubahan Iklim (National Council on Climate Change, DNPI) since July 2010. His main task is to assist the head of taskforce in convening relevant stakeholders and gathering their opinions, suggestions and recommendations about Indonesia's position on LULUCF and REDO+ issues. In addition, Pak Muhammad Farid serves as the Secretary of the Post Kyoto 2012 Working Group for DNPI. Through this role, he is able to prepare Indonesian contributions to UNFCCC negotiations.

Teaching Assistant

Mia Siscawati – University of Washington



She is a PhD Candidate in Sociocultural Anthropology at the University of Washington. Her dissertation examines the complex interactions between cultures, power, gender and material realities within collaborations between academic scholars and members of social movements in the community forestry movement in Indonesia. She further explores how these interactions transform forestry science and shape social movements in Indonesia. She has been involved in social movements in Indonesia since the late 1980s. She participated in a series of forest policy advocacies at the international level, including the UN Forum on Forests during the late 1990s. In 2009, she received the Kartini Award as one of the most inspiring women in the field of environment in Indonesia.

Program Assistant

Amira Waworuntu – Universitas Indonesia



Recently graduated from Social Anthropology with a thesis on semiotics and music. She joined this Task Force as a Program Assistant, guiding the activities and coordinating the needs of the participants, including the teleconferencing up until the last minute. Although having no background whatsoever in environmental studies, she has grown fond of the issues brought up while working with the Task Force.



Task Force Members

Nathan Anderson (Copy Editor)- University of Washington



As an undergraduate majoring in International Studies with a focus in Environmental Studies, Nathan's research has focused around the environment in a global context. Particularly, he is interested in examining the ways in which global economic, political, and social processes both contribute to and attempt to mitigate climate change. In this report, Nathan focused on issues of Indonesian land tenure and how it interacts with the effectiveness, efficiency, and equity of REDO+.

Henry Apfel (Coordinator)- University of Washington



As an International Studies and economics major, Henry was interested in understanding the problems of demand and valuation that have contributed to deforestation in Indonesia.

Sarah Boone (Editor)- University of Washington



As editor of this report, Sarah worked to help coordinate chapters from the very beginning of the writing process, editing drafts for both clarity and content. She focused especially on maintaining the tone and style of policy writing and supported all topical research groups in their work and in constructing policy recommendations. Her broad research on REDO+ led her to consider the ways that this policy is not only an environmentalist project, but also presents great opportunities for general social and political reform in Indonesia.



Sandi Halimuddin- University of Washington



Her research emphasizes the dynamics of global participation in REDO+ in Indonesia. To do so, she explored the ways in which international participants can share the responsibility of climate change mitigation. She was particularly interested in the idea of how international alignment of interests and strategies to those of the Indonesian government can be instrumental in protecting Indonesia's sovereignty.

Emir Hartato- Universitas Indonesia



As an undergraduate geography student, Emir has focused his interest on land tenure issue in Indonesia. Throughout his research, he has studied the history of forest management in Indonesia and how conflicting spatial data could result in tenurial issues. He has also studied how participatory mapping process can help solve the problem.

Yeni Kristanti- Universitas Sanata Dharma, Yogyakarta



Yeni focused on knowledge dissemination and community participation in Indonesia's REDO+ implementation. She aimed to locate the knowledge gaps among different stakeholders in two different subjects, namely knowledge dissemination and community participation. She was also responsible to analyze the language barrier in the knowledge dissemination process, one of crucial problems in REDO+ implementation.

Ayu Nova Lissandhi – Lembaga Ilmu Pengetahuan Indonesia



Ayu is a junior researcher from Lembaga Ilmu Pengetahuan Indonesia (Indonesian Institute of Sciences). She focused her interest on the knowledge of REDO+ stakeholders in Indonesia. Throughout her research, she wanted to analyze the role of each stakeholder in order to enhance their knowledge about REDO+ which will be affected by their institutional background.

Jared Moore- University of Washington



Past experience in International Studies with an Environmental Studies focus prompted Jared to investigate the impacts of international demand for tropical commodities such as palm oil on Indonesia's forests. Jared also researched holistic incentive systems for REDO+, and sincerely hopes that such compensation schemes prove fruitful and proactively engage a wide variety of stakeholders.

Nataliya Piskorskaya- University of Washington



Studying immigration and human rights globally inspired her to focus her research on education system in Indonesia and the influence it may have while informing Indonesians about REDO+. More specifically, she examined how information is transferred to various communities in Indonesia and the ways to facilitate participation of marginalized groups.

Sari Damar Ratri- Universitas Indonesia



As a young anthropologist, Sari is interested on knowledge production and collective action issues. Her passion of these topics drive her to write about knowledge dissemination in REDO+ from a multilevel aspect. Through her works, she wants to explain that every actor involved in the REDO+ program has a different perspective, role and interest, and that various kinds of knowledge are reproduced differently depending on the context and situation.

Nety Riani Dari- Universitas Indonesia



Being a human, Nety is fond of nature and loves to be involved in any preservation program. Being an Indonesian, she is consistently critical of the Government of Indonesia. Her fascination with REDO+ is deeply rooted in issues examining how good financial governance as well as international involvement could result in sustainable development in Indonesia.

Rahardhika Arista Utama- Universitas Indonesia



Being an undergraduate sociology student focusing on social development, Rahardhika has a passion to study the relationships between society and other stakeholders in development programs. Through his works, he aimed to analyze land tenure conflicts which involve local communities and indigenous people as well as community participation in REDO+.

Lucas Simons – University of Washington



Though he didn't have much knowledge about climate change politics going into the task force, Lucas was interested in learning about how the state handles such a globally important issue in its dealings with the private sector, civil society and the international community. In writing the report he focused on where funding comes from for such a program and what sort of funding mechanisms are necessary to establish a foundation for REDO+ to make sure it is successful and sustainable.

Kristi Young- University of Washington



In addition to coordinating the chapter on good governance Kristi wrote on the legal problems surrounding land tenure and the role of the international community in supporting the production of sustainable palm oil. Throughout her research she wanted to study the role of both international and Indonesian laws in helping combat climate change and supporting environmental justice.



Reflections

“The collaborative process involved working really closely with the students from Indonesia and making sure we did not come from this from a purely American academic perspective. So every product that we came up with was the result of consultation and coordination with other students and not the solely the product of one mind.”

-Nathan Anderson

“The opportunity in this task force was to travel and be involved in hands-on, on the ground research. Undergraduate students usually do not have this option. We were able to collaborate with a team from another part of the world, which accurately represents the benefits and challenges of the real world.”

-Sarah Boone

“I'm really grateful that I'm part of this collaboration and I hope we can collaborate again next time, making other policy reports that could help solve today's problem and save the world!”

-Emir Hartato

“I envisioned a transformation in international studies education that was no longer about the America and the powerful nations imposing ideas on other places. It was to be a process of rewriting script and how rich and developing countries can engage together in an environmentally transformative experience. “

-Professor Celia Lowe



SCHOOL OF AQUATIC & FISHERY SCIENCES

COLLEGE OF THE ENVIRONMENT

UNIVERSITY OF WASHINGTON

Senior “Capstone” Research Experience

Introduction

The School of Aquatic and Fisheries Science (SAFS) requires all undergraduate majors complete an independent research project in their senior year. Our intent is to provide an experiential and supportive environment for students, where they can implement their degree learning in novel ways and contribute to science early in their careers. The research experience considerably strengthens student curriculum vitae, is valued by employers, and is often cited as the most important and enjoyable component of the undergraduate experience. The capstone has also provided a key tool for the assessment of our degree.

Alignment of the capstone with SAFS undergraduate learning goals

The School’s undergraduate learning goals fall into four categories:

- Acquisition and synthesis of knowledge (includes acquiring core and supporting subject matter, interpreting and applying knowledge to new situations)
- Communication skills (includes writing and verbal communication, particularly in the sciences)
- Research skills (includes hypothesis development, data collection and interpretation, synthesis and reporting)
- Critical thinking, problem solving and attitude (includes differentiating fact and opinion, understanding limits to science, inferential skills, ethics, social settings).

The capstone integrates the learning goals at the culmination of the degree. Specifically, students are required to apply their knowledge to new situations, implement their research skills using ethical practice, communicate their findings through writing and oral presentations, and place their findings within scientific and social contexts.

Capstone Models

There are a number of ways that students identify and develop their research directions:

- Faculty provide research questions, often as a component of their programs
- Students identify their project independently and seek a faculty mentor
- Group research projects are developed, often originating in a senior level class
- Internships in a faculty or collaborating Agency lab are expanded
- Specific internship programs funded with collaborating government Agencies (e.g. NOAA Alaska Fisheries Science Center – SAFS summer internships) provide research directions

Our field site programs (e.g. Alaska Field Camp, Friday Harbor Laboratories) play an important role in this process, because they offer unique research opportunities.

Description of process

Capstone students are guided throughout the process by a dedicated capstone advisor, a faculty mentor, and often, a work site mentor such as a graduate student or collaborating scientist in a government Agency. Research is conducted over a minimum of three quarters. There are three components to the project

1. *Capstone preparation*, guided by the capstone advisor. During this quarter, students prepare by identifying the research topic, meeting the faculty advisor, completing background reading, acquiring permits and writing their proposal. The latter has a clear outline and follows typical scientific format.
2. *Data collection*, guided by the faculty mentor, involves field sampling and experimentation, laboratory experiments or database exploration (or a mixture of these activities).
3. *Data presentation*, guided by the faculty mentor. Results are analyzed and written as papers in the style of a peer-reviewed scientific journal with appropriate graphs and tables. Students also present their research formally in a scientific setting, such as the Mary Gates Undergraduate symposium, the SAFS undergraduate symposium, Agency seminars and professional scientific meetings.

Lessons learned about the degree

The capstone process has provided a key framework for assessing student learning. Our experience of capstone performance has largely motivated the following recent changes to the degree:

1. A reconfiguration of our degree requirements at the 300- and 400- level to ensure that students gain the necessary skills, breadth and depth to support independent enquiry
2. Expansion of our SAFS honors degree capstone to enhance research skills
3. Development of a 200-level writing class to meet the clear need in improving undergraduate writing early in their education

More recently (Fall 2012), the capstone was used to assess our learning goals. In a discussion facilitated by the Office of Educational Assessment (OEA) we learned:

1. The goals of the capstone experience are consistent between students and track the learning goals of the degree
2. Students, regardless of background motivation, are excited by independent research, *advance their skill in scientific inquiry... and demonstrate that they have met the learning goals* (OEA text in italics).
3. There were three areas that can be enhanced further in our degree: early student motivation, improvement of writing skills, and development of student awareness of the “bigger picture” in their research. These areas are being, or will be, addressed in the upcoming year.
4. The capstone provides us with a framework for tracking the outcomes of recent changes in our curriculum, since we can compare performance before and after the changes.

Additional files

Many of our capstones projects lead to publications in peer-reviewed scientific journals, with faculty mentors. Three publications with the capstone student as first author are appended.

Research Article

Multi-scale habitat occupancy of invasive lionfish (*Pterois volitans*) in coral reef environments of Roatan, Honduras

Christopher R. Biggs and Julian D. Olden*

School of Aquatic and Fishery Sciences, University of Washington, Box 355020, Seattle, Washington 98195, USA

E-mail: crbiggsy@gmail.com (CRB), olden@uw.edu (JDO)

*Corresponding author

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Abstract

The Indo-Pacific lionfish species [*Pterois volitans* (Linnaeus, 1758) and *P. miles* (Bennett, 1828): Family Scorpaenidae] are the first non-native marine fishes to establish in the Western North Atlantic and Caribbean Sea. Despite the continued documentation of its range expansion and highly publicized invasion (including public-driven removal efforts) there remains a paucity of basic information on lionfish ecology. This knowledge gap limits effective long-term management. In this study we conducted a multi-scale investigation of habitat occupancy of a newly established population of lionfish in Roatan, Honduras. Based on field surveys and citizen sightings in Roatan Marine Park we found that lionfish occurred more frequently on aggregate coral reef habitats (54% of sightings) compared to patch reef habitats (30%) and sea grass lagoons (16%). In general, these aggregate and patch reef habitats contained adults (mean total length = 118.9 mm and 114.7mm, respectively) whereas sea grass habitats contained juveniles (mean total length = 89.5 mm). At the micro-habitat scale lionfish occupied areas dominated by hard coral and overhanging structure; the same microhabitats containing native fishes of concern – grouper (Nassau grouper, *Epinephelus striatus*; yellow fin grouper, *Mycteroperca venenosa*) and snapper (dog snapper, *Lutjanus jocu*; mutton snapper, *Lutjanus analis*). Results from this study contribute information on basic habitat requirements of lionfish and inform current management removal efforts focused on containing spread and mitigating their impacts on native species.

Key words: lionfish, habitat occupancy, microhabitat

Introduction

Invasive species are recognized as a leading threat to marine biodiversity (Carlton and Geller 1993; Ruiz et al. 1997; Grosholz 2002; Kappel 2005). In a recent synthesis of non-native species in marine environments, Molnar et al. (2008) lamented the numerous, and often, large knowledge gaps in our current understanding of the basic ecology for many species. This is particularly the case for coral reefs, which have been identified as a neglected research area in invasion biology (Coles and Eldridge 2002). Fundamental ecological data that is lacking for many introduced marine species include habitat occupancy; a strong indicator of potential spread and impact (Grosholz and Ruiz 1996), including coral reef fishes (Kane et al. 2009).

The lionfish [*Pterois volitans* (Linnaeus, 1758) and *P. miles* (Bennett, 1828): Family Scorpaenidae] are the first non-native marine fish species to establish in the Western North Atlantic and Caribbean Sea (Whitfield et al.

2002; Schofield 2009, 2010). Native to the Indo-Pacific, there have been both confirmed and unconfirmed records of lionfish off the coast of Florida (USA) since 1980s; a likely result of intentional aquarium releases (Padilla and Williams 2004; Morris and Whitfield 2009). Since their initial introduction, lionfish have spread rapidly. Populations have been documented from North Carolina (USA) to Jamaica, with individual sightings as far north as New York (USA) and as far south as Venezuela (USGS 2011). It appears that the northern range may be limited by cold winter water temperature (Kimball et al. 2004), but the southernmost established populations are spreading and currently found between Honduras and Venezuela (Schofield 2009, 2010; Aquilar-Perera and Tuz-Sulub 2010). Despite growing literature documenting range expansion there is little information on its basic habitat requirements.

The rapid establishment and spread of lionfish is the result of multiple factors, only some of

which have been thoroughly investigated. There are few known predators of this species both in their native and introduced ranges (Malijković et al. 2008; Morris and Whitfield 2009), especially for adult lionfish, likely because their venomous spines (Morris 2009). The potential ecological impacts of lionfish are still unknown, although preliminary reports suggest that the invasions could have devastating effects on coral reef fish communities (Meister et al. 2005). In the Bahamas, lionfish are widespread (Smith and Sealy 2007; Green and Côté 2009) and were found to reduce recruitment of reef fish by up to 80% (Albins and Hixon 2008). Lionfish have been found in a variety of habitats ranging from wrecks and solid substrate in proximity to coral reefs (Fishelson 1997) to mangroves (Barbour et al. 2010), and our research aims to quantify their occurrence in these different habitats. Such information is paramount for guiding management actions that focus on the containment of spread and mitigation of ecological impacts via government and citizen-based removal efforts.

We combined data collected by citizen scientists with our own field surveys to provide an examination of habitat occupancy by a newly established population of lionfish in Roatan, Honduras. First, we quantified occupancy among major macro-habitat types of aggregate reef, patch reef and lagoon/sea grass. Second, we evaluated micro-habitat use of lionfish within macro-habitat types, focusing specifically on substrate composition and the availability of overhanging structure. Patterns of lionfish abundance were compared to two native taxa species of concern – grouper [Nassau grouper, *Epinephelus striatus* (Bloch, 1792); yellow fin grouper, *Mycteroperca venenosa* (Linnaeus, 1758)] and snapper [dog snapper, *Lutjanus jocu* (Bloch and Schneider, 1801); mutton snapper, *Lutjanus analis* (Cuvier in Cuvier and Valenciennes, 1828)].

Methods

Study region

Roatan is the largest and most populated of the Bay Islands, located on the north coast of Honduras in the western Caribbean Sea. It is 200 km² (50 km long and 2–4 km wide) in area and is primarily surrounded by fringing and barrier reefs, with extensive mangrove wetlands on the east end. The fringing reef provides a wide

spectrum of habitats including lagoons containing turtle grass (*Thalassia testudinum*), patch reef (an isolated, comparatively small reef outcrop surrounded by sand or sea grass) and aggregate sloping reef (a grouping of 3–10 patch reefs of various sizes that share a common area of surrounding sand or sea grass). The study region consists of approximately 12 km along the northwest coast, including 8 km in Roatan Marine Park. The marine park has strict regulations against fishing or harvesting animals (with the exception of removing lionfish) and regulates boat use and recreational diving.

Field surveys

We conducted twenty-one visual surveys partitioned equally between three macro-habitat types – aggregate reef (n=7), patch reef (n=7) and lagoon/sea grass (n=7) – over a two-week period from January 23 to February 5, 2010 during daylight hours of 09:00–15:00. We surveyed aggregate and patch reefs by SCUBA diving and sea grass sites by snorkeling. Each survey consisted of a single 50-m transect positioned parallel to the shoreline and included 5 equally spaced quadrats where habitat was categorized in a 2 m² area according to the percentage cover of hard coral, soft coral, sponge, sand, sea grass, rock, algae and overhead environment. The transect length was measured with the use of a reel with markings every 10 meters or with fin cycles (4 cycles/10 meters) when the use of a reel was not possible. A second diver conducted surveys at the same site for 30 minutes using the roving diver technique (RDT) (see Schmitt and Sullivan 1996) to locate lionfish, grouper (collectively *Epinephelus striatus* and *Mycteroperca venenosa*) and snapper (collectively *Lutjanus jocu* and *Lutjanus analis*) by freely roving in a given area and recording fish. For each fish sighting we recorded percent cover in a 2 m² area.

Marine Park data

We collated data on the presence and estimated total body length of lionfish within Roatan Marine Park for a 9-month period (May 22, 2009 to March 12, 2010) from sightings reported by recreational divers at locations throughout the marine park (geo-referenced to the dive site: <http://www.roatanmarinepark.com/lionfish/>). Because macro-habitats do not change greatly over time, the 21 survey sites were classified as

aggregate reef, patch reef and lagoon/sea grass using Google Earth. Field-based macro-habitat assignments of the 21 sites conducted during the field surveys were compared to macro-habitat classifications according to this method. We found 100% correspondence between the two classification methods. Total available macro-habitat in the marine park was estimated by calculating the area (length \times width) for each habitat using the distances provided by Google Earth. To account for the additional area along the wall of aggregate reefs, a secondary calculation (depth \times length) was added to the total area for aggregate habitat. Patch reef (39%) and sea grass habitats (37%) were the dominant macro habitats, aggregate reef was third most abundant (24%) and wrecks composed less than 1% of available habitat and thus are not considered further. We recognize two limitations of using this data source. First, recreational diver effort may not be randomly distributed across major macro-habitat types. Divers may have a greater tendency to visit reef habitats due to elevated marine biodiversity, although the proximity (and hence, ease of access) of lagoon/sea grass dive sites also attracts dive activity. Second, we acknowledge a number of methodological errors and biases associated with visual census techniques, including that estimates of total body length represent an approximation because they relied on untrained recreational divers without the use of a measuring device (Bell et al. 1985). Objects appear larger in water and this can lead to over-estimation of size without proper training and experience. However, all sight occurrences are checked for accuracy by Roatan Marine Park (as well as prior to our analysis); therefore clearly erroneous data was omitted.

Statistical analysis

Macro-habitat occupancy by lionfish in Roatan Marine Park was examined using an adaptation of Manly's selectivity index (Manly et al. 2002). This index was chosen because it does not fluctuate with inclusion or exclusion of seldom-used habitats (Manly et al. 2002) and is considered more versatile than other selection preferences indexes (Garshelis 2000). The equation for selectivity is:

$$w_i = u_i / (h_i \times u_{it})$$

where u_i = the count of type i habitat used by all lionfish, h_i = the proportion of available habitat i ,

and u_{it} = the total count of all lionfish for all habitats. The values were normalized using the equation $S_{norm} = w_i / \sum w_i$, where w_i is the selectivity value which varies from 0 to 1 for any macro-habitat type, and takes on the value of 0.33 if habitat selection is random in the case of our study. A log-likelihood chi-squared analysis (recommended by Manly et al. 2002) was conducted to determine if the observed distribution between macro habitats was different from the total available habitat. A student's t-test was used to compare micro-habitat characteristics between sites with and without lionfish, groupers and snappers, as well as to test for differences in lionfish size distributions between macro-habitats.

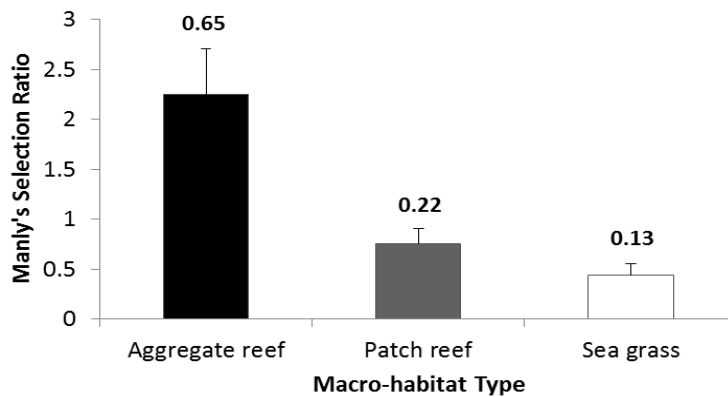
Results

A total number of 531 sightings of lionfish were reported by recreational divers in Roatan Marine Park during the 9-month period. Lionfish occupied aggregate reefs in over half the sightings (54%), followed by patch (30%) and sea grass habitats (16%). According to Manly's index of selectivity there was a non-random pattern of macro-habitat occupancy (log-likelihood $\chi^2 = 21.4$, $df = 2$, $P \leq 0.001$). Aggregate reefs were more likely to be occupied by lionfish ($P = 0.006$), occurrences in patch reefs did not differ from random ($P = 0.108$) and sea grass habitats contained lower numbers of lionfish than expected based on its availability in the park ($P \leq 0.001$) (Figure 1). These results may be influenced by non-random patterns of diving activities in the park; however, occupancy percentages correspond to those based on our field survey (see below).

Body length distribution of 511 lionfish (out of 531 sightings) observed by recreational divers in Roatan Marine Park varied between macro-habitat types, ranging between 25 mm and 381 mm (mean = 113.1 mm, SD = 51.5 mm). Average body length was significantly smaller in sea grass habitats (mean = 89.5 mm, SD = 39.5 mm, $n = 86$) compared to both aggregate reefs (mean = 118.9 mm, SD = 54.3 mm, $n = 255$) ($t = 5.40$, $df = 201$, $P \leq 0.001$) and patch reefs (mean = 114.7 mm, SD = 48.5 mm, $n = 138$) ($t = 4.24$, $df = 207$, $P \leq 0.001$).

Lionfish were found in 7 out of the 21 survey localities (29% frequency of occurrence), which included 4 aggregate reef sites (57% of occupied sites), 1 patch reef site (14%) and 2 sea grass sites (29%). Across these macro-habitat types,

Figure 1. Manly's selection ratio for lionfish macro-habitat occupancy in Roatan Marine Park. Bars represent 1 standard error, and values represent standardized selection ratios.



lionfish (9 total individuals) inhabited particular micro-habitat substrate types (Figure 2A). We found that areas occupied by lionfish had a significantly higher percentage of hard coral ($t=2.09$, $df=112$, $P=0.038$) and overhanging structure ($t=3.56$, $df=112$, $P<0.001$), and a lower percentage of algae ($t=-2.02$, $df=112$, $P=0.045$) when compared to unoccupied areas. Groupers (29 total individuals) and snappers (49 total individuals) exhibited similar patterns of micro-habitat occupancy compared to lionfish, where individuals were more likely (but not significantly) to be sighted on hard coral and associated with overhanging structure (Figure 2B,C). For all species our limited sample size precluded an examination of micro-habitat occupancy for each macro-habitat type.

Discussion

Occupancy of lionfish along the northwest shoreline of Roatan, Honduras, was greatest in aggregate reef habitats compared to patch reefs and sea grass/lagoon habitats, and within these habitats lionfish tended to occur in areas of hard coral containing substantial amounts of overhanging structure. Hard coral may be providing opportunities for enhanced camouflage and protection compared to other substrates due to greater topography complexity (Fishelson 1997). Overhanging structure is favorable for ambush predation strategies by lionfish, which feed primarily in the morning hours 07:00 – 11:00 (Morris and Akins 2009). However, there is little information on behavior and substrate association during nocturnal periods. Preference

and ability to select certain corals or areas of coral reefs based on microhabitat characteristics has been reported in other reef fish (Sale et al. 1984), and our findings can help guide future investigations and management strategies aimed at removal activities that target lionfish during daylight hours.

Given the large popularity of lionfish in the aquarium trade and its widely publicized invasion of marine ecosystems (Padilla and Williams 2004) it is surprising that limited research exists on its basic ecology. In their introduced range it has been suggested that lionfish are capable of reproducing year round with an annual fecundity of 2 million eggs (Morris et al. 2008). Our results showed that smaller individuals tended to occupy sea grass habitats compared to reef habitats; a finding also supported by Barbour et al. (2010). Lagoons composed of sea grass have long been classified as nursery grounds for many juvenile fish (Parrish 1989; Nagelkerken et al. 2002), and this may also be the case for lionfish. There is little documentation of size at time of settlement, but the smallest (and most recently settled) lionfish observed in this study was 25 mm. To obtain this size in a ~26 day larval stage (Ahrenholz and Morris 2010) would require a rate of growth of 1 mm/day from hatching at 1.5 mm (Morris et al. 2008). This would suggest that there is a relatively fast growing period to reach size at maturation from the observed size at settlement.

Morris and Whitfield (2009) found that lionfish reach sexual maturity within one year at a size of 100 mm and 180 mm for males and females, respectively. The average size of 89 mm

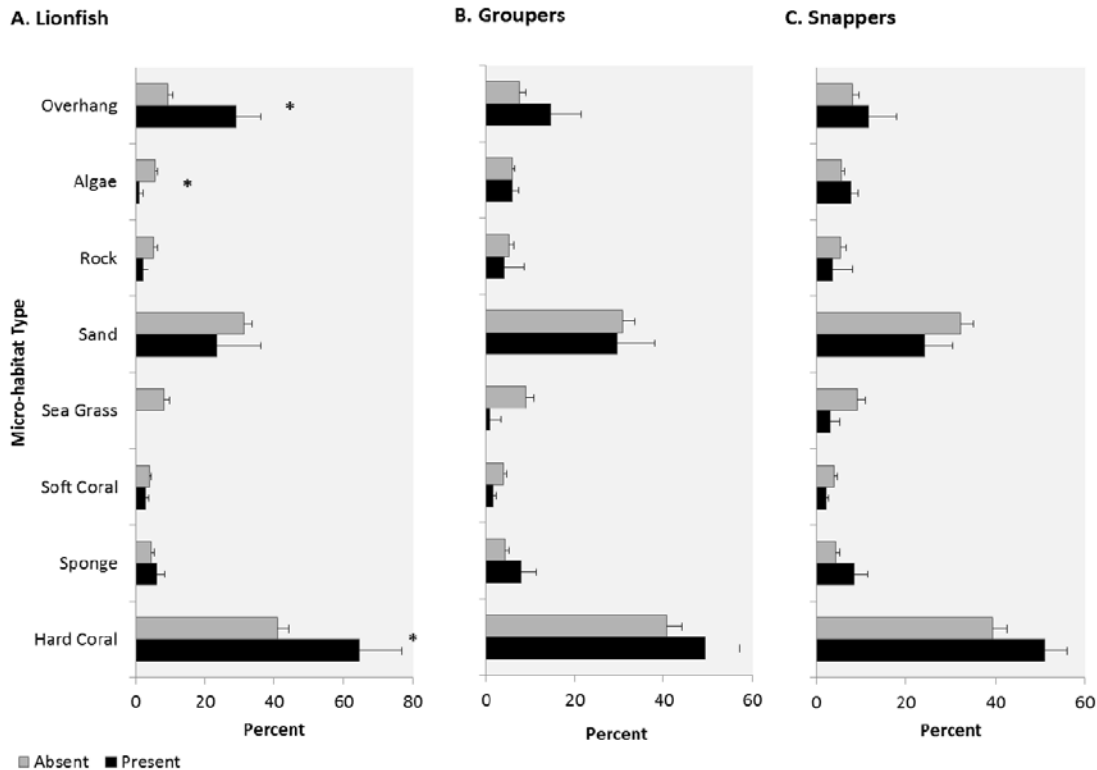


Figure 2. Micro-habitat substrate composition of presences versus absences for (A) lionfish, (B) groupers and (C) snappers. Bars represent 1 standard error. Statistically significant differences are indicated by * ($P < 0.05$).

for lionfish in sea grass habitats indicates that fewer individuals are sexually mature in these areas compared to aggregate and patch reefs. These findings have direct relevance to current management strategies that are actively controlling lionfish throughout their introduced range. For example, in the Bahamas, current efforts focusing on the removal of lionfish include spearfishing and live capture by recreational divers, biologists and anglers on reef habitats and by island residents in shallow sea grasses. Targeting removal efforts in sea grass habitats containing juvenile lionfish may be beneficial for the long-term control of populations because these individuals are unlikely to have reached maturity and therefore have not contributed to the effective population. In support of this, recent population modeling

results emphasized the importance of targeting juveniles as well as adults in removal efforts (Morris et al. 2010).

Lionfish have been shown to significantly affect the recruitment of juvenile reef fish (Albins and Hixon 2008), and previous studies between Florida and North Carolina have also found them to be equally abundant as grouper and snapper (Whitfield et al. 2007). Our survey found that two species of grouper (mean of 1.4 fish per transect) and two species of snapper (2.3) out-numbered lionfish (0.4), however longer term data suggests that grouper/snapper in Roatan are being depleted (Gobert et al. 2005). Nassau Grouper occupy similar settlement sites as lionfish, specifically around coral heads in lagoon areas (Eggleston 1995). This would put them in direct competition for food and other

resources during the juvenile life stage. As adults, lionfish and grouper have many of the same habitat preferences, including overhang areas or crevices which provide protection or cover (this study, Sadovy and Eklund 1999); therefore, we expect that predatory effects of lionfish on sensitive grouper species may also be prevalent.

The introduction and spread of lionfish into coral reef systems provides an opportunity for more inclusive management strategies that involve the public. The incorporation of citizen science is especially attractive with regards to lionfish because coral reefs attract tourism and in many cases, the local economy relies on the preservation of the coral reef ecosystem. Citizen science has proven to be useful in monitoring both the distribution and range expansion of non-native species such as Asian shore crabs [*Hemigrapsus sanguineus* (De Haan, 1853)] (Delaney et al. 2007) and the overall biodiversity of aquatic environments (Goffredo et al. 2010). Removal efforts are generally lacking within these programs and there have been very few assessments as to the efficacy of non-native removal efforts by citizen scientists. Lionfish seem to be an exception where citizen-removal programs are becoming increasingly common, including in Roatan Marine Park (<http://www.roatanmarinepark.com/news/lionfish-derby/>). For example, the data being collected by the Roatan Marine Park on lionfish occurrence and size illustrate a powerful form of citizen science, yet it could be augmented by integrating a protocol with the goal of recording lionfish absences. Data on the absence of lionfish is crucial in determining broad-scale habitat relationships and it provides the greatest opportunity to develop powerful ecological niche models that predict the secondary spread of invasive species for management purposes (Vander Zanden and Olden 2008). The Reef Environmental Education Foundation (REEF) has set up a program to utilize recreational SCUBA divers in this way. They have developed a survey for divers to perform during their dives to record information on the presence of lionfish and other species as well as certain habitat characteristics. We urge REEF to also consider the inclusion of species absence in their surveys. This kind of program would be a powerful addition to current lionfish management strategies aimed at deploying early detection and rapid response.

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Genetic Techniques Provide Evidence of Chinook Salmon Feeding on Walleye Pollock Offal

Thaddaeus J. Buser, Nancy D. Davis, Isadora Jiménez-Hidalgo, and Lorenz Hauser

*School of Aquatic and Fishery Sciences, University of Washington,
Box 355020, Seattle, WA 98195-5020, USA*

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Abstract: Declining runs of Chinook salmon in western Alaska have focused interest on the ocean condition and food habits of Chinook salmon in the Bering Sea, including potential mortality from bycatch in the pollock fishery. Examination of Chinook salmon stomach contents collected in the eastern Bering Sea by the U.S. North Pacific Groundfish Observer Program (NOAA Fisheries) revealed isolated pieces of skin, bones, and fins (offal) belonging to large-bodied fish which were physically identified as either walleye pollock (*Theragra chalcogramma*) or Pacific cod (*Gadus macrocephalus*). To confirm the species identification of the offal, we matched DNA sequences of these offal samples to known sequences of walleye pollock and Pacific cod. Novel mitochondrial DNA (mtDNA) primers were designed to amplify a 174-base pair (bp)-long section of the cytochrome *c* oxidase subunit I (COI) gene, which was sequenced and compared with sequences downloaded from the GenBank database. Typically, much longer sections (~700 bp) of DNA are used for species identification but due to the state of digestion of the samples, long sequences of DNA were no longer present. The specific design of our primers, however, allowed us to make positive identification and differentiation of walleye pollock and Pacific cod. Of the 15 offal samples, nine yielded usable sequences, all of which were positively identified as walleye pollock. Our results clearly demonstrate the utility of a short COI sequence for species identification of Chinook salmon stomach contents that might otherwise be unidentifiable due to either the state of digestion, or because the salmon consumed isolated body parts (offal) rather than whole fish. These results suggest that walleye pollock offal supplements the diet of Chinook salmon during winter.

Keywords: Chinook salmon, walleye pollock, offal, genetics, food habits

INTRODUCTION

Understanding the ecology of a species is a fundamental component in developing conservation and management plans. Recent declines of Chinook salmon (*Oncorhynchus tshawytscha*) returns to western Alaska have prompted restrictions on commercial fishing (Hayes et al. 2008). Changes in abundance can often be attributed to variability in conditions during the marine life history (Botsford et al. 2002), yet there are large gaps in our understanding of the feeding ecology of Chinook salmon during their time at sea. Food habits studies are basic to gaining insights into salmon marine life history (Beamish and Mahnken 2001; Armstrong et al. 2008).

Stomach content analyses from Chinook salmon gathered in summer and fall in the North Pacific, Gulf of Alaska, and the Bering Sea indicate they feed primarily on fish and

gonatid squids, although euphausiids, crab larvae, and other invertebrates can also be found in Chinook salmon diets (e.g., Volkov et al. 1995; Kaeriyama et al. 2004; Davis et al. 2005, 2009a; Volkov et al. 2007; Weitkamp and Sturdevant 2008). However, little is known about the food habits of

Chinook salmon at sea during winter, primarily because of the difficulty in conducting winter surveys.

Our samples were obtained from stomach samples collected by U.S. groundfish observers during the winter wall-eye pollock (*Theragra chalcogramma*) fishery in the eastern Bering Sea. Analysis of these samples revealed the presence of skin, flesh, fins, and bone (Davis et al. 2009b). Visual examination of skin pigmentation, fin and bone morphology, flesh consistency, and myotome structure revealed that among the possible prey species of Chinook salmon, wall-eye pollock and Pacific cod (*Gadus macrocephalus*) were

the only reasonable possibilities. However, due to the condition of the tissues, further identification to the species level was not possible for all samples. Instead, we used genetic techniques to make positive species identifications.

Genetic identification is possible by comparing DNA sequences from unknown samples to those of known taxa. This approach can become quite costly if one must secure, extract, and sequence DNA from all possible candidate taxa. Although DNA sequences are available on public databases (GenBank), they often stem from different genes in different taxa, thus preventing direct comparison for species identifi-

cation. In a recent standardization effort, Hebert et al. (2003) proposed that a single gene sequence was sufficient to differentiate between the majority of species on the planet and suggested using the mitochondrial DNA (mtDNA) gene, cytochrome *c* oxidase subunit I (COI). The COI gene has been termed the “barcode of life” and sequences from different species have been compiled in order to provide a database by which sequences from new or unknown species can be compared (Ratnasingham and Hebert 2007). This effort has been extended to fish (Ward et al. 2005), and COI sequences are now available for a wide variety of species on GenBank (www.ncbi.nlm.nih.gov) and on the Fish Barcode of Life database (www.fishbol.org; Ward et al. 2009).

Genetic tools have been used to determine the identification of prey species after partial digestion by amplifying relatively small (162 bp and 327 bp) sections of mtDNA (Parsons et al. 2005). Short sequences have also helped to identify highly degraded DNA samples using the barcoding gene, COI (Hajibabaei et al. 2006). In this study, our objective was to identify the fish species of offal found in the stomach contents of Chinook salmon. To achieve this objective, we developed novel primers for gene amplification of short DNA fragments, and compared those sequences to reference data from a public database (GenBank) and to positive control DNA samples from known species.

MATERIALS AND METHODS

Laboratory Analysis

Chinook salmon stomach samples were obtained from the winter pollock fishery during January to March, 2007 in the eastern Bering Sea and examined by Davis et al. (2009b). Offal refers to fish body parts (e.g., head, tail, spine, skin) that are discarded after processing. When Chinook salmon stomach contents were identified as fish offal they were collected and frozen at -20°C. In total, 15 samples were selected for genetic analysis (Table 1). Samples were thawed and divided into subsamples, which were then soaked in a 2% bleach solution to reduce contamination. To account for differing degrees of digestion present in each sample and the effect of bleach on our target DNA, we used two different soak times per sample. One subsample was soaked for 1 min and a second subsample for 3 min. After bleach soaking, each subsample was rinsed twice in distilled water and then preserved in a 95% ethanol solution according to the protocol outlined in Mitchell et al. (2007). This procedure reduced DNA contamination from Chinook salmon and other prey items by destroying the DNA in the external layers of the tissue.

A sample of walleye pollock positive control DNA was extracted from fin tissue (collected in the northeast Bering Sea) using the same protocol as that for the offal samples. Two Pacific cod positive control DNA samples were obtained from the study by Cunningham et al. (2009).

Offal DNA was extracted with a Qiagen DNeasy® micro-extraction kit following the manufacturer’s protocol (Qiagen Inc., Valencia, CA). Novel primers were designed that amplified DNA from walleye pollock and Pacific cod in order to reduce the likelihood of contamination from other prey sources and from the salmon itself.

Walleye pollock, Pacific cod, and Atlantic cod (*G. morhua*) sequences were downloaded from GenBank and aligned in BioEdit (Ibis Biosciences, Carlsbad, CA). Primers were designed using Primer 3 (Rozen and Skaletsky 2000). The forward (5’ – TTGGGATGGACGTAGACACA – 3’) and reverse (5’ – AGCCCCCAACTGTAAAGAGG – 3’) primers amplified a 174-bp-long fragment of the mtDNA COI gene to avoid problems with amplification of large fragments from degraded DNA.

The reaction mixture comprised 20 ng of DNA, 1 X reaction buffer, 2 mM MgCl₂, 0.2 mM dNTPs, 0.5 μM forward primer, 0.5 μM reverse primer, and 0.5 U DNA Taq polymerase. The polymerase chain reaction (PCR) conditions were as follows: preheating at 94°C for two min; 40 cycles of 94°C denaturation for 30 sec, 55°C annealing for 90 sec, and 72°C extension for 90 sec; and a final 72°C extension for three min. The PCR products were examined on 1% agarose gels and directly sequenced in both directions with PCR primers on a high-throughput capillary sequencer at the University of Washington High-Throughput Genomics Unit (Dept. of Genome Science, University of Washington).

Table 1. Offal samples chosen for genetic testing, including month of collection and the tissue type analyzed. All samples were collected in the eastern Bering Sea during January to March, 2007. Offal, in this study, refers to fish body parts (e.g. head, tail, spine, skin) that are discarded after processing.

Sample No.	Collection Month	Tissue Type
8-20	February	Fin
20-9A	February	Bone and Muscle
28-11	February	Skin
43-28D	March	Fin
48-13A	March	Skin
50-7A	March	Fin
51-8A	March	Skin
52-2C	January	Skin
52-3A	January	Bone and Muscle
52-4	January	Skin
52-5A	January	Skin
59-13B	February	Muscle
59-16	February	Muscle
60-19	February	Muscle
84-16	March	Muscle

Data Analysis

The sequence fluorograms were aligned using Sequencher™ (Gene Codes Inc. Ann Arbor, MI). Low-quality base calls at the end of sequences were removed, and sequences were checked for consistency between forward and reverse sequences. Samples with low and/or confounding peaks in the sequence chromatogram were rejected. In addition to the fish offal sequence data, known sequences of walleye pollock (accession numbers AF081699 and DQ174028) and Pacific cod (accession number AF081697) retrieved from the GenBank database were included in the analysis as reference points to compare with our sequences. An Atlantic cod sequence (accession number DQ173997) was also downloaded from GenBank and included in our analysis as a genetic outgroup.

Phylogenetic analyses were conducted in MEGA4 (Tamura et al. 2007) using the neighbor-joining method (Saitou and Nei 1987) with Kimura two-parameter distances (Kimura 1980) including all three codon positions. In order to evaluate the reliability of the tree, bootstrap values were generated with 1000 iterations and only those values above 50 were reported and indicated at the nodes.

rESuLTS

All samples of positive control walleye pollock and Pacific cod DNA amplified with our primers and produced usable haplotypes. Additionally, nine of the 15 offal samples yielded usable haplotypes. Samples 28-11, 51-8A, 52-2C, 52-5A, 59-16, and 60-19 were amplified but rejected due to low and/or confounding peaks. Of those six rejected haplotypes, four were from skin samples (Table 1). However,

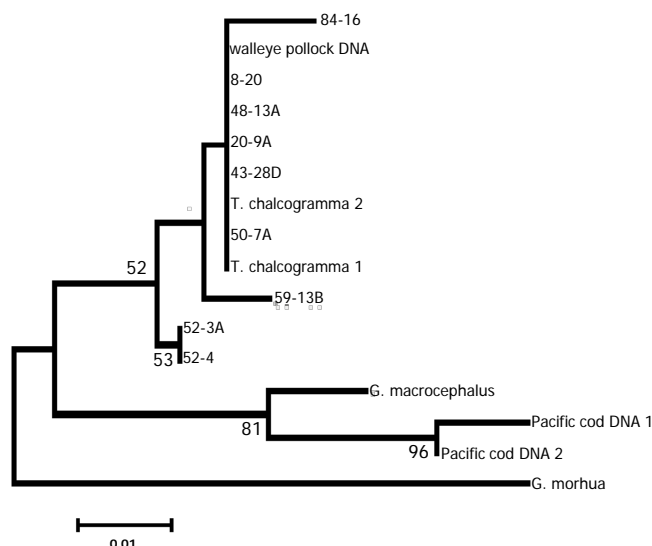


Fig. 1. Neighbor-joining tree showing the evolutionary relationship of nine offal sample haplotypes, three known DNA sample haplotypes and four known haplotypes (from GenBank). The tree is labeled as follows: walleye pollock = *T. chalcogramma* 1 (accession number AF081699) and *T. chalcogramma* 2 (accession number DQ174028); Pacific cod = *G. macrocephalus* (accession number AF081697); and Atlantic cod = *G. morhua* (accession number DQ173997). Offal sample haplotypes are labeled by sample numbers as in Table 2. Walleye pollock positive control DNA sample haplotype is labeled walleye pollock DNA (GenBank accession number GQ302982). Pacific cod positive control DNA sample haplotypes are labeled as Pacific cod DNA 1 (GenBank accession number GQ302983) and Pacific cod DNA 2 (GenBank accession number GQ302984). The tree was generated with Kimura two-parameter distances. Bootstrap values indicated at nodes were generated with 1000 replicates and only values above 50 are reported.

Table 2. Biological characteristics of Chinook salmon stomachs containing fish offal identified using genetic techniques. Sequences are available on the GenBank database and can be accessed using the GenBank accession number of each sample. Chinook salmon stomach samples collected by U.S. groundfish observers in the walleye pollock fishery operating in the eastern Bering Sea during January to March, 2007. Chinook salmon age determined from scales, where the number before (after) the period is the number of winters spent in fresh water (ocean). The X indicates that age could not be determined. Chinook salmon biological data and percentage of stomach content weight comprising fish offal from Davis et al. (2009b).

Fish Offal Sample No.	GenBank Accession No.	Sex	Maturity	Chinook Salmon			Fish Offal	
				Fork Length (cm)	Body Weight (kg)	Age	Species Identification	% of Stomach Content Weight
8-20	GQ302973	female	immature	44	0.94	1.2	pollock	100
20-9A	GQ302974	male	immature	52	1.67	1.2	pollock	100
43-28D	GQ302975	male	maturing	77	5.41	1.4	pollock	100
48-13A	GQ302976	female	maturing	82	5.92	1.4	pollock	100
50-7A	GQ302977	female	maturing	62	2.66	1.3	pollock	100
52-3A	GQ302978	female	immature	77	5.74	1.4	pollock	100
52-4	GQ302979	female	immature	47	1.6	X.X	pollock	54
59-13B	GQ302980	male	immature	59	2.34	1.2	pollock	95
84-16	GQ302981	female	immature	67	3.75	1.3	pollock	45

there was no obvious difference in DNA quantity among tissue types. No correlation was detected between the amount of DNA extracted and the duration of soak time in the bleach solution. The length of usable DNA sequences ranged from 108 bp to 152 bp but all sequences were trimmed to a length of 108 bp. Sequences were uploaded to the GenBank database (see Table 2 for offal sample accession numbers; see caption of Fig. 1 for positive control accession numbers). There was a total of 13 variable sites, four of which were diagnostic for differentiating walleye pollock from Pacific cod. Although our primers were designed to amplify DNA from both species, the neighbor-joining tree generated from the sequence data proved to be sufficient for differentiating the two (Fig. 1).

All offal haplotypes showed a closer relationship to the control sample of walleye pollock DNA and the walleye pollock sequences from GenBank than they did to the control samples of Pacific cod DNA and the Pacific cod sequence from GenBank, indicating the offal samples were in fact pieces of walleye pollock (Fig. 1). This relationship was supported by a bootstrap value of 52%. The Pacific cod positive controls were more closely related to each other (96% bootstrap value) and to the Pacific cod sequence (81% bootstrap value) than they were to any other sequence. All pollock samples were more closely related to Pacific cod than they were to the sequence of Atlantic cod from GenBank.

DISCUSSION

Nine of the fish offal samples collected from Chinook salmon stomach contents were identified as originating from walleye pollock (Table 2) due to their genetic similarities with known walleye pollock DNA and sequence data (Fig. 1). Those samples that did amplify but were rejected because of low and/or confounding peaks were likely contaminated by other contents of the stomach from which they were gathered. Four out of six of the rejected sample haplotypes were from skin tissue (Table 1), which was the thinnest tissue type. It is possible that the contamination from other stomach contents completely permeated the tissue. It is also possible that the exclusion of these samples may have introduced a degree of bias in our results, however, because the primary aim of this study was to demonstrate the presence of pollock offal, and not to quantify it, this possible bias is unlikely to have affected our results.

Our results clearly demonstrated the utility of a short COI sequence for species identification of Chinook salmon stomach contents. The specificity of our primer design was possible because morphological characters allowed the identification of offal as either cod or pollock. Further species identification was possible by sequencing the DNA and comparing results with known sequences. Much longer sequences are more typical for identifying species (Ward et al. 2009). The relatively short (108 bp) sequences are likely responsible for the low bootstrap values in the neighbor-joining tree

(i.e., 52% for the grouping of all pollock together), but they were sufficient to distinguish two species and, importantly, they could be obtained from degraded DNA (Hajibabaei et al. 2006).

This technique may prove invaluable for identifying fish prey from stomach contents that might be unidentifiable due to the state of digestion, or when isolated body parts are consumed rather than whole fish. Future DNA research will focus on the development of techniques for identification of invertebrate salmon prey, such as cephalopods and cnidarians, which can be difficult to identify in the absence of fresh or intact specimens.

Our results suggest fish offal derived from pollock might supplement the diet of Chinook salmon during winter. The scavenging of commercially discarded fish parts has been well documented in seabirds (Bertellotti 2000; Garthe and Scherp 2003). However, consumption of offal by Chinook salmon has yet to be investigated for the possible changes in feeding strategy and behavior it may elicit in the affected populations. Currently, only direct mortality of Chinook salmon in the pollock fishery has been well documented (Berger 2008). Future research will be needed in order to determine the positive or negative consequences for Chinook salmon survival through the winter and the magnitude of the direct and indirect effects of offal consumption on the total population.

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EVALUATION OF PASSIVE INTEGRATED TRANSPONDERS FOR ABALONE: TAG PLACEMENT, RETENTION, AND EFFECT ON SURVIVAL

J. R. HALE,¹ J. V. BOUMA,² B. VADOPALAS^{1*} AND C. S. FRIEDMAN¹

¹University of Washington, School of Aquatic and Fishery Sciences, 1122 NE Boat Street, Seattle, WA 98105; ²Puget Sound Restoration Fund, Pinto Abalone Recovery, 590 Madison Avenue North, Bainbridge Island, WA 98110

ABSTRACT Since 1969, abalone populations have declined globally more than 50%, with many species now recognized as threatened, endangered, or species of concern. As monitoring progresses and restoration efforts evolve to include population supplementation, a reliable and robust method of tagging individual abalone is needed. Current abalone tagging methods are unsatisfactory, particularly for long-term studies as a result of tag loss, shell erosion, and encrustation. Observing tag numbers of cryptically positioned abalone can be difficult. To obviate these issues, we evaluated passive integrated transponders (PITs) as tags for pinto abalone (*Haliotis kamtschatkana kamtschatkana*). We applied 9-mm PITs with cyanoacrylate glue to the dorsal exterior of the shell and to the ventral anterior of the shell, and by injection into the foot muscle of small adults (trial 1), and applied PITs to the ventral anterior of the shell of juveniles (trial 2). We subsequently tracked growth, survival, and tag retention over 15 mo in trial 1 and 6 mo in trial 2 in captivity. Among small adults (trial 1), differences in relative growth rate and survival were not significant. PIT retention by adhesion to the ventral anterior and dorsal exterior was significantly greater than injection into the foot in trial 1. Between controls and tagged animals in trial 2, differences in survival were not significant. There was no significant difference in ventral anterior tag retention between trial 1 and trial 2. Gluing PITs on the ventral anterior of the shell is a promising method because abalone quickly formed nacre over the tags, incorporating them into the shell, which does not appear to affect tag detection by the PIT reader. Trials are underway to characterize PIT retention in natural habitats, to determine tag longevity, and to use PITs to track adults reintroduced to aggregations.

KEY WORDS: pinto abalone, *Haliotis kamtschatkana kamtschatkana*, passive integrated transponders, tag

INTRODUCTION

Mark–recapture—a system in which animals are removed physically from their environment, tagged with distinct numbers, and recovered in subsequent surveys—is a standard method in conservation biology to estimate population size, track migration patterns, and assess growth and mortality (Gibbons & Andrews 2004, Henry & Jarne 2007). Despite the fact that shelled gastropods can be tagged with limited invasiveness, a robust tagging technique is lacking (Henry & Jarne 2007), in part because of the limitations of cost, tag retention, effect on the animal, and efficiency of search for tagged animals. Existing tagging methods for marine gastropods, including abalone, share these limitations.

A robust tagging system would provide valuable data on abalone population dynamics. Abalone species worldwide are in decline, including pinto, white, and black abalone (Hobday et al. 2000, Rothaus et al. 2008, Neuman et al. 2010, Bouma et al. 2012). Many abalone species are surveyed actively by managers and remain the focus of restoration activities (Watson & Vadopalas 2009). Enumeration of abalone in the field is challenging because they are often nested in crevices of rocky substrate or are otherwise out of reach. Distinguishing individuals under these circumstances will empower researchers to detect abalone in situ. Thus, requirements for a successful tagging system for pinto abalone include the following characteristics: high retention rate, low impact on animal survival and health, and detectable under field conditions.

Although noninvasive individual tags such as plastic disks and numbered washers have been used to track growth and

movement of shelled gastropods such as abalone, these tags have limited effectiveness (Catchpole et al. 2001, Henry & Jarne 2007). Such tags are difficult to read and may be overlooked at unacceptably high rates when the marked animal is in a cryptic microhabitat. Tags may be dislodged from the animal or may become unreadable without significant effort on the part of the observer as a result of erosion, decay, or encrusting epibionts, and may be difficult for divers to visualize underwater (Henry & Jarne 2007). Genetic tagging is feasible but can be costly and it does not provide the capability of immediate identification in the field (Henry & Jarne 2007).

Passive integrated transponder (PIT) technology may be a viable alternative to traditional tagging methods (Gibbons & Andrews 2004) if effects on the animal are minimal, tag retention is high, and the use of PITs increases the efficiency of search for tagged animals. PIT tags are small, biocompatible, glass-encapsulated integrated circuits that are activated by the PIT tag reader to relay the unique identifier number sequence (Wyneken et al. 2010). Since their first use in the mid 1980s (Gibbons & Andrews 2004), PITs have been used in a variety of taxa to answer a range of questions, from physiological to behavioral. PIT tags may increase identification efficiency greatly for marine gastropods as a result of their nonvisual detection technology, significant potential for longevity, and the potential to obviate recapture. PIT tags are essentially permanent if retained and can last up to 75 y or more (Biomark, Boise, ID), increasing accuracy and eliminating the need for retagging. In addition, the unique identifier code for each PIT tag reduces substantially the chance of identification error by storing tag number data in the PIT reader.

To address the limitations of traditional tagging methods, PITs were used experimentally to tag pinto abalone. We evaluated PIT tagging methods on both small adult (age, 3.5 y;

*Corresponding author. E-mail: brentv@uw.edu

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mean initial shell length (SL, where SL is the maximum linear dimension of the elliptical shell), 59.3 mm; range, 40.1–75.5 mm) and juvenile (age, 2 y; mean initial SL, 23.6 mm; range, 17.5–32.1 mm) pinto abalone by assessing tag retention and tagging effects on growth and survival. Three methods were evaluated on small adult animals, including attachment of PITs to the dorsal exterior and ventral anterior of the shell, and foot muscle injection. PIT tag attachment on the ventral anterior of the shell was also evaluated in juvenile pinto abalone.

MATERIALS AND METHODS

Experimental Animal Care

Larval pinto abalone were produced and reared in a hatchery setting at the NOAA Mukilteo Research Station in Washington state. Abalone were held in culture tanks that received 20-mm-filtered, 8–14°C, \approx 30 PSU seawater, and were fed ad libitum naturally occurring benthic diatoms and macroalgae *Nereocystis leutkeana* and *Palmaria mollis*. Small adult abalone (adults; age, 3.5 y; mean initial SL, 59.3 mm; range, 40.1–75.5 mm) produced during fall 2007, including both males (n = 17) and females (n = 23), were used in trial 1. Juvenile abalone (juveniles; n = 42; age, 2 y; mean initial SL, 23.6 mm; range, 17.5–32.1 mm) produced in 2009 were used in trial 2. The number of individuals in each trial was determined by the number of individuals available in each age class at the NOAA Mukilteo Research Station hatchery. For each trial described next, holding tanks were maintained at ambient temperatures from 8–14°C, with a mean temperature of 12°C. Handling, including tank cleaning, was minimized for 4 days after tagging to avoid further stress. Subsequent tank cleaning and feeding were conducted weekly.

Trial 1: Small Adults

Abalone were maintained in a 180-L fiberglass tank. Abalone (n = 40) were removed from the tank and placed into submerged mesh bags to facilitate handling. Each animal was tagged initially with a 2-mm bee tag (The Bee Works, Orillia, Ontario, Canada) attached near the spire with cyanoacrylate glue (Zap-a-Gap; Pacer Technology, Rancho Cucamonga, CA). Abalone were assigned randomly to 4 groups (n = 10 each) representing 3 tag treatments and 1 untagged control. After bee tag placement, control animals were returned to the common tank. We did not control separately for glue effects. PIT tags (9-mm full duplex, HPT9; Biomark) were adhered to the dorsal exterior of the shell in the groove formed below the respiratory pores (exterior; Fig. 1), the ventral anterior along the leading edge (interior; Fig. 1) of the shell using IC-GEL (Bob Smith Industries, Inc., Atascadero, CA), and injected into the lateral side of the foot muscle with a 12-gauge needle (MK10 Implanter, N215 needles; Biomark) (tissue, Fig. 1) in respective treatment groups. The injection site was sealed with cyanoacrylate glue. After tagging, abalone were placed in a 10-L bucket of seawater to cure the glue. After tagging, the individual identifier number from each tagged abalone was read with a PIT tag reader (601 Handheld Reader; Biomark), recorded, and matched with the individual's bee tag number. All abalone were returned to the 180-L common tank after tagging was complete. Survival and tag loss were monitored weekly for 15 mo. Initial and final SL was recorded for each individual.

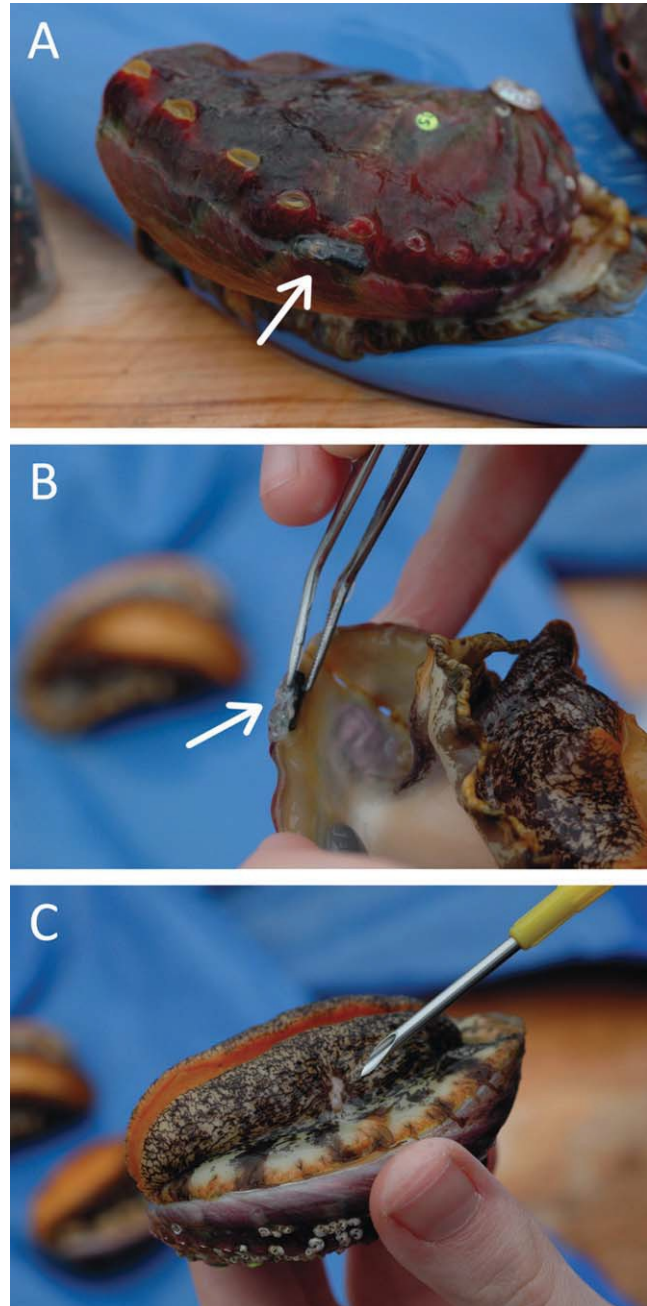


Figure 1. Application locations for passive integrated transponder (PIT) tags in pinto abalone (*Haliotis kamtschatkana kamtschatkana*). (A) Exterior. PIT tag (arrow) glued to the exterior of the shell in the groove formed by the respiratory pores. (B) Interior. PIT tag (arrow) glued to interior of shell after lifting up the mantle. (C) Injected. Needle points to the PIT tag injection site.

Trial 2: Juveniles

Juvenile abalone (n = 42) were pretagged with bee tags as described earlier. Juveniles were assigned randomly to 2 groups (n = 22 PITs, n = 20 control). Those in the PIT tag group were tagged by gluing individual PIT tags to the ventral anterior of the shell as described earlier. After tagging, the individual identifier number from each tagged abalone was read with the

PIT tag reader, recorded, and matched with the individual's bee tag number. All abalone were returned to their culture tank for the duration of the study. Survival and tag loss were monitored weekly for 6 mo. Initial and final SL were recorded for each individual.

Statistical Analyses

Chi-square tests with Yate's continuity correction were used to determine whether survival and tag retention proportions differed among treatment groups, and to compare tag retention and mortality proportions between small adults and juveniles. To evaluate relative growth rate ($RGR = \frac{1}{4} [\ln SL_2 - \ln SL_1] / [DTime]$) differences among treatments in trial 1, we used single-factor analysis of variance (ANOVA).

RESULTS

Trial 1: Small Adults

Tag Retention

Tag retention differed significantly among groups (chi-square $\chi^2 = 18.37$, $df = 2$, $P < 0.001$). In PIT-injected abalone, tag retention was 10%. A single foot muscle tag remained in one abalone that later died after developing a large lesion protruding from the injection site (Fig. 2). Tag retention in internally and externally adhered PITs was 90% and 80%, respectively (Table 1).

Survival and Growth

Over a 15-mo observation period after tagging, 7 mortalities occurred. Mortalities occurred in all treatment groups except for the ventral anterior-adhered group. Mortalities occurred as follows: 1 animal in the externally adhered group, 4 in the injected group, and 2 controls. Survival was similar among treatments (chi-square $\chi^2 = 6.06$, $df = 3$, $P = 0.11$; Table 1). Despite significant differences in SL among treatments at the beginning and end of the experiment (ANOVA, $F = 3.99$, $df = 3$, $P = 0.015$; ANOVA, $df = 3$, $F = 3.26$, $P = 0.04$, respectively), RGRs were similar among treatments (ANOVA, $F = 1.40$, $df = 3$, $P = 0.262$).



Figure 2. Pinto abalone, *Haliotis kamtschatkana kamtschatkana*, 61 days after injection with passive integrated transponder tag, showing large lesion protruding from the injection site (arrow).

TABLE 1.

Proportion survival and retention of PIT tags in pinto abalone, *Haliotis kamtschatkana kamtschatkana*.

Group	Treatment (n)	Duration (mo)	Retention	Survival
Small adult	Injected (10)	15	0.10	0.60
	Outside (10)	15	0.80	0.90
	Inside (10)	15	0.90	1.00
	Control (10)	15	—	0.80
Juvenile	Inside (22)	6	0.86	0.63
	Control (20)	6	—	0.85

Injected, tags inserted into the foot muscle; Inside, tags glued on the interior edge of the shell; Outside, tags glued to the exterior of the shell.

Response to PITs Adhered to Ventral Anterior of Shell

After 37 days, 1 abalone had covered the ventral anterior-adhered PIT with mantle tissue, and newly deposited nacre was visible covering the tag (Fig. 3). Similar observations occurred during the subsequent 60 days. All ventral anterior-adhered PITs in the remaining abalone in this treatment group were covered in nacre after 3 mo.

Trial 2: Juveniles

Tag Retention

Tag retention in juveniles was 86%; 3 of 22 juveniles lost their PIT (Table 1).

Survival and Growth

During the 6-mo observation period after tagging, 11 mortalities occurred. Mortalities occurred in both treatment groups, including 8 animals in the ventral anterior-adhered group and 3 controls. Survival was similar among treatments (chi-square $\chi^2 = 0.57$, $df = 1$, $P = 0.45$; Table 1). No growth analyses were possible for trial 2 because of initial size differences between control and treatment groups (average initial SL, 20.7 mm and 23.9 mm, respectively) confounding



Figure 3. Pinto abalone (*Haliotis kamtschatkana kamtschatkana*) 37 days after passive integrated transponder tag was glued to interior of shell under mantle tissue. This was the first observation of nacre deposition over the PIT tag (arrow).

growth analyses as a result of ontogenetic growth rate differences.

Response to PITs Adhered to Internal Shell

On observation (day 63 after tagging), 8 animals had abnormal epipodial tissue near the tagging site. In the majority of tagged animals, mantle tissue was either receded or up against the tag. Only a single subject animal in trial 2 had moved mantle tissue over the tag and deposited nacre over the PIT tag. On final observation, 178 days after tagging, 7 animals had abnormal shell growth near the tagging site (Fig. 4).

Small Adult and Juvenile Comparison

For the ventral anterior-adhered PITs, tag retention proportions were the same between the small adults (90%) and the juveniles (86%; chi-square $\frac{1}{4}$ 0.08, df $\frac{1}{4}$ 1, $P \frac{1}{4}$ 0.77). All tagged animals that died had retained their tag at the time of death. All small adults deposited nacre over PITs.

DISCUSSION

We developed a novel method for the attachment of PITs in abalone, and for the first time tested retention, growth, and mortality in a controlled environment. When PITs were applied to the ventral anterior shell in adult abalone, they became embedded in deposited shell (nacre), resulting in a high rate of tag retention and low associated mortality. Nacre-embedded tags decrease the probability of tag loss and likely reduce the possibility of tag damage from exposure.

Methods for tagging abalone have generally fallen into 2 categories (Prince 1991): tags applied with adhesives (Kraeuter et al. 1989, Debrot 1990, McShane & Smith 1992, Worthington et al. 1995, Henry & Jarne 2007) or tags secured to abalone respiratory pores (Prince 1991, Catchpole et al. 2001). Abalone have also been tagged chemically to alter shell color for

identification of hatchery-reared individuals in the wild (Chick 2010). Henry and Jarne (2007) estimated that a tag loss rate of 0.01–0.1/mo is expected for most marking techniques, including adhesion of plastic tags, rivets, and various types of paint. Prince (1991) attached numbered disks to the respiratory pores of abalone with rivets, and observed tag losses of 4–35% over a 1-y period. Debrot (1990) tagged *Cittarium pica*, a marine snail, with a plastic disk glued with epoxy resin, and estimated a tag loss rate of 43% per year (Debrot 1990), which is much higher than the 10% tag loss we observed over 15 mo in small adults with ventral anterior-adhered PITs. Henry and Jarne (2007) hypothesized that tag loss in *C. pica* was a result of tag abrasion because of their crevice-dwelling habitat, similar to the habitat of many abalone species.

We found that abalone covered PIT tags with nacre, embedding the tag in the shell. Prince (1991) observed that 33% of animals that retained plastic rivet tags had covered the rivet with nacre after 1 y. In the current study, we observed 100% of the PITs embedded in nacre in the small adults after only 3 mo. The difference may be the result, in part, of the biocompatible characteristics of the glass encapsulation (Schott 2012) relative to nylon rivets, or the movement of the rivet against the respiratory pores. In freshwater mussels and the clam *Mya arenaria*, PITs inserted between the mantle and shell were also covered with nacre, further suggesting the possibility for long-term retention (Kurth et al. 2007; Hamilton & Connell 2009, respectively).

PITs circumvent many problems associated with visually encountering a variety of organisms and their tags in situ. Angeloni and Bradbury (1999) tagged the large marine opisthobranch *Aplysia vaccaria* with PITs, but did not record tag retention. Marine polychaetes were tagged successfully with coded microwire tags (*Glycera* dibranchiate and *Nereis virens* (Joule 1983)), as well as other marine invertebrates such as red king crabs (*Paralithodes camtschaticus* (Pengilly & Watson 1994)), lobsters (*Homarus americanus* (Ennis 1972), *Panulirus argus* (Sharp et al. 2000)), and prawns (*Pandalus platyceros* (Prentice & Rensel 1977)). Freshwater unionid mussels have also been tagged with PITs (Young & Isely 2008, Kurth et al. 2007, Wilson et al. 2011), resulting in 90–100% tag retention of externally attached PITs (Young & Isely 2008) and 75–100% tag retention of internally attached PITs (Kurth et al. 2007). Mussel reencounter rates were 72–80% with PIT technology compared with 30–47% by visual search methods (Kurth et al. 2007). Terrestrial invertebrates such as snails and beetles (*Paryphanta busbyi watti* and *Plocamosthetus planiusculus*, respectively (Lovei et al. 1997)), bees (*Bombus terrestris* and *Apis mellifera* (Riley et al. 1996)), ground beetles (*Carabus coriaceus* (Riecken & Raths 1996) and *Calosoma affine* (Wallin 1991)) have been tagged and tracked successfully with harmonic radar, a method similar to PIT tagging. In contrast to PITs, however, the reflected harmonic signal does not yield a unique identifier for each animal.

In the field, PITs have been used to tag black abalone (*Haliotis cracherodii*) by attachment to the external shell with both epoxy and cyanoacrylate cement. However, effectiveness was reduced by significant tag loss and consistent loss of PIT function after about 1 y (G. VanBlaricom, University of Washington, January 17, 2011, pers. comm.). Tags may have been rendered unreadable as a result of wave impact in the highly dynamic rocky intertidal habitat of black abalone (G. VanBlaricom, 2011, pers. comm.). Adult pink (*Haliotis corrugata*) and green

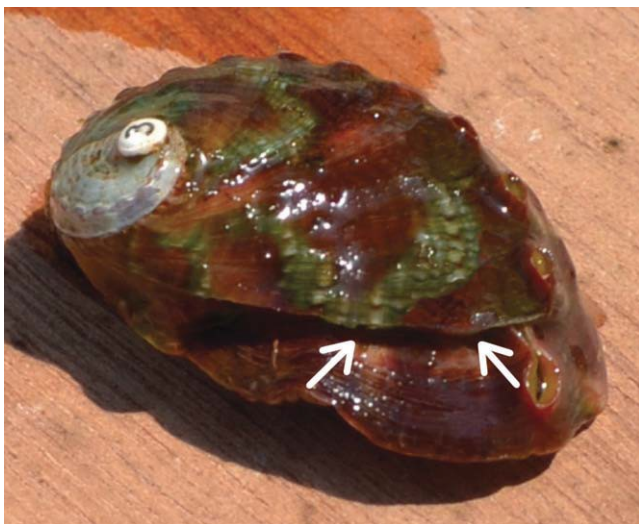


Figure 4. Shell malformation in juvenile pinto abalone (*Haliotis kamtschatkana kamtschatkana*) 6 mo after application of passive integrated transponder (PIT) tag (arrow) to the ventral anterior shell, likely the result of insufficient mantle to cover the PIT tag. As a result, shell growth occurred ventral to the tag, creating a “shelf” in the shell.

(*Haliotis fulgens*) abalone have also been tagged experimentally by attaching PITs with marine epoxy (Z-SPAR Splash Zone; Simco Coatings, Inc., Los Angeles, CA) to the external dorsal shell underneath a numbered stainless steel washer (I. Taniguchi, California Department of Fish and Game, March 29, 2012, pers. comm.). If incorporation via nacre deposition is similar to our observations for pinto abalone, ventral anterior PIT placement may optimize high retention rates in black, green, and pink abalone, and may reduce the impact of wave forces on PITs. Retention and survival rates for the PIT tagging method we describe for pinto abalone compares favorably with traditional methods used to tag hardshell gastropods. Based on our results, the majority of tag loss is likely to occur during the first 3 mo. After nacre deposition, we observed no tag loss; thus, we expect further tag loss to be minimal.

PIT-tagged abalone have been located in the field using handheld readers in combination with metal detectors in intertidal habitats (G. VanBlaricom, 2011, pers. comm.), PIT detection units (Kurth et al. 2007), and custom readers, including a reader (FS2001F-ISO Reader; Biomark) inside a custom underwater housing (PREVCO Subsea LLC, Fountain Hills, AZ) with a waterproof cable to a racket-style antennae (I. Taniguchi, 2012, pers. comm.). We are currently developing a fully submersible PIT tag reader in which the reader board and reader are fully encased in a waterproof container.

PIT tagging may not be a viable option for juvenile or small abalone. Although we observed low tag loss and low mortality in juveniles, 7 of the tagged juveniles exhibited abnormal shell formation (Fig. 4) that was not reflected in final SL measurements. In small abalone, the relatively large tag size combined with insufficient mantle tissue to cover the PIT may preclude tag assimilation. Concurrent with our experiments, large adult pinto abalone (mean SL, 115 mm; $n = 33$) were also PIT tagged on the ventral anterior shell in 2011. After 6 mo, tag retention in this group was high (96%) and PITs were embedded in nacre (data not shown), illustrating the potential for tracking

important broodstock in commercial and restoration abalone hatcheries.

A robust tagging system for pinto abalone would enable investigators to monitor the progress of restoration efforts that include aggregation and population supplementation, and to increase survey resolution for declining species, such as pinto abalone. In the short term, PIT tagging may be more expensive than some traditional methods (approximately \$6/tag). However, PITs applied to the ventral anterior shell may ultimately prove cost-effective as a result of high retention and sustained readability. In addition, by obviating the need to encounter tags visually to confirm identification, PIT tags have the potential to increase the speed and resolution of surveys, providing valuable data on population dynamics in abalone species. Studies are underway to characterize PIT tag retention in natural habitats and to track adults reintroduced to the natural environment.

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New book challenges the idea that professors don't care about teaching

Professors usually don't make the best teachers, goes a common critique of higher education, especially those at research universities. But a new book challenges that argument, painting the professoriate as an overwhelmingly self-reflective group striving to achieve better learning outcomes over the course of their academic careers.

Inside the Undergraduate Teaching Experience [1], out this month from SUNY Press, is based on a qualitative study of 55 faculty members across different disciplines at the University of Washington, starting in 2009. Extensive interviews with the faculty members, a mix of those recommended by department chairs for exceptional teaching, those randomly selected, and those selected to demographically round out the group, reveal that virtually all faculty in all groups constantly think about how to be more effective teachers. Even when they didn't know they were doing it, professors described changing course assignments, content and student engagement strategies to improve learning outcomes. Much of that work was done experimentally, with professors using student behavior and performance as gauges of success.

"[Sometimes] I think my career is like 'Groundhog Day,' the movie – I have to keep doing this over and over again until I get it right," said one math professor. Another described her teaching as an "invasive species," making adaptations to changing environments in order to survive. The professors in the book are not named.

Catharine Beyer, a research scientist and lecturer in the Interdisciplinary Writing Program at the University of Washington, led the study, in part to see if largely positive student responses about their professors' concerns about teaching in a separate, longitudinal study on undergraduate learning were in line with professors' classroom experiences. While she expected the research to challenge some stereotypes about the professoriate, Beyer said she was stunned by the extent of professors' desires to be good teachers and their ongoing self-assessment – even when it was hard or painful.

"I was surprised by that, and frankly, really moved by it," said Beyer, "especially because that story kept repeating. No one spent time on one class, and said, 'O.K., I'm done,' and went on to [prepare for] the next class."

Indeed, even highly accomplished professors reported feeling anxious teaching classes they'd taught numerous times. "I have a terrible problem of over-preparing – over-preparing in such a way that I tend to paralyze myself," said one renowned legal scholar who reported consciously moving away from the lecture format. "I don't know where the discussion is going to go, so I feel that I have to be prepared to answer all possible turns of discussion and re-familiarize myself with the literature."

Co-author Gerald M. Gillmore, the now-retired, former head of the University of Washington's Office of Educational Assessment, said he wasn't surprised by the findings – but only because he'd had ample opportunity spanning his career to hear faculty discuss teaching. Such conversations disproved the “get back to the lab as quickly as possible” public image of professors, he said.

Beyer said she hoped the book would be read widely among professors, administrators, students and parents, to help bridge the gap between perceptions of professors at large, public research universities such as hers and the new reality. (Although the study was conducted at the University of Washington, she said she believed it was applicable to faculty at similar institutions as well as smaller universities and colleges.)

Teaching still has a long way to go, she said, but the public should “recognize and honor” the leaps and bounds professors have made during the last several decades, largely of their own volition, to move to a more student-centered approach to teaching.

Edward Taylor, the book's third author and dean and vice provost of undergraduate academic affairs and professor of educational leadership and policy studies at the University of Washington, said that although it may be hard for people to abandon the iconic image of a professor standing on a podium lecturing to thousands of students, the data reflect the changing nature of higher education. Learning environments and instructional styles are diversifying, and there's been a surge in research on pedagogy in higher education.

Institutions can encourage this trend by encouraging more pedagogical training in graduate programs, and increasing the value of teaching in tenure and promotion practices and in campus culture overall, Taylor said.

“What we need to do is move away from teaching and learning as a private practice,” he said. “It's public work that should be learned with colleagues.”

The book already has been endorsed by David Pace, professor emeritus of history at Indiana University at Bloomington and coeditor of *Decoding the Disciplines: Helping Students Learn Disciplinary Ways of Thinking*.

“The book captures the voices of faculty engaged in the classroom in a fashion that I have not seen before,” he said in a publisher's blurb. “In the midst of a cacophony of works denouncing the professoriate as insensitive to problems of student learning (generally with little evidence), this study offers a glimpse into the real attitudes of a large group of instructors.”

Ken Bain, who has written extensively about pedagogy in higher education and serves as the provost and vice president of academic affairs at the University of the District of Columbia, said he had not read the book, but that his own research supported its findings. “Indeed, for the last 30 years, there has been a quiet revolution taking place in higher education, in which increasing numbers of faculty recognize that there is valuable

research on university learning that can inform their practices. While some faculty remain outside that revolution, sticking to old approaches, a growing majority are deeply committed to a research-based approach to teaching and learning.”

New Books About Higher Education [2]

Faculty [3]

Teaching and Learning [4]

Source URL: <http://www.insidehighered.com/news/2013/01/10/new-book-challenges-idea-professors-dont-care-about-teaching>

Links:

[1] <http://www.sunypress.edu/p-5644-inside-the-undergraduate-teachi.aspx>

[2] <http://www.insidehighered.com/news/news-sections/new-books-about-higher-education>

[3] <http://www.insidehighered.com/news/news-sections/faculty>

[4] <http://www.insidehighered.com/news/focus/teaching-and-learning>

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Report of Contributions – December 2012

For information only.

Attachment

UW Foundation Report of Contributions for December 2012



UNIVERSITY *of* WASHINGTON
Foundation



Report of Contributions

All Areas | December 2012

ANNUAL PROGRESS BY CONSTITUENCY

School	Current Month				Year to Date			
	Gifts	Private Grants	Total	Donors ¹	Gifts	Private Grants	Total	Donors
UW Medicine	\$4,625,847	\$5,684,304	\$10,310,151	3,958	\$13,136,889	\$44,551,582	\$57,688,470	9,175
Arts and Sciences	\$3,998,100	\$751,924	\$4,750,024	2,708	\$9,201,555	\$3,747,867	\$12,949,422	7,526
Broadcast Services	\$3,245,698		\$3,245,698	460	\$3,851,418		\$3,851,418	10,058
Built Environments	\$197,584		\$197,584	301	\$705,996	\$128,500	\$834,496	737
Business School	\$10,435,654	\$20,000	\$10,455,654	1,030	\$12,114,365	\$20,000	\$12,134,365	2,373
Dentistry	\$908,679		\$908,679	453	\$1,346,789	\$8,243	\$1,355,032	929
Education	\$134,356	\$1,509,992	\$1,644,348	199	\$654,868	\$3,776,462	\$4,431,330	476
Engineering	\$2,707,949	\$256,835	\$2,964,784	1,000	\$7,107,223	\$4,035,028	\$11,142,251	3,059
Environment	\$1,727,293	\$162,081	\$1,889,374	669	\$3,358,509	\$2,747,759	\$6,106,268	1,410
Evans School of Public Affairs	\$40,570		\$40,570	80	\$216,691	\$109,996	\$326,687	523
Graduate School	\$274,695	\$42,600	\$317,295	82	\$812,137	\$660,776	\$1,472,914	159
Information School	\$39,226		\$39,226	145	\$482,603	\$1,744,943	\$2,227,546	457
Intercollegiate Athletics	\$3,276,075		\$3,276,075	1,141	\$15,108,382		\$15,108,382	6,155
Law	\$365,596		\$365,596	519	\$1,395,342	\$10,000	\$1,405,342	1,155
Libraries	\$157,778		\$157,778	512	\$4,984,144		\$4,984,144	1,327
Minority Affairs	\$673,852		\$673,852	181	\$805,508		\$805,508	559
Nursing	\$292,290	\$10,500	\$302,790	330	\$644,994	\$655,114	\$1,300,108	995
Pharmacy	\$392,804		\$392,804	260	\$1,405,249	\$1,219,710	\$2,624,959	639
President's Funds	\$181,681		\$181,681	318	\$370,191		\$370,191	777
Public Health	\$117,954	\$638,358	\$756,312	196	\$363,462	\$10,986,827	\$11,350,289	427
Social Work	\$36,433	\$1,100,000	\$1,136,433	122	\$222,603	\$1,424,306	\$1,646,909	360
Student Life	\$1,675,605		\$1,675,605	686	\$2,727,274		\$2,727,274	1,777
Undergraduate Academic Affairs	\$166,502		\$166,502	124	\$334,864	\$315,502	\$650,366	437
University Press	\$26,250		\$26,250	55	\$129,965		\$129,965	98
UW Alumni Association	\$79,474		\$79,474	1,601	\$443,369		\$443,369	7,940
UW Bothell	\$13,552	\$1,948,702	\$1,962,254	96	\$4,378,991	\$2,533,870	\$6,912,861	394
UW Tacoma	\$111,814		\$111,814	150	\$592,270	\$272,461	\$864,731	560
Other University Support	\$1,366,844	\$146,822	\$1,513,666	248	\$4,449,456	\$488,693	\$4,938,149	923
Total	\$37,270,156	\$12,272,118	\$49,542,273	15,653	\$91,345,108	\$79,437,640	\$170,782,748	54,509

MONTHLY HIGHLIGHTS

The UW received \$49.54M in total private voluntary support (\$37.27M in gifts and \$12.27M in grants) in the current month.

Areas including Built Environments, Dentistry, Education, Engineering, Environment, Information School, Law, Libraries, Nursing, Public Health, Social Work and UW Bothell are ahead of last year's year-to-date totals.

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

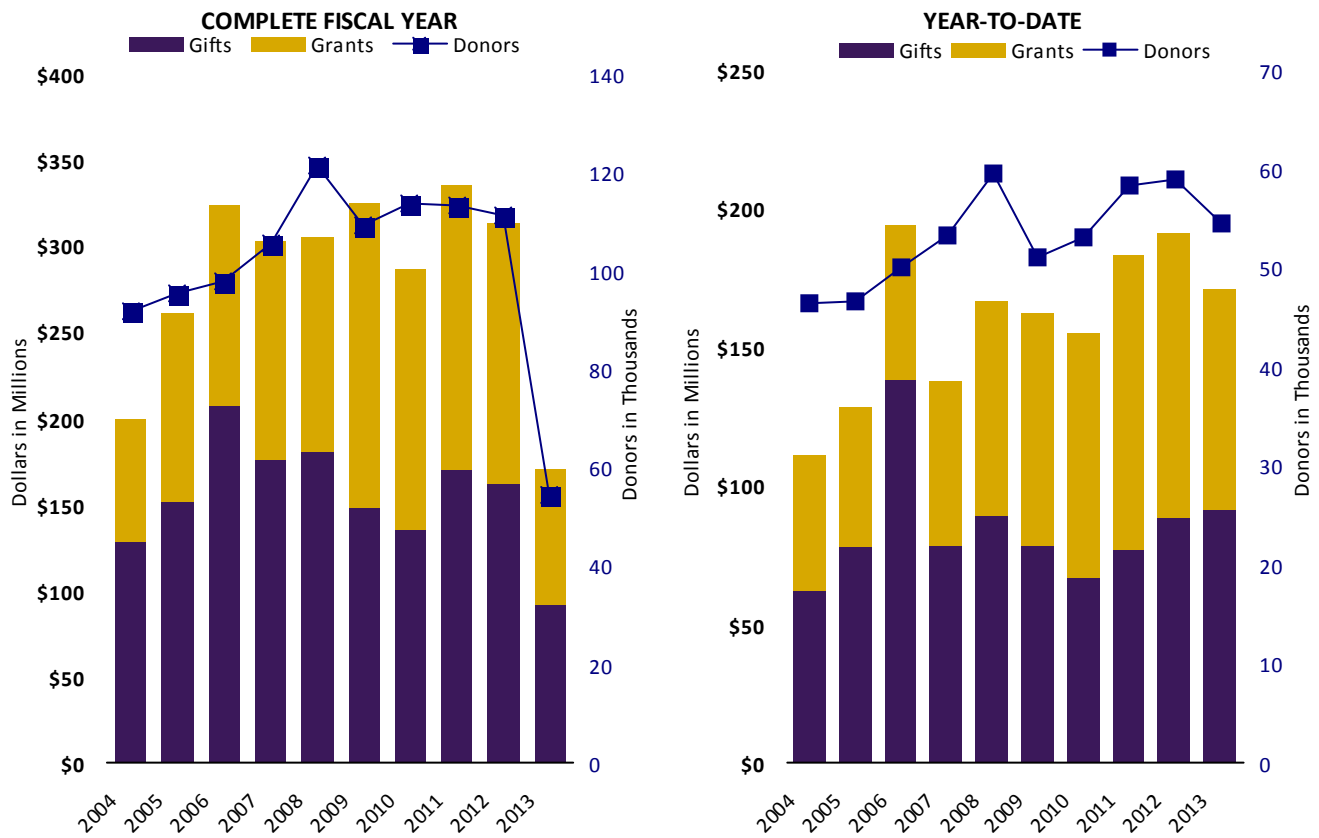
The donor total at the bottom of the chart is not a cumulative total of the rows above. The donor total is the number of unique donors who have been credited with a gift to the UW during the given time period.

DEVELOPMENT SUMMARY BY CONSTITUENCY

School	Current Month		Year to Date		Prior Year to Date		Prior Year Total	
	Total	Donors	Total	Donors	Total	Donors	Total	Donors
UW Medicine	\$10,310,151	3,958	\$57,688,470	9,175	\$78,272,806	9,657	\$117,105,011	15,880
Arts and Sciences	\$4,750,024	2,708	\$12,949,422	7,526	\$13,868,394	8,295	\$28,630,072	13,296
Broadcast Services	\$3,245,698	460	\$3,851,418	10,058	\$5,425,532	11,746	\$6,997,556	19,560
Built Environments	\$197,584	301	\$834,496	737	\$576,313	601	\$1,319,922	1,054
Business School	\$10,455,654	1,030	\$12,134,365	2,373	\$13,685,863	2,930	\$20,100,354	4,568
Dentistry	\$908,679	453	\$1,355,032	929	\$1,086,992	943	\$1,636,141	1,329
Education	\$1,644,348	199	\$4,431,330	476	\$2,875,240	746	\$7,463,438	1,659
Engineering	\$2,964,784	1,000	\$11,142,251	3,059	\$10,114,813	3,110	\$22,525,824	4,219
Environment	\$1,889,374	669	\$6,106,268	1,410	\$5,897,062	1,401	\$10,129,819	2,489
Evans School of Public Affairs	\$40,570	80	\$326,687	523	\$630,739	291	\$1,593,243	551
Graduate School	\$317,295	82	\$1,472,914	159	\$1,725,537	205	\$1,919,499	309
Information School	\$39,226	145	\$2,227,546	457	\$354,295	642	\$1,007,884	868
Intercollegiate Athletics	\$3,276,075	1,141	\$15,108,382	6,155	\$17,206,840	5,484	\$33,580,010	22,874
Law	\$365,596	519	\$1,405,342	1,155	\$1,268,670	1,043	\$2,033,388	1,894
Libraries	\$157,778	512	\$4,984,144	1,327	\$749,559	2,120	\$1,989,175	5,077
Minority Affairs	\$673,852	181	\$805,508	559	\$852,914	522	\$1,099,134	809
Nursing	\$302,790	330	\$1,300,108	995	\$1,246,364	1,033	\$2,947,291	1,495
Pharmacy	\$392,804	260	\$2,624,959	639	\$8,406,036	757	\$10,883,740	1,346
President's Funds	\$181,681	318	\$370,191	777	\$467,950	748	\$591,920	1,297
Public Health	\$756,312	196	\$11,350,289	427	\$8,612,543	428	\$11,566,876	748
Social Work	\$1,136,433	122	\$1,646,909	360	\$744,874	436	\$3,619,549	953
Student Life	\$1,675,605	686	\$2,727,274	1,777	\$4,332,122	2,367	\$6,353,413	3,844
Undergraduate Academic Affairs	\$166,502	124	\$650,366	437	\$1,535,612	274	\$2,037,112	850
University Press	\$26,250	55	\$129,965	98	\$151,920	127	\$203,245	210
UW Alumni Association	\$79,474	1,601	\$443,369	7,940	\$505,485	8,689	\$1,136,496	19,208
UW Bothell	\$1,962,254	96	\$6,912,861	394	\$2,885,612	274	\$3,967,991	676
UW Tacoma	\$111,814	150	\$864,731	560	\$3,087,381	468	\$4,872,642	980
Other University Support	\$1,513,666	248	\$4,938,149	923	\$4,015,024	800	\$5,791,037	2,134
Total¹	\$49,542,273	15,653	\$170,782,748	54,509	\$190,582,490	58,892	\$313,101,782	111,145

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

FISCAL YEAR COMPARISON OF TOTAL CONTRIBUTIONS



Fiscal Year	Complete Fiscal Year				Year to Date			
	Gifts	Private Grants	Total	Donors	Gifts	Private Grants	Total	Donors
2012-2013	\$91,345,108	\$79,437,640	\$170,782,748	54,509	\$91,345,108	\$79,437,640	\$170,782,748	54,509
2011-2012	\$161,989,170	\$151,112,612	\$313,101,782	111,145	\$88,406,956	\$102,175,535	\$190,582,490	58,892
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

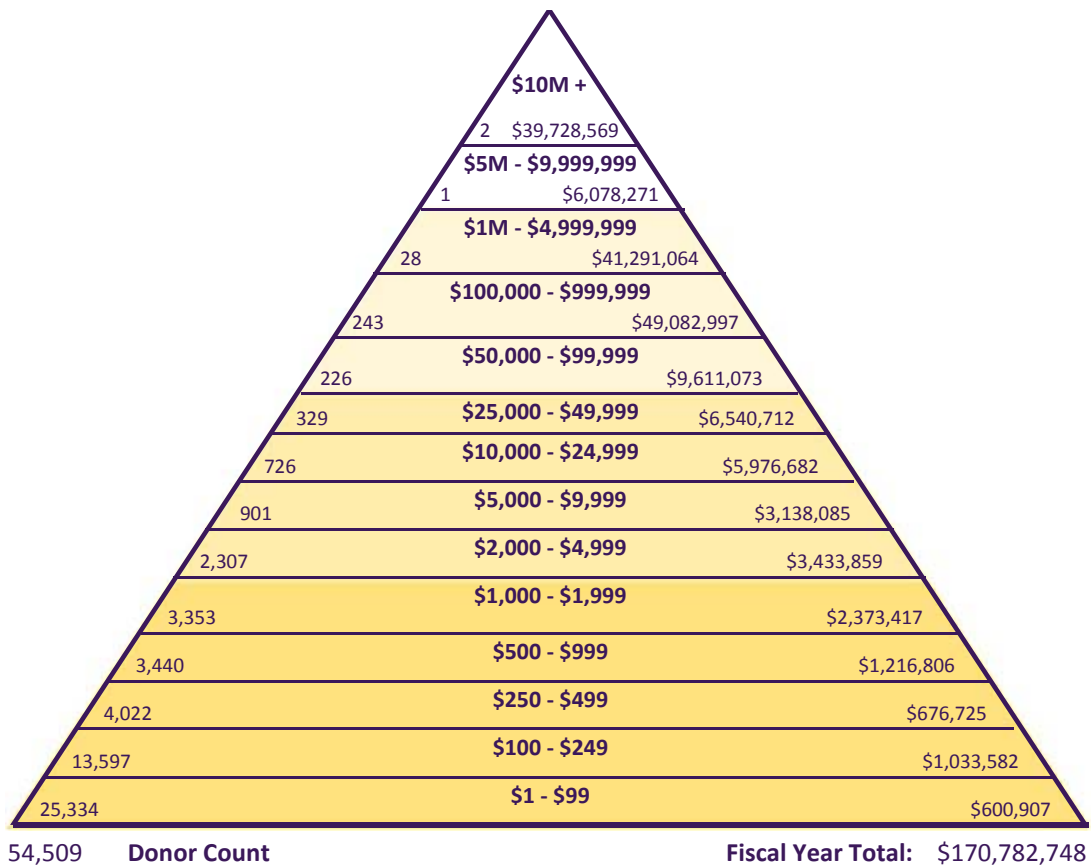
ANNUAL FUNDING THEME PROGRESS

Theme	Current Use	Year to Date	
		Endowment	Total
Student Support	\$6,123,414	\$8,815,979	\$14,939,393
Faculty Support	\$7,863,918	\$4,900,684	\$12,764,602
Program Support for Faculty and Students	\$100,781,632	\$11,090,626	\$111,872,258
Capital	\$14,444,431	\$255	\$14,444,686
Excellence Funds	\$15,745,556	\$1,016,252	\$16,761,808
Total	\$144,958,951	\$25,823,797	\$170,782,748

DEVELOPMENT ACTIVITY BY DONOR TYPE

Donor Type	Year to Date		Prior Year to Date		Prior Fiscal Year	
	Donors	Total	Donors ¹	Total	Donors	Total
Alumni	25,710	\$24,064,614	27,952	\$22,326,217	50,041	\$46,193,706
Corporations	1,363	\$22,831,295	1,475	\$25,293,522	2,784	\$49,922,648
Family Foundations	110	\$12,116,164	120	\$11,180,749	170	\$15,990,521
Foundations	256	\$55,637,755	250	\$70,015,442	407	\$90,656,428
Non-Alumni	26,729	\$21,150,687	28,769	\$18,690,718	57,161	\$39,634,685
Organizations	341	\$34,982,233	326	\$43,075,843	582	\$70,703,795
Total	54,509	\$170,782,748	58,892	\$190,582,490	111,145	\$313,101,782

DEVELOPMENT ACTIVITY PYRAMID



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



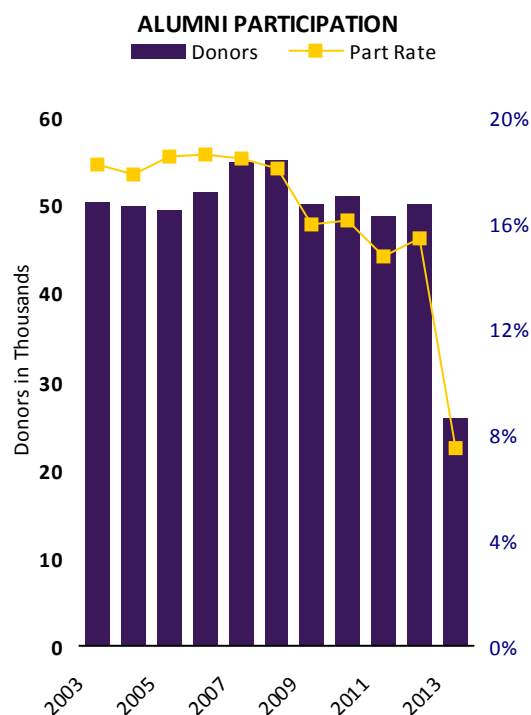
ANNUAL PROGRESS BY GIVING LEVEL

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +					\$26,136,693	\$13,591,876	\$39,728,569
\$5M - \$9,999,999						\$6,078,271	\$6,078,271
\$1M - \$4,999,999	\$4,789,260	\$7,973,966	\$7,425,000	\$5,069,086	\$12,970,223	\$3,063,529	\$41,291,064
\$100,000 - \$999,999	\$7,860,106	\$4,938,061	\$2,901,705	\$10,468,670	\$13,630,178	\$9,284,278	\$49,082,997
\$50,000 - \$99,999	\$1,537,055	\$1,751,500	\$825,572	\$2,617,966	\$1,361,724	\$1,517,255	\$9,611,073
\$25,000 - \$49,999	\$1,732,991	\$1,099,191	\$496,982	\$1,811,909	\$786,981	\$612,658	\$6,540,712
\$10,000 - \$24,999	\$1,774,089	\$1,497,614	\$341,230	\$1,374,728	\$493,049	\$495,972	\$5,976,682
\$5,000 - \$9,999	\$1,236,499	\$822,948	\$93,098	\$697,653	\$106,664	\$181,223	\$3,138,085
\$2,000 - \$4,999	\$1,794,995	\$988,558	\$16,250	\$438,097	\$104,332	\$91,627	\$3,433,859
\$1,000 - \$1,999	\$1,220,451	\$879,761	\$11,575	\$195,486	\$33,434	\$32,710	\$2,373,417
\$500 - \$999	\$668,339	\$428,756	\$4,251	\$88,029	\$8,220	\$19,211	\$1,216,806
\$250 - \$499	\$395,770	\$237,705	\$500	\$33,364	\$3,603	\$5,783	\$676,725
\$100 - \$249	\$651,525	\$343,261		\$30,299	\$2,259	\$6,239	\$1,033,582
\$1 - \$99	\$403,535	\$189,367		\$6,009	\$395	\$1,601	\$600,907
Total	\$24,064,614	\$21,150,687	\$12,116,164	\$22,831,295	\$55,637,755	\$34,982,233	\$170,782,748

Giving Level	Alumni	Non Alumni	Family Fndns.	Corporations	Foundations	Other Orgs.	Total
\$10M +					1	1	2
\$5M - \$9,999,999						1	1
\$1M - \$4,999,999	7	8	2	3	6	2	28
\$100,000 - \$999,999	47	58	9	52	45	32	243
\$50,000 - \$99,999	53	70	14	43	21	25	226
\$25,000 - \$49,999	110	105	15	56	23	20	329
\$10,000 - \$24,999	266	270	21	102	35	32	726
\$5,000 - \$9,999	384	332	18	120	16	31	901
\$2,000 - \$4,999	1,133	929	10	167	32	36	2,307
\$1,000 - \$1,999	1,561	1,553	11	170	27	31	3,353
\$500 - \$999	1,653	1,567	8	167	13	32	3,440
\$250 - \$499	1,833	2,044	2	114	11	18	4,022
\$100 - \$249	6,627	6,674		233	17	46	13,597
\$1 - \$99	12,036	13,119		136	9	34	25,334
Total	25,710	26,729	110	1,363	256	341	54,509

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	20,206	2,079	10.29%	1,476	7.30%
Arts and Sciences	158,093	10,558	6.68%	3,502	2.22%
Business School	40,686	3,610	8.87%	1,357	3.34%
Built Environments	8,782	763	8.69%	420	4.78%
Dentistry	4,729	740	15.65%	555	11.74%
Education	18,344	1,567	8.54%	180	0.98%
Engineering	34,946	2,783	7.96%	1,736	4.97%
Environment	12,029	822	6.83%	333	2.77%
Evans School of Public Affairs	3,068	337	10.98%	138	4.50%
Interdisc. Grad. Programs	2,457	191	7.77%		
Interschool Programs	2,564	266	10.37%		
Information School	5,322	574	10.79%	287	5.39%
Law	8,572	972	11.34%	676	7.89%
School of Nursing	9,128	1,045	11.45%	677	7.42%
Pharmacy	3,851	442	11.48%	331	8.60%
Public Health	5,138	411	8.00%	97	1.89%
Social Work	6,969	513	7.36%	271	3.89%
UW Bothell	9,945	419	4.21%	118	1.19%
UW Tacoma	11,337	419	3.70%	180	1.59%
Unspecified	8,909	666	7.48%		
ALL UW TOTAL	345,483	25,710	7.44%		



ALUMNI PARTICIPATION BY CONSTITUENCY (PREVIOUS FISCAL YEAR)

Area	Solicitable	To UW				To Unit			
		Year to Date		FY Total		Year to Date		FY Total	
		Donors ¹	Part Rate	Donors	Part Rate	Donors	Part Rate	Donors	PFY Final
UW Medicine	19,296	2,197	11.39%	3,580	18.55%	1,493	7.74%	2,285	11.84%
Arts and Sciences	148,325	11,444	7.72%	20,873	14.07%	3,676	2.48%	5,289	3.57%
Business School	38,811	4,042	10.41%	7,631	19.66%	1,580	4.07%	2,436	6.28%
Built Environments	8,372	708	8.46%	1,343	16.04%	293	3.50%	483	5.77%
Dentistry	4,598	702	15.27%	1,091	23.73%	452	9.83%	598	13.01%
Education	17,578	1,612	9.17%	3,173	18.05%	178	1.01%	493	2.80%
Engineering	33,380	2,959	8.86%	4,957	14.85%	1,656	4.96%	2,240	6.71%
Environment	11,457	841	7.34%	1,717	14.99%	335	2.92%	700	6.11%
Evans School of Public Affairs	2,773	311	11.22%	655	23.62%	101	3.64%	214	7.72%
Interdisc. Grad. Programs	2,239	189	8.44%	328	14.65%				
Interdisc. Undergrad. Programs									
Interschool Programs	2,406	287	11.93%	497	20.66%				
Information School	4,882	678	13.89%	1,075	22.02%	393	8.05%	523	10.71%
Law	8,074	947	11.73%	1,766	21.87%	549	6.80%	916	11.35%
School of Nursing	8,737	1,082	12.38%	1,715	19.63%	597	6.83%	855	9.79%
Pharmacy	3,705	500	13.50%	958	25.86%	367	9.91%	692	18.68%
Public Health	4,728	382	8.08%	787	16.65%	89	1.88%	233	4.93%
Social Work	6,543	535	8.18%	999	15.27%	244	3.73%	445	6.80%
UW Bothell	8,323	407	4.89%	999	12.00%	61	0.73%	228	2.74%
UW Tacoma	9,481	359	3.79%	971	10.24%	88	0.93%	288	3.04%
Unspecified	9,066	725	8.00%	1,442	15.91%				
ALL UW TOTAL	324,647	27,194	8.38%	50,041	15.41%				

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



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



UWAA Member Giving by Constituency

School	Solicitable Alumni	Member		Alumni Giving	
		Members ¹	Donors	Members	Non Members
UW Medicine	20,206	1,886	632	33.51%	6.99%
Arts and Sciences	158,093	19,363	3,873	20.00%	3.23%
Business School	40,686	7,318	1,723	23.54%	3.73%
Built Environments	8,782	1,140	266	23.33%	4.85%
Dentistry	4,729	1,035	381	36.81%	7.53%
Education	18,344	2,844	642	22.57%	3.94%
Engineering	34,946	4,551	1,043	22.92%	4.43%
Environment	12,029	1,436	256	17.83%	3.86%
Evans School of Public Affairs	3,068	356	83	23.31%	7.12%
Interdisc. Grad. Programs	2,457	211	53	25.12%	4.72%
Interdisc. Undergrad. Progra					
Interscholar Programs	2,564	562	128	22.78%	4.85%
Information School	5,322	789	184	23.32%	6.88%
Law	8,572	1,092	344	31.50%	7.29%
School of Nursing	9,128	1,325	381	28.75%	6.91%
Pharmacy	3,851	643	208	32.35%	6.05%
Public Health	5,138	425	110	25.88%	5.16%
Social Work	6,969	604	142	23.51%	4.54%
UW Bothell	9,945	894	112	12.53%	1.73%
UW Tacoma	11,337	841	104	12.37%	1.51%
Unspecified	8,909	1,806	325	18.00%	2.76%
Non-Alumni		8,673	3,291	37.95%	
Total	345,483	54,302	12,850	23.66%	

Alumni Activity

11 in 25 registrants at 2012 UW events were UWAA members
1 in 20 registrants at 2012 UW events were UW donors
9 in 10 registrants at 2012 UW events were Solicitable Alumni
1 in 50 UWAA members attended a 2012 UW event
2 in 5 2011-2012 Football/Basketball season ticket holders were UWAA members
1 in 6 UWAA members were 2011-2012 Football/Basketball season ticket holders

Top 10 Membership by Class Year

Class Year	Part. Rate	Class Year	Population
1955	22.99%	2012	1,675
1953	21.72%	1971	1,115
1954	21.66%	1973	1,099
1946	20.88%	1974	1,061
1959	20.80%	1972	1,050
1956	20.58%	1970	1,048
1957	20.27%	1976	1,031
1960	20.16%	1975	1,000
1958	20.10%	1977	963
1944	19.83%	1968	918

Activity Participation - Rolling 3 Year Total ³

School ²	Participants	Part. Donors	% Donors	Alum Non-Part.	Alum Non-Par Donor	% Non-Part Donor
Intercollegiate Athletics	1,794	1,763	98.27%			
UW Medicine	4,090	2,917	71.32%	21,441	3,123	14.57%
Arts and Sciences	15,705	3,179	20.24%	145,141	7,316	5.04%
Built Environments	1,742	689	39.55%	7,654	634	8.28%
Business School	6,417	1,804	28.11%	35,771	3,180	8.89%
Dentistry	1,709	708	41.43%	3,239	468	14.45%
Education	1,636	214	13.08%	17,201	734	4.27%
Engineering	3,080	918	29.81%	32,786	3,054	9.31%
Environment	1,291	566	43.84%	11,395	947	8.31%
Evans School of Public Affairs	927	381	41.10%	2,407	290	12.05%
Graduate School	367	145	39.51%	2,335	7	0.30%
Information School	566	213	37.63%	4,981	755	15.16%
Law	1,904	788	41.39%	7,043	1,119	15.89%
Libraries	669	654	97.76%			
Nursing	922	334	36.23%	8,567	1,269	14.81%
Pharmacy	350	225	64.29%	3,747	906	24.18%
Public Health	592	189	31.93%	4,381	350	7.99%
Social Work	752	330	43.88%	6,541	609	9.31%
UW Bothell	808	225	27.85%	9,582	695	7.25%
UW Tacoma	771	288	37.35%	10,992	862	7.84%

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

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

³ 3-Years consists of any activity since 7/1/2009

Source: University of Washington Alumni Association



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Grant and Contract Awards Summary – November and December 2012

RECOMMENDED ACTION

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

Attachments

Grant and Contract Awards Summary for November 2012

Grant and Contract Awards Summary for December 2012

Grant and Contract Awards Summary

to

The Board of Regents

of the

University of Washington

for

November 2012

Office of Research

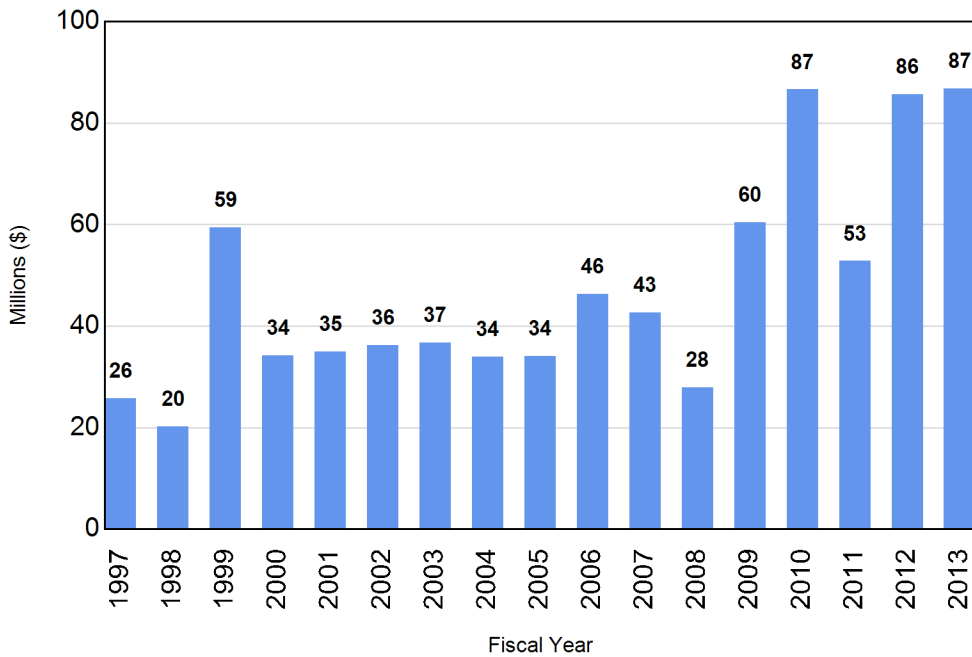
Office of Sponsored Programs

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.

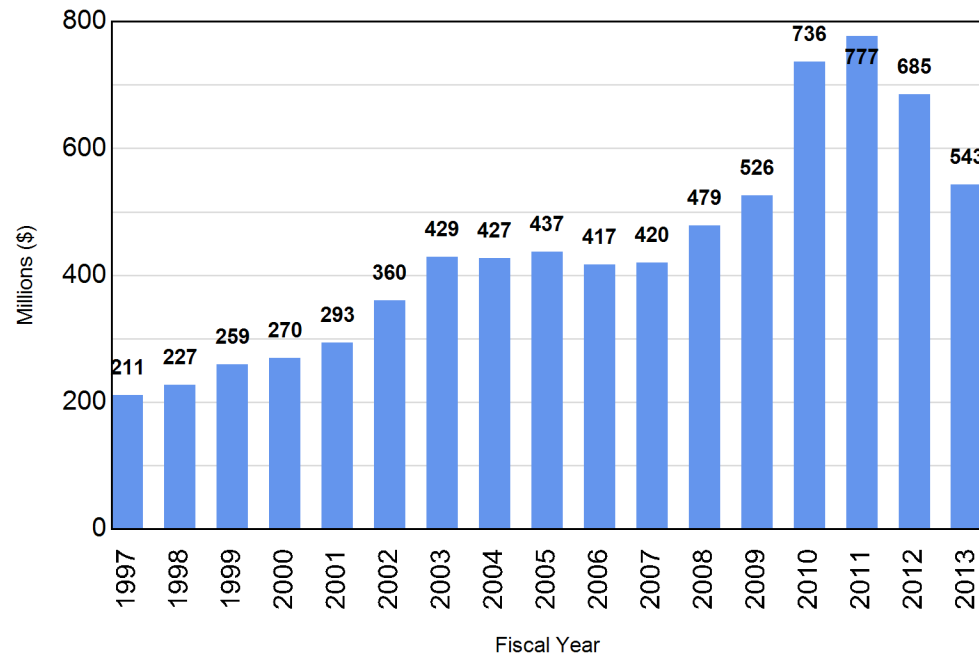
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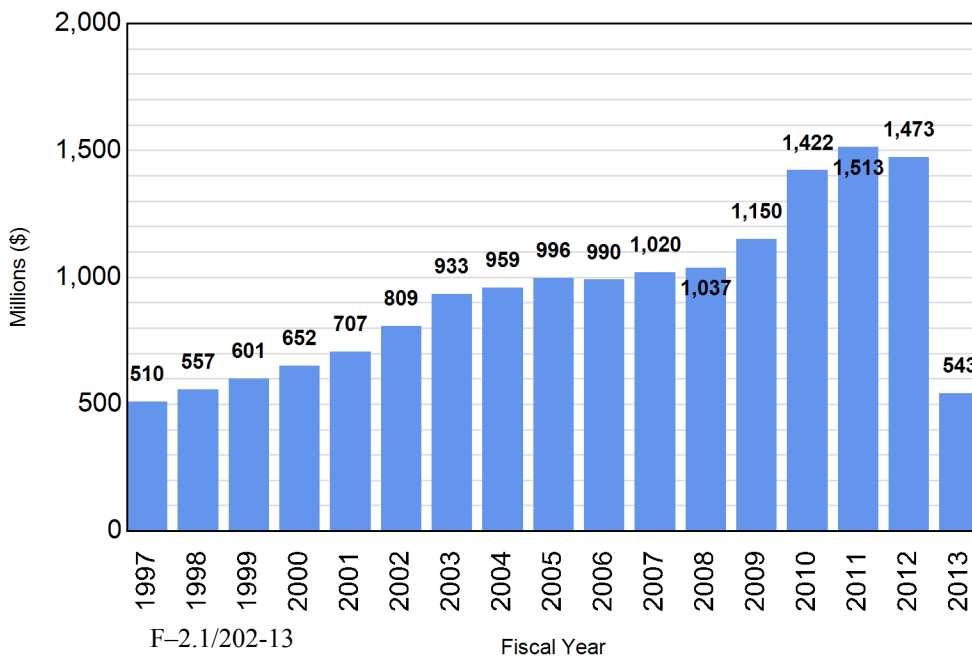
November Only
Comparison of Grant & Contract Awards



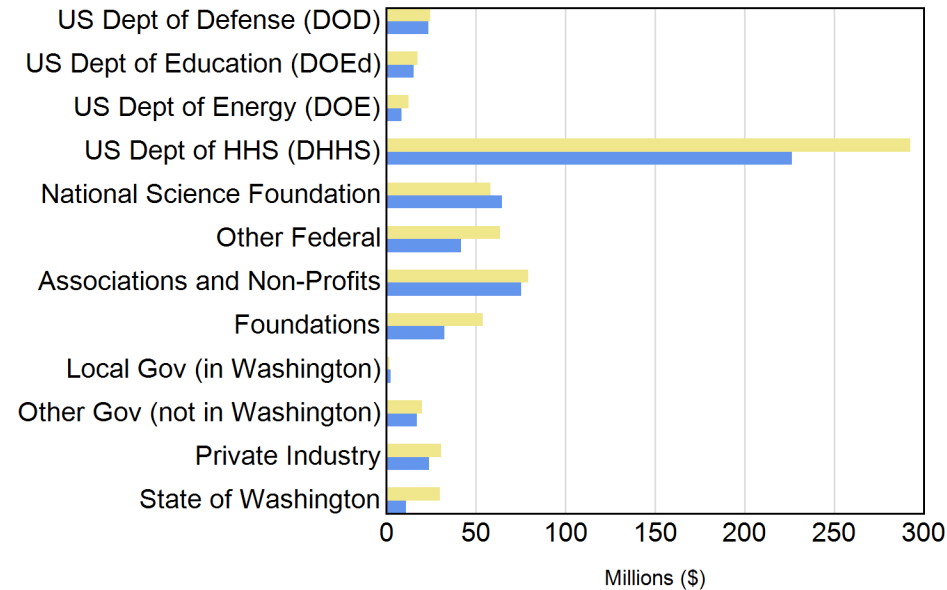
Fiscal Year to Date
Comparison of Grant & Contract Awards



Complete Fiscal Year
Comparison of Grant & Contract Awards



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



Summary of Grant and Contract AwardsFiscal Year 2012-2013

Month	RESEARCH AND OTHER		TRAINING		Total Grants and Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 63,287,280	\$ 18,323,480	\$ 6,096,881	\$ 1,019,024	\$ 88,726,660
August	\$ 95,530,390	\$ 28,675,690	\$ 6,407,729	\$ 722,138	\$ 131,335,900
September	\$ 101,729,700	\$ 31,174,910	\$ 5,665,848	\$ 162,660	\$ 138,733,100
October	\$ 58,115,110	\$ 26,434,240	\$ 9,919,787	\$ 2,959,865	\$ 97,429,000
November	\$ 32,373,850	\$ 46,622,030	\$ 1,362,555	\$ 6,452,774	\$ 86,811,210
FY13 to Date	\$351,036,329	\$151,230,347	\$29,452,800	\$11,316,461	\$543,035,937
FY12 to Date	\$436,869,160	\$204,753,818	\$32,351,856	\$10,750,389	\$684,725,223
Over (Under) Previous Year	(\$85,832,830)	(\$53,523,471)	(\$2,899,056)	\$566,071	(\$141,689,286)

Comparison of Grant and Contract Awards by Agency

Fiscal Years 2011-2012 and 2012-2013

Agency	Jul-Nov FY12	Jul-Nov FY13
US Department of Defense (DOD)	\$ 24,775,698	\$ 23,697,911
US Department of Education (DOEd)	\$ 17,323,567	\$ 15,224,206
US Department of Energy (DOE)	\$ 12,593,100	\$ 8,559,838
US Department of Health and Human Services (DHHS)	\$ 292,496,376	\$ 226,587,926
National Science Foundation (NSF)	\$ 58,307,965	\$ 64,699,466
Other Federal	\$ 63,724,310	\$ 41,719,782
Subtotal for Federal :	\$ 469,221,016	\$ 380,489,129
Associations and Non-Profits	\$ 79,363,774	\$ 75,321,016
Foundations	\$ 53,771,151	\$ 32,532,765
Local Government (in Washington)	\$ 1,666,936	\$ 2,446,994
Other Government (not in Washington)	\$ 20,127,753	\$ 17,287,696
Private Industry	\$ 30,610,851	\$ 23,780,052
State of Washington	\$ 29,963,742	\$ 11,178,284
Subtotal for Non-Federal :	\$ 215,504,208	\$ 162,546,808
Grand Total :	\$ 684,725,223	\$ 543,035,937
Amount of Increase (Decrease) :		(\$ 141,689,286)
Percent of Increase (Decrease) :		(20.7 %)

Comparison of Grant and Contract Awards by School/College

Fiscal Years 2011-2012 and 2012-2013

School/College	Jul-Nov FY12	Jul-Nov FY13
Upper Campus		
Architecture and Urban Planning	\$ 450,348	\$ 441,728
Arts and Sciences	\$ 41,580,290	\$ 39,961,554
College of the Environment	\$ 89,342,092	\$ 67,043,688
Computing & Communications		\$ 300,000
Director of Libraries	\$ 5,336,571	\$ 87,506
Education	\$ 10,287,419	\$ 16,822,800
Educational Outreach	\$ 50,000	\$ 50,000
Engineering	\$ 52,569,560	\$ 43,092,771
Evans School of Public Affairs	\$ 1,201,725	\$ 4,448,684
Executive Vice President	\$ 19,981	\$ 10,000
Foster School of Business	\$ 275,043	\$ 474,368
Graduate School	\$ 2,863,310	\$ 3,615,882
Information School	\$ 3,291,236	\$ 4,879,211
Law	\$ 3,098,136	\$ 212,046
Office of Research	\$ 22,454,611	\$ 26,214,938
Provost	\$ 29,468	
Social Work	\$ 11,144,457	\$ 11,560,113
Undergraduate Education	\$ 251,836	\$ 44,697
VP Minority Affairs	\$ 8,728,012	\$ 6,308,542
VP Student Life	\$ 46,000	\$ 23,498
Subtotal :	\$ 253,020,095	\$ 225,592,027
Health Sciences		
Dentistry	\$ 1,744,903	\$ 2,219,658
Medicine	\$ 318,781,038	\$ 246,961,433
Nursing	\$ 7,031,220	\$ 3,655,955
Pharmacy	\$ 14,319,359	\$ 9,259,567
Public Health	\$ 60,013,975	\$ 38,992,864
Subtotal :	\$ 401,890,495	\$ 301,089,477
Special Programs		
Alcohol and Drug Abuse Institute	\$ 2,162,811	\$ 1,785,384
CHDD Administration	\$ 5,951,078	\$ 3,507,831
Regional Primate Center	\$ 18,173,773	\$ 5,991,725
Subtotal :	\$ 26,287,662	\$ 11,284,940
Other UW Campuses		
Bothell	\$ 2,803,489	\$ 2,757,582
Tacoma	\$ 723,483	\$ 2,311,912
Subtotal :	\$ 3,526,972	\$ 5,069,494

School/College	Jul-Nov FY12	Jul-Nov FY13
Grand Total :	\$ 684,725,223	\$ 543,035,937

Summary of Grant Awards**Fiscal Year 2012-2013***Excluding private awards from Foundations, Industry, Associations and Others*

Month	RESEARCH AND OTHER		TRAINING		Total Grants
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 62,351,620	\$ 2,403,687	\$ 6,096,881	\$ 0	\$ 70,852,180
August	\$ 91,723,700	\$ 3,193,595	\$ 6,378,898	\$ 137,830	\$ 101,434,000
September	\$ 92,127,540	\$ 3,356,014	\$ 5,475,443	\$ 76,694	\$ 101,035,700
October	\$ 54,158,460	\$ 5,521,083	\$ 9,919,787	\$ 1,588,030	\$ 71,187,370
November	\$ 24,632,230	\$ 2,542,720	\$ 1,362,555	\$ 5,783,143	\$ 34,320,650
Year to Date	\$ 324,993,600	\$ 17,017,100	\$ 29,233,560	\$ 7,585,697	\$ 378,829,900

Summary of Grant Awards**Fiscal Year 2012-2013***Private awards from Foundations, Industry, Associations and Others*

Month	RESEARCH AND OTHER	TRAINING	Total Grants
July	\$ 8,614,872	\$ 360,854	\$ 8,975,726
August	\$ 21,059,060	\$ 87,229	\$ 21,146,290
September	\$ 23,906,580	\$ 80,966	\$ 23,987,550
October	\$ 13,794,640	\$ 1,330,680	\$ 15,125,320
November	\$ 35,256,650	\$ 604,631	\$ 35,861,280
Year to Date	\$ 102,631,800	\$ 2,464,360	\$ 105,096,200

Summary of Contract Awards**Fiscal Year 2012-2013**

Month	RESEARCH AND OTHER		TRAINING		Total Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 935,659	\$ 7,304,925	\$ 0	\$ 658,170	\$ 8,898,754
August	\$ 3,806,685	\$ 4,423,034	\$ 28,831	\$ 497,079	\$ 8,755,629
September	\$ 9,602,160	\$ 3,912,312	\$ 190,405	\$ 5,000	\$ 13,709,880
October	\$ 3,956,642	\$ 7,118,512	\$ 0	\$ 41,155	\$ 11,116,310
November	\$ 7,741,621	\$ 8,822,660	\$ 0	\$ 65,000	\$ 16,629,280
Year to Date	\$ 26,042,770	\$ 31,581,440	\$ 219,236	\$ 1,266,404	\$ 59,109,850

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

November 2012

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

**Office of Research
Office of Sponsored Programs**

Detail of Public Grant Awards

Federal

US Department of Defense (DOD)

US Department of Defense (DOD)

To: Jeanne Hoffman, Assoc Professor \$ 3,085,185
 Rehabilitation Medicin

For: Telephone-Delivered Cognitive Behavioral Therapy for Chronic Pain
 following Traumatic Brain Injury (CDMRP Neurotrauma)

Eff: 9/30/2012 Classified: No

Total for US Department of Defense (DOD): \$ 3,085,185

Total for US Department of Defense (DOD): \$ 3,085,185

US Department of Health and Human Services (DHHS)

Health Resources and Services Administration (HRSA)

To: King Holmes, Professor \$ 1,703,631
 Global Health

For: Building Sustainable Human and Institutional Capacity for HIV Care

Eff: 4/1/2012 Classified: No

Total for Health Resources and Services Administration (HRSA): \$ 1,703,631

National Institutes of Health (NIH)

National Institute of Child Health and Human Development (NICHD)

To: William Bremner, Chair \$ 1,735,404
 Department Of Medicine

For: Male Contraception Research Center

Eff: 9/17/2012 Classified: No

*Total for National Institute of Child Health and Human Development
 (NICHD): \$ 1,735,404*

Total for National Institutes of Health (NIH): \$ 1,735,404

Total for US Department of Health and Human Services (DHHS): \$ 3,439,035

Total for Federal: \$ 6,524,220

Total Public Grants: \$ 6,524,220

Detail of Private Grant Awards

Associations and Non-Profits

Fred Hutchinson Cancer Research Center (FHCRC)

To:	Shiu-lok Hu, Professor Pharmaceutics	\$ 1,015,606
For:	Targeted modification of host and proviral DNA to treat latent HIV infection	
Eff:	7/1/2012	Classified: No

Total for Fred Hutchinson Cancer Research Center (FHCRC): **\$ 1,015,606**

Morehouse University

To:	Deborah Nickerson, Professor Genome Sciences	\$ 2,624,764
For:	Minority Health-GRID Network: A Genomics Resource for Health Disparity Research	
Eff:	9/30/2010	Classified: No

Total for Morehouse University: **\$ 2,624,764**

Seattle Children's Hospital Research Institute

To:	F. Bruder Stapleton, Chair Pediatrics	\$ 1,078,168
For:	CHMC PEDIATRIC SALARY	
Eff:	7/1/2010	Classified: No

Total for Seattle Children's Hospital Research Institute: **\$ 1,078,168**

Total for Associations and Non-Profits: **\$ 4,718,538**

Foundations

Bill and Melinda Gates Foundation

To:	Christopher J Murray, Professor Global Health	\$ 8,000,000
For:	Health Metrics Institute Proposal	
Eff:	5/1/2007	Classified: No

To:	Jared Baeten, Assoc Professor Global Health	\$ 2,999,617
For:	PrEP Demonstration Project	
Eff:	11/9/2012	Classified: No

To:	Michael D. Crandall, Senior Lecturer-full Time The Information School	\$ 1,127,589
For:	Impact Survey Implementation	
Eff:	11/5/2012	Classified: No

Total for Bill and Melinda Gates Foundation: **\$ 12,127,206**

Total for Foundations: **\$ 12,127,206**

Total Private Grants: **\$ 16,845,744**

Detail of Contract Awards

Federal

US Department of Defense (DOD)

Defense Threat Reduction Agency (DTRA)

To: Robert T Miyamoto, Associate Director \$ 1,951,760
 Applied Physics Lab
 For: Systems Re-engineering of Medical CM & R&D
 Eff: 8/30/2012 Classified: No

Total for Defense Threat Reduction Agency (DTRA): \$ 1,951,760

Total for US Department of Defense (DOD): \$ 1,951,760

US Department of Health and Human Services (DHHS)

National Institutes of Health (NIH)

National Institute of Allergy and Infectious Diseases (NIAID)

To: Michael Gerald Katze, Professor \$ 3,445,812
 Microbiology
 For: A Systems Biology Approach to Emerging Respiratory Viral
 Diseases
 Eff: 12/1/2012 Classified: No

*Total for National Institute of Allergy and Infectious Diseases
 (NIAID): \$ 3,445,812*

Total for National Institutes of Health (NIH): \$ 3,445,812

Total for US Department of Health and Human Services (DHHS): \$ 3,445,812

Total for Federal: \$ 5,397,572

Associations and Non-Profits

Consortium for Ocean Leadership, Inc.

To: John R. Delaney, Professor \$ 2,317,715
 School Of Oceanography
 For: Ocean Observatories Initiative: Regional Scale Nodes
 Eff: 9/1/2009 Classified: No

Total for Consortium for Ocean Leadership, Inc.: \$ 2,317,715

Total for Associations and Non-Profits: \$ 2,317,715

Foundations

Genentech Foundation for Growth and Development

To: Anna Wald, Professor \$ 1,648,460
 Department Of Medicine
 For: A Study to Compare Diagnostic Tests for Diagnosis of Primary CMV
 Infection in Healthy Adult Women
 Eff: 10/2/2012 Classified: No

Total for Genentech Foundation for Growth and Development: \$ 1,648,460

Total for Foundations: \$ 1,648,460

Detail of Contract Awards

State of Washington

Washington State Department of Social and Health Services (DSHS)

To: Edwina Uehara, Dean \$ 5,568,307
School Of Social Work

For: CWTAP Program FY12-13

Eff: 7/1/2012 Classified: No

Total for Washington State Department of Social and Health Services (DSHS): \$ 5,568,307

Total for State of Washington: \$ 5,568,307

Total Contracts: \$ 14,932,054

Grand Total for all Awards \$ 38,302,018

Grant and Contract Awards Summary

to

The Board of Regents

of the

University of Washington

for

December 2012

Office of Research

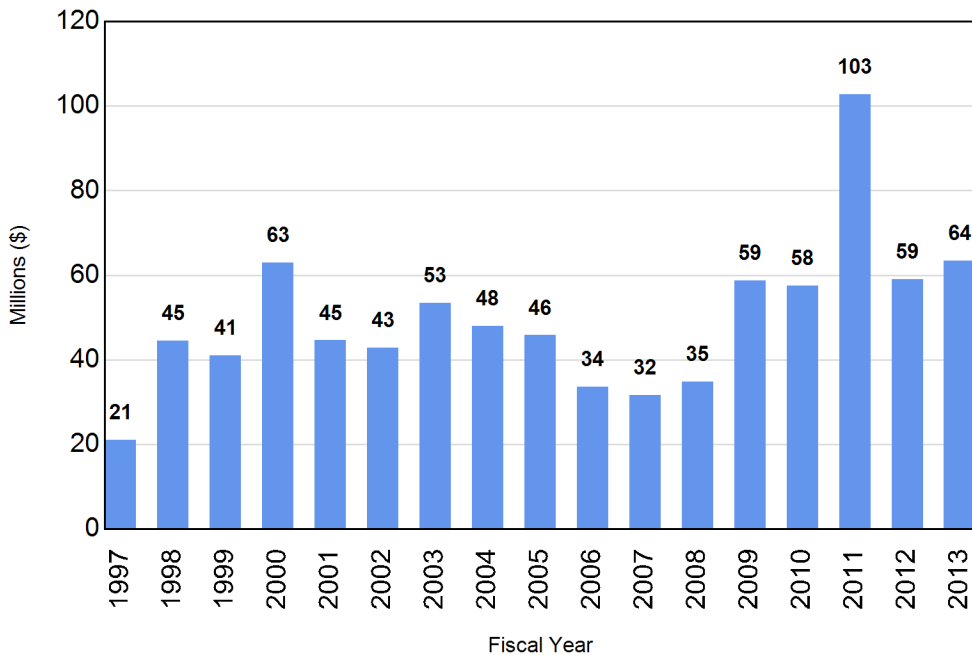
Office of Sponsored Programs

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.

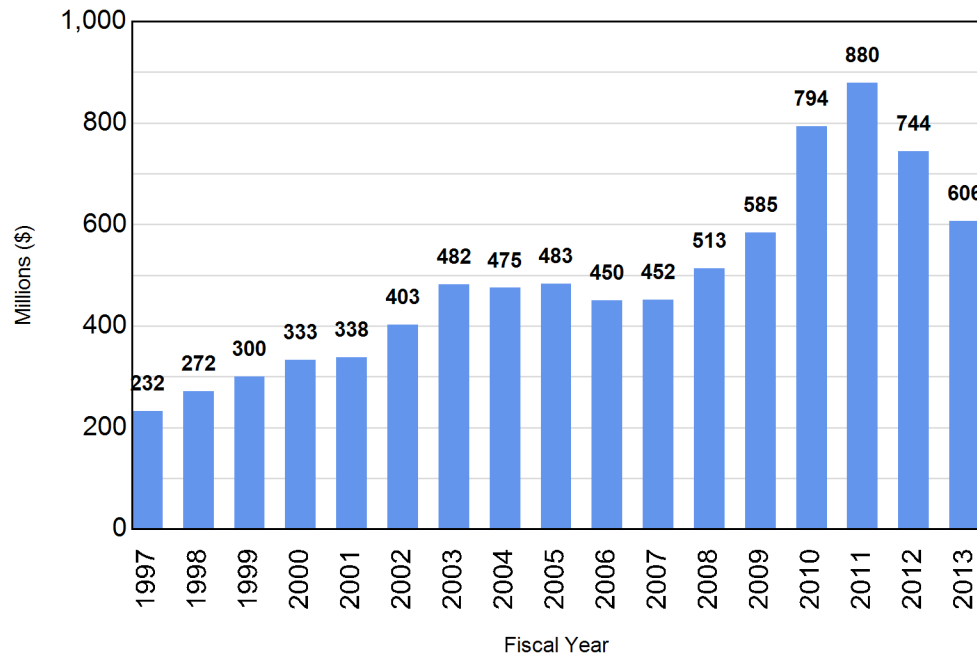
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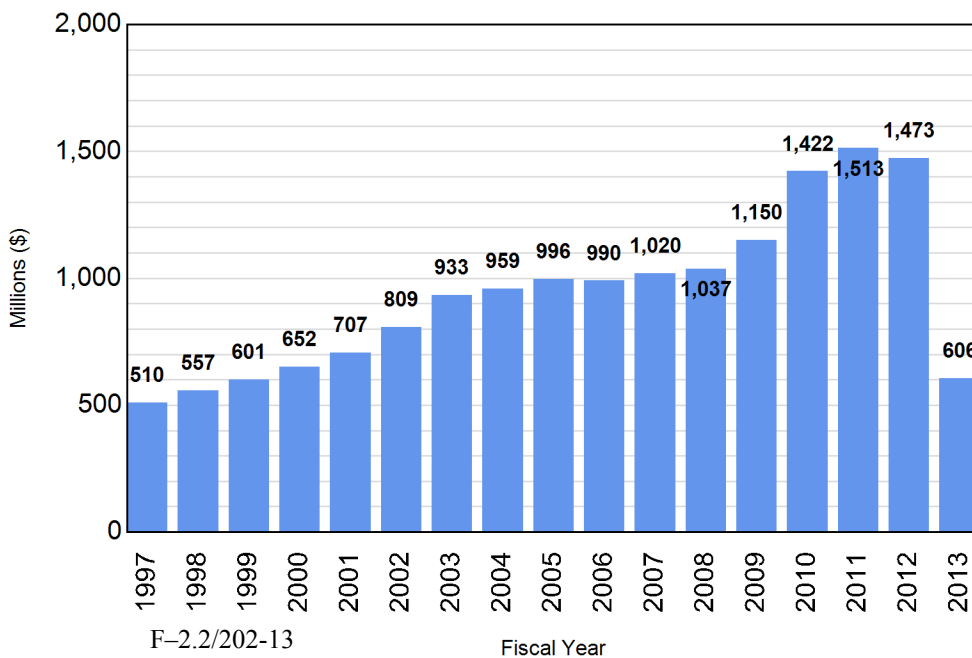
December Only
Comparison of Grant & Contract Awards



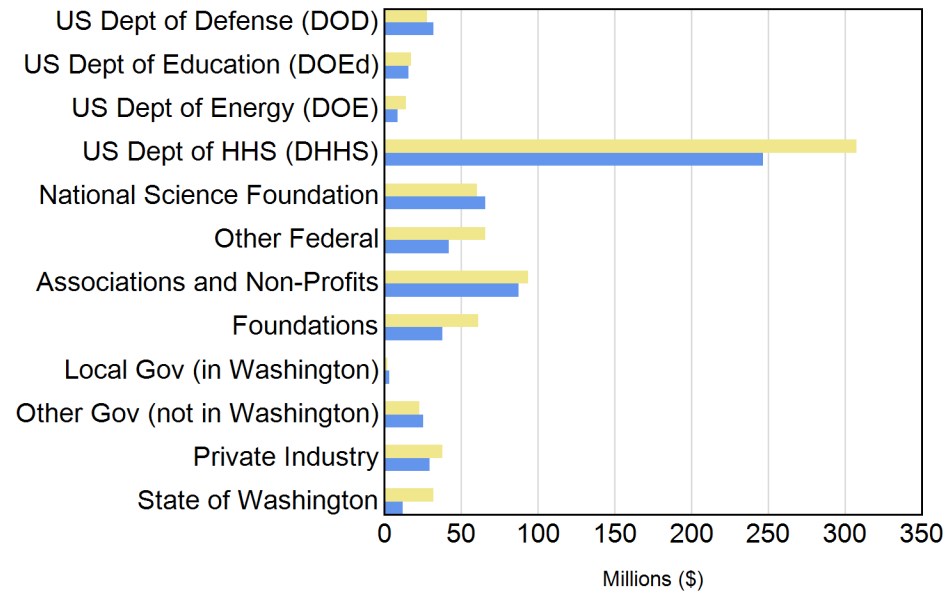
Fiscal Year to Date
Comparison of Grant & Contract Awards



Complete Fiscal Year
Comparison of Grant & Contract Awards



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



Summary of Grant and Contract AwardsFiscal Year 2012-2013

Month	RESEARCH AND OTHER		TRAINING		Total Grants and Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 63,287,280	\$ 18,323,480	\$ 6,096,881	\$ 1,019,024	\$ 88,726,660
August	\$ 95,530,390	\$ 28,646,810	\$ 6,407,729	\$ 722,138	\$ 131,307,100
September	\$ 101,729,700	\$ 31,174,910	\$ 5,665,848	\$ 162,660	\$ 138,733,100
October	\$ 58,093,380	\$ 26,434,240	\$ 9,919,787	\$ 2,959,865	\$ 97,407,270
November	\$ 32,093,950	\$ 46,816,510	\$ 1,362,555	\$ 6,452,774	\$ 86,725,780
December	\$ 30,726,470	\$ 31,174,950	\$ 482,764	\$ 1,130,673	\$ 63,514,860
FY13 to Date	\$381,461,173	\$182,570,898	\$29,935,564	\$12,447,134	\$606,414,768
FY12 to Date	\$460,882,346	\$238,307,118	\$32,744,091	\$11,914,767	\$743,848,322
Over (Under) Previous Year	(\$79,421,173)	(\$55,736,220)	(\$2,808,527)	\$532,366	(\$137,433,554)

Comparison of Grant and Contract Awards by Agency

Fiscal Years 2011-2012 and 2012-2013

Agency	Jul-Dec FY12	Jul-Dec FY13
US Department of Defense (DOD)	\$ 27,969,610	\$ 32,257,746
US Department of Education (DOEd)	\$ 17,578,060	\$ 15,841,699
US Department of Energy (DOE)	\$ 14,100,357	\$ 8,843,081
US Department of Health and Human Services (DHHS)	\$ 307,548,944	\$ 246,679,353
National Science Foundation (NSF)	\$ 60,481,280	\$ 65,708,520
Other Federal	\$ 65,948,186	\$ 42,066,338
Subtotal for Federal :	\$ 493,626,437	\$ 411,396,737
Associations and Non-Profits	\$ 93,796,222	\$ 87,394,930
Foundations	\$ 61,400,408	\$ 37,700,211
Local Government (in Washington)	\$ 2,145,998	\$ 3,160,081
Other Government (not in Washington)	\$ 22,829,207	\$ 25,302,997
Private Industry	\$ 37,929,058	\$ 29,588,164
State of Washington	\$ 32,120,992	\$ 11,871,648
Subtotal for Non-Federal :	\$ 250,221,885	\$ 195,018,032
Grand Total :	\$ 743,848,322	\$ 606,414,768
Amount of Increase (Decrease) :		(\$ 137,433,554)
Percent of Increase (Decrease) :		(18.5 %)

Comparison of Grant and Contract Awards by School/College

Fiscal Years 2011-2012 and 2012-2013

School/College	Jul-Dec FY12	Jul-Dec FY13
Upper Campus		
Architecture and Urban Planning	\$ 462,764	\$ 599,910
Arts and Sciences	\$ 46,489,386	\$ 45,014,582
College of the Environment	\$ 93,859,909	\$ 68,012,283
Computing & Communications		\$ 300,000
Director of Libraries	\$ 5,336,571	\$ 87,506
Education	\$ 12,122,944	\$ 18,377,161
Educational Outreach	\$ 50,000	\$ 50,000
Engineering	\$ 57,638,511	\$ 48,281,992
Evans School of Public Affairs	\$ 1,201,725	\$ 4,448,684
Executive Vice President	\$ 19,981	\$ 10,000
Foster School of Business	\$ 282,543	\$ 494,368
Graduate School	\$ 3,130,591	\$ 3,699,657
Information School	\$ 3,291,236	\$ 4,987,164
Law	\$ 3,422,803	\$ 212,046
Office of Research	\$ 24,073,711	\$ 32,902,281
Provost	\$ 29,468	
Social Work	\$ 11,389,457	\$ 12,687,200
Undergraduate Education	\$ 934,534	\$ 240,663
VP Minority Affairs	\$ 9,028,976	\$ 6,418,342
VP Student Life	\$ 46,000	\$ 23,498
Subtotal :	\$ 272,811,110	\$ 246,847,337
Health Sciences		
Dentistry	\$ 1,972,715	\$ 2,708,611
Medicine	\$ 354,443,742	\$ 281,084,342
Nursing	\$ 7,622,913	\$ 3,773,561
Pharmacy	\$ 15,662,147	\$ 10,767,392
Public Health	\$ 60,899,041	\$ 43,928,941
Subtotal :	\$ 440,600,558	\$ 342,262,847
Special Programs		
Alcohol and Drug Abuse Institute	\$ 2,228,613	\$ 1,785,384
CHDD Administration	\$ 5,951,078	\$ 3,643,149
Regional Primate Center	\$ 18,217,518	\$ 5,991,725
Subtotal :	\$ 26,397,209	\$ 11,420,258
Other UW Campuses		
Bothell	\$ 2,944,489	\$ 3,559,513
Tacoma	\$ 1,094,956	\$ 2,324,814
Subtotal :	\$ 4,039,445	\$ 5,884,327

School/College	Jul-Dec FY12	Jul-Dec FY13
Grand Total :	\$ 743,848,322	\$ 606,414,768

Summary of Grant Awards**Fiscal Year 2012-2013***Excluding private awards from Foundations, Industry, Associations and Others*

Month	RESEARCH AND OTHER		TRAINING		Total Grants
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 62,351,620	\$ 2,403,687	\$ 6,096,881	\$ 0	\$ 70,852,180
August	\$ 91,723,700	\$ 3,193,595	\$ 6,378,898	\$ 137,830	\$ 101,434,000
September	\$ 92,127,540	\$ 3,356,014	\$ 5,475,443	\$ 76,694	\$ 101,035,700
October	\$ 54,136,740	\$ 5,521,083	\$ 9,919,787	\$ 1,588,030	\$ 71,165,640
November	\$ 24,632,230	\$ 2,542,720	\$ 1,362,555	\$ 5,783,143	\$ 34,320,650
December	\$ 23,716,690	\$ 7,567,248	\$ 482,764	\$ 0	\$ 31,766,710
Year to Date	\$ 348,688,500	\$ 24,584,350	\$ 29,716,330	\$ 7,585,697	\$ 410,574,900

Summary of Grant Awards**Fiscal Year 2012-2013***Private awards from Foundations, Industry, Associations and Others*

Month	RESEARCH AND OTHER	TRAINING	Total Grants
July	\$ 8,614,872	\$ 360,854	\$ 8,975,726
August	\$ 21,030,180	\$ 87,229	\$ 21,117,410
September	\$ 23,906,580	\$ 80,966	\$ 23,987,550
October	\$ 13,794,640	\$ 1,330,680	\$ 15,125,320
November	\$ 35,451,130	\$ 604,631	\$ 36,055,760
December	\$ 17,214,480	\$ 1,050,346	\$ 18,264,830
Year to Date	\$ 120,011,900	\$ 3,514,706	\$ 123,526,600

Summary of Contract Awards

Fiscal Year 2012-2013

Month	RESEARCH AND OTHER		TRAINING		Total Contracts
	Federal	Non-Federal	Federal	Non-Federal	
July	\$ 935,659	\$ 7,304,925	\$ 0	\$ 658,170	\$ 8,898,754
August	\$ 3,806,685	\$ 4,423,034	\$ 28,831	\$ 497,079	\$ 8,755,629
September	\$ 9,602,160	\$ 3,912,312	\$ 190,405	\$ 5,000	\$ 13,709,880
October	\$ 3,956,642	\$ 7,118,512	\$ 0	\$ 41,155	\$ 11,116,310
November	\$ 7,461,719	\$ 8,822,660	\$ 0	\$ 65,000	\$ 16,349,380
December	\$ 7,009,779	\$ 6,393,217	\$ 0	\$ 80,327	\$ 13,483,320
Year to Date	\$ 32,772,640	\$ 37,974,660	\$ 219,236	\$ 1,346,731	\$ 72,313,270

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

December 2012

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

**Office of Research
Office of Sponsored Programs**

Detail of Public Grant Awards

Federal

US Department of Health and Human Services (DHHS)

National Institutes of Health (NIH)

To: Bruce M. Psaty, Professor \$ 1,157,119
Department Of Medicine
For: CHS Events Follow-Up Study
Eff: 12/1/2012 Classified: No

Total for National Institutes of Health (NIH): \$ 1,157,119

Total for US Department of Health and Human Services (DHHS): \$ 1,157,119

Total for Federal: \$ 1,157,119

Other Government (not in Washington)

University of North Carolina, Chapel Hill

To: Michael Katze, Professor \$ 1,187,425
Microbiology
For: Systems Immunogenetics of Biodefense Pathogens in the
Collaborative Cross
Eff: 8/5/2012 Classified: No

Total for University of North Carolina, Chapel Hill: \$ 1,187,425

Total for Other Government (not in Washington): \$ 1,187,425

Total Public Grants: \$ 2,344,544

Detail of Private Grant Awards

Private Industry

Statoil Hydro Canada Ltd.

To: Samuel Wasser, Research Professor \$ 1,137,805
Biology
For: Assessing Population Sizes of Caribou, Moose, Wolf and Deer and
Monitoring Impacts of Nutrition, Human Use and Wolf Predation on
Caribou, Moose and Deer in the ESAR and Wauai Caribou Ranges,
Alberta Canada
Eff: 12/11/2012 Classified: No

Total for Statoil Hydro Canada Ltd.: \$ 1,137,805

Total for Private Industry: \$ 1,137,805

Total Private Grants: \$ 1,137,805

Detail of Contract Awards

Federal

US Department of Defense (DOD)

US Navy

To: Keith Van Thiel, Research Scientist/engineer Principal \$ 1,000,000
 Applied Physics Lab
 For: ICEX14
 Eff: 9/5/2012 Classified: Yes

Total for US Navy: \$ 1,000,000

Total for US Department of Defense (DOD): \$ 1,000,000

US Department of Health and Human Services (DHHS)

National Institutes of Health (NIH)

To: Michael J Gale, Associate Professor \$ 2,941,503
 Immunology
 For: RIG-I-LIKE RECEPTORS AND NOVEL INNATE IMMUNE
 PATHWAYS FOR ADJUVANT DISCOVERY AND DEVELOPMENT
 Eff: 9/30/2009 Classified: No

National Heart, Lung, and Blood Institute (NHLBI)

To: Alice Arnold, Research Scientist/engineer-senior \$ 1,072,736
 Biostatistics
 For: CHS Core Support Renewal
 Eff: 1/1/2013 Classified: No

Total for National Heart, Lung, and Blood Institute (NHLBI): \$ 1,072,736

Total for National Institutes of Health (NIH): \$ 4,014,239

Total for US Department of Health and Human Services (DHHS): \$ 4,014,239

Total for Federal: \$ 5,014,239

Associations and Non-Profits

Health Alliance International (HAI)

To: King Holmes, Chair \$ 1,174,385
 Global Health
 For: Health Alliance International 8 (Moz. Health Comm.)
 Eff: 5/1/1992 Classified: No

Total for Health Alliance International (HAI): \$ 1,174,385

Total for Associations and Non-Profits: \$ 1,174,385

Total Contracts: \$ 6,188,624

Grand Total for all Awards \$ 9,670,973

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 BUDGETS1. North Physics Laboratory Roof Replacement Project No. 204001
Action Reported: Select Architect

On November 30, 2012, an architectural agreement was awarded to OAC Services (OAC) for the North Physics Lab Roof Replacement Project.

In September 2012, the Capital Projects Office selected three firms from the Shared Procurement Portal system. Interviews were conducted on August 24, 2012 with S.M. Stemper Architects, Cornerstone Architectural Group, and OAC. OAC was selected as the most qualified firm for this project. The agreement is for basic services in the amount of \$49,766 (a portion of the total budget of \$172,040 for design consultants). The balance of the design budget is intended for design of a bid alternate to replace the below-grade roof on the Cyclotron Building, hazardous material consultants, and a structural analysis.

OAC has extensive experience providing building enclosure design. They specialize in forensic investigation and repairs in waterproofing and building enclosure systems. OAC designed the improvements for the recently completed University of Washington Portage Bay Parking Garage Maintenance project. Other clients include Seattle Pacific University, Unico Properties, and Northshore Parks and Recreation.

This project will replace selected roofs at the North Physics Laboratory. Included in the scope are the exposed roofs on the Van de Graff Generator Building and the portion of the Cyclotron Building that connects to the Van de Graff Building. The below-grade portion of the Cyclotron Building roof will be designed as an alternate for replacement. In addition to roof replacements, the work will provide building improvements that will allow workers to access the roof safely (e.g., upgrading access ladders, revising mounting supports for rooftop ventilation equipment, and upgrading security elements to prevent unauthorized access to the

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 2)

Van de Graff roof from the earth slope above). Excluded from the scope are the roofs on the south wing of the Cyclotron Building and the Cyclotron Shop.

Design completion is scheduled for May 2013. The construction schedule is dependent on available future funding.

The anticipated project cost is approximately \$2.3 million. The project budget will be established at the completion of the predesign effort. The current funding of \$269,817 is from Central Funds, with additional funding transferred from the same source as necessary to complete the design. No donor funding is being contemplated nor are any naming opportunities envisioned.

2. Bagley Hall Roof Replacement Project No. 204008 Action Reported: Select Architect

On November 30, 2012, a professional services agreement was awarded to S.M. Stemper Architects (Stemper) for the Bagley Hall Roof Replacement Project.

In September 2012, the Capital Projects Office selected three firms from the Shared Procurement Portal system. Interviews were conducted on September 13, 2012 with Stemper, Cornerstone Architectural Group and OAC Services. Stemper was selected as the most qualified firm for this project. The agreement is for professional services in the amount of \$64,028 (a portion of the total budget of \$207,837 for design consultants). The balance of the design budget is intended for design contingency, hazardous material consultants, and a historical resources addendum report.

Stemper is a Seattle firm founded in 1988. Stemper has a successful track record of completing projects at the University of Washington involving renovation of building systems such as roofing, building envelope, and elevator modernization projects.

This project will replace all of the roofs on Bagley Hall, except for the copper mansard roof. In addition to replacing the roof, the work will provide building improvements that will allow workers to access the roof safely (e.g. upgrading access ladders, revising mounting supports for rooftop ventilation equipment, and fixing leaks at existing skylights).

Design completion is scheduled for June 2013. The construction schedule is dependent on available future funding.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 3)

The anticipated project cost is approximately \$2.1 million. The project budget will be established at the completion of the predesign effort. This project is funded for \$300,000 from Central Funds, with additional funding transferred from the same source as needed to complete the design. No donor funding is being contemplated nor are any naming opportunities envisioned.

3. UWMC 7SE HVAC Upgrade and Finish Upgrade Project No. 204142 Actions Reported: Select Architect and Adopt Budget

On November 30, 2012, an architectural agreement was awarded to Mahlum Architects (Mahlum) for the University of Washington Medical Center (UWMC) 7SE HVAC Upgrade and Finish Upgrade Project using its Master Term Agreement. The agreement is for basic services in the amount of \$134,834 (a portion of the total budget of \$219,717 for design consultants). The balance of the design budget is intended for consulting services related to hazardous materials, testing and balancing, permit expedition, and commissioning.

Mahlum is a seventy-person firm founded in 1938 with offices in Seattle and Portland. Mahlum's design work is primarily in three market sectors: healthcare, education, and student housing. Mahlum recently completed several successful renovation projects at the Oregon Health and Sciences University, Providence St. Mary Medical Center, and Evergreen Hospital. Mahlum's University of Washington experience includes: University of Washington Medical Center Regional Heart Center, several Harborview Medical Center renovations, William H. Gates School of Law, Suzzallo Library Renovation, Clark Hall Renovation, and the new Student Housing Phase I projects.

This project will upgrade the HVAC systems and finishes on the 7SE wing of the UWMC to provide individual temperature control in each patient room, upgrade the finishes throughout the department, and renovate the nurses' station.

The nurses' station portion of this project is part of a phased program by the UWMC to standardize the nurses' stations and comply with current code requirements. The finish upgrades will include new casework and improvement to the support rooms to meet the current hospital standard for improved workflow. This portion of the work will be completed in fiscal year 2013.

The second phase of the project will be to upgrade the HVAC system on the wing providing temperature control to each separate patient room. System improvements will upgrade the control system, provide additional ductwork and

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 4)

fan coil units. This portion of the project will also include upgrades to the finishes within the patient rooms and corridors.

Design completion is scheduled for May 2013. Construction will begin in June 2013, with completion planned for February 2014; dependent upon UWMC planned funding for construction.

On November 29, 2012, a project budget was established for \$1,775,000. This project is currently funded at \$600,000 from the UWMC patient revenue. The remaining funding will also come from the UWMC patient revenue. No donor funding is being used nor are any naming opportunities envisioned.

Budget Summary	Current Approved Budget	Forecast Cost At Completion
Total Consultant Services	\$219,717	\$219,717
Total Construction Cost*	\$1,278,415	\$1,278,415
Other Costs	\$138,213	\$138,213
Project Administration	\$138,655	\$138,655
Total Project Budget	\$1,775,000	\$1,775,000

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

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Actions Taken Under Delegated Authority (continued p. 5)

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

1. Action Reported: Acquisition of APEX Profiling Floats for the
Department of Oceanography

Under delegated authority, the Director of Procurement Services, or his designee, executed a contract with Teledyne Webb Research on December 21, 2012 to procure 85 Each Autonomous Profiling Explorer (APEX) floats used to measure subsurface currents and make profile measurements.

This contract was a sole source procurement based on continuity of research and compatibility with existing APEX floats from Teledyne Webb Research over the past several years.

Contract value including shipping is \$1,296,952. This price includes a 6.2% discount off of the current vendor published list price for this equipment.

2. Action Reported: Acquisition of Unisys Hardware, Software and
Professional Services

Under delegated authority, the Director of Procurement Services, or his designee, executed a contract with Unisys on December 14, 2012 to procure VMAX and Brocade mainframe hardware, software and maintenance support for UW Information Technology (UW-IT).

This contract was a sole source based on compatibility with UW-IT's existing Unisys mainframe environment.

The total contract value including Washington State Sales Tax is \$2,999,972 which includes a total negotiated discount of \$1,229,027.

A separate solicitation will be issued by Procurement Services and Treasury for a capital leaseback to finance this acquisition over a 4 year term.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Medicine Board Annual Compliance Report

For information only.

Attachment

UW Medicine Board Annual Compliance Report to the UW Board of Regents,
February 14, 2013

UW MEDICINE BOARD



ANNUAL COMPLIANCE REPORT TO THE UW BOARD OF REGENTS

February 14, 2013

UW Medicine

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EXECUTIVE SUMMARY

The seventh annual UW Medicine Board Compliance Report to the University of Washington (UW) Board of Regents covers the 2012 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 and Children's University Medical Group. System-wide oversight is provided by UW Medicine's chief compliance officer/UW associate vice president for medical affairs. Program functions are performed 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. Modifications made in 2012 aligned 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 & Medical Center and Valley Medical Center.

In fiscal year 2012, the annual compliance budget was \$9 million with 66 FTEs dedicated specifically to compliance functions (excluding Valley Medical Center). These figures do not represent the full cost of time, effort and systems devoted to compliance 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 budget.

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. The central hotline in the office of the UW Medicine chief compliance officer/UW associate vice president for medical affairs enables anonymous reporting of concerns and was the focus of an extensive outreach campaign in 2012.

Five compliance areas (clinical billing, information security, privacy, Stark/Anti-Kickback and conflicts of interest) were the subject of comprehensive presentations to the UW Medicine Board Compliance Committee in 2012. These presentations included general information about the regulatory framework as well as UW Medicine-specific information regarding each compliance area.

The largest compliance area for UW Medicine is **clinical billing**. The program's rigorous internal audit activities provide the foundation for identifying and mitigating clinical billing risks; system-wide mandatory training educates clinical practitioners about billing rules. In 2012, the Centers for Medicare and Medicaid Services (CMS) expanded the claim volume thresholds for the national Medicare Recovery Audit Contractor (RAC) Program, increasing the external audit activity experienced by UW Medicine. During this

reporting period the RAC auditors reviewed 4,279 claims representing approximately \$50 million in reimbursement; they alleged overpayments on 746 claims representing roughly \$4.5 million. Most of the denials have been for inpatient care that the auditor believed could have been safely provided in the less intensive and less costly outpatient setting. The medical necessity of inpatient admission has generated significant national debate. In response to industry concerns regarding this issue, CMS announced its intention to review and clarify/change the rules defining inpatient criteria. UW Medicine provided input to national organizations that conveyed academic medical center concerns to CMS.

A Medicaid audit of hospital outpatient observation services billing led to repayments by all four UW Medicine hospitals for a total of \$616,000. In addition, UW Medical Center repaid Medicaid \$1.3 million for incorrectly coded neonatal intensive care unit services.

CMS and the U.S. Department of Health & Human Services partnered on a letter to the heads of hospital industry groups, warning of potential misuse of electronic medical record functionality that may inflate billed services and generate potential overpayments. UW Medicine was already assessing internal practices to reduce this risk, but is conducting further analysis as a result of the letter.

Clinical research billing continues to be a nationally recognized focus area for academic health centers. UW Medicine has devoted significant efforts to this area, and its approach is considered to be among best-practices for academic health centers. Audit results continue to show a very low error rate (2.5 percent), but also identify areas for on-going system and process improvements. These activities are overseen by an operational leadership committee.

Information security incidents continue to capture national attention. In 2012, the UW Medicine Information Security Program developed and implemented a new policy set and related standards and guidance. UW Medicine also undertook a comprehensive data stewardship campaign, which clarified roles and responsibilities for protecting confidential information, required training throughout the system, and provided tools for unit heads and managers to ensure expectations are conveyed consistently to all workforce members.

UW Medicine continues to expand its vulnerability management program, system security review process, enhanced border protection, security event management and risk assessment in support of regulatory requirements.

UW Medicine's compliance program includes mandatory orientation, job-specific education, auditing and monitoring, and internal processes to facilitate patient rights under the **privacy and identity theft prevention** laws. In 2012, the Office for Civil Rights opened only one new investigation of UW Medicine.

The UW 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**, 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 2012, and directed its efforts toward standardizing the physician contracting process.

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 to lower the disclosure threshold and to increase the requirements related to institutional oversight. The UW, under leadership of the Office of Research with assistance from the UW School of Medicine, substantially revised its policy on research conflict to comply with the new NIH requirements. The current UW Medicine COI policy, which addresses non-research COIs, has been in place for three years. The policy's purpose and intent was reaffirmed during a recent evaluation, and a small number of targeted changes were recommended to help strengthen the policy. The revisions are awaiting final approval by SoM leadership.

Section III provides detailed information about major activities and issues occurring in 2012.

I. INTRODUCTION

A. Purpose of the Annual Report

Section 1.4.3 of the UW Medicine Board Bylaws requires an annual report to the 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)¹
- Northwest Hospital & Medical Center (NWH)
- Valley Medical Center (VMC)
- University of Washington Medical Center (UWMC)²
- UW Neighborhood Clinics (UWNC)
- UW Physicians (UWP)
- UW School of Medicine (SoM)
- Airlift Northwest (ALNW)³

¹ 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.

² 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.

³ All personnel of ALNW are UW or Seattle Children's employees.

UW Medicine is also a corporate member of two non-profit corporations: Children’s University Medical Group (CUMG), a pediatric practice plan founded with Seattle Children’s (Children’s), and the Seattle Cancer Care Alliance (SCCA) founded with Children’s and the Fred Hutchinson Cancer Research Center (FHCR). UW Medicine closely collaborates and partners with each entity’s compliance program. All physician clinical services at the SCCA are provided by UW SoM faculty physicians who are members of UWP or CUMG. SoM faculty physicians provide clinical service at Children’s primarily through CUMG. The 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.

II. UW MEDICINE COMPLIANCE PROGRAM

A. Program Components

All UW Medicine compliance programs include these core components:



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 interest⁴.

Staff in **management or supervisory positions** have additional responsibilities, including communicating compliance expectations, ensuring that personnel complete training,

⁴ See uwmedicine.washington.edu/Global/policies/Pages/default.aspx

implementing and enforcing policies, monitoring compliance and providing personal support of compliance initiatives.

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 **UW Medicine chief compliance officer and UW associate vice president for medical affairs** 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** (UW Medicine Board 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 UW Medicine Board CC members and the charter for this committee are provided in *Attachments A and B*.

The **UW Medicine Executive Compliance Committee** includes the senior leadership from each UW Medicine entity, as well as representatives from key stakeholder groups (e.g., risk management, health information management and patient financial services). This group receives detailed compliance reports, approves UW Medicine system-wide compliance policies and ensures that there are adequate resources and operational involvement directed to compliance initiatives.

Paul G. Ramsey, M.D., CEO, UW Medicine, executive vice president for medical affairs and dean of the UW SoM 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

Since 2005, coordination of system-wide activities and initiatives has been provided by the chief compliance officer/associate vice president for medical affairs. The UW Medicine compliance enterprise (see *Attachment C*) includes UW Medicine Compliance (responsible for all facility-related compliance except VMC), VMC Compliance, UW SoM Compliance (responsible for compliance issues involving SoM faculty, trainees and staff), and UWP and CUMG compliance programs (responsible for professional fee billing compliance in the practice plans).

1. Organizational Changes in 2012

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. In 2012, privacy and identity theft prevention compliance was centralized under the UW Medicine compliance officer, who reports directly to the chief compliance officer/associate vice president for medical affairs. This change aligns the mission, vision, strategic planning, operating philosophy, policy structure and education/outreach programs for the majority of 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.

UW Medicine Compliance assumed full responsibility for oversight of NWH compliance functions in 2012. Former NWH compliance staff are now UW employees, and compliance education provided to NWH workforce members is the same as that provided at UWMC and HMC. At VMC, integration efforts in 2012 focused on privacy and identity theft prevention, and incorporating external review data into UW Medicine reports.

2. Compliance Resources

UW Medicine devotes significant resources to both organization-wide and entity-specific compliance efforts. In fiscal year 2012, the annual budget was \$9 million and there were 66 FTEs dedicated specifically to compliance functions (excluding VMC). This exceeds 2011 figures by \$1 million and six FTEs, primarily because figures reported this year include the information security program and NWH resources.

These figures do not represent the full cost of time, effort and systems devoted to compliance-related 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 success of the compliance programs.

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



2012, the central hotline maintained by the chief compliance officer/associate vice president for medical affairs, which provides for anonymous reporting of compliance concerns, was the focus of a comprehensive outreach campaign to the hospitals and clinics, ALNW, UWP and the SoM. In addition, UWP and CUMG both maintain a helpline to answer compliance questions. The majority of inquiries, requests for consultation and complaints are conveyed directly to compliance staff across the UW Medicine enterprise.

III. KEY COMPLIANCE AREAS

The key compliance focus areas identified for 2012 included the following:

- *Clinical billing (covering facility and professional fee billing for all clinical services, including research)*
- *Information security*
- *Privacy/identity theft prevention*
- *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 2012 (see *Attachment E*), a content expert led an interactive session on a specific focus area. Presentations focused on key concepts, primary risks, mitigation strategies, and emerging issues; these are contained in the official committee records.

The following sections highlight major activities and developments that occurred in 2012.

A. Clinical Billing

External Reviews. The Medicare Recovery Audit Contractor (RAC) program is the largest of multiple federal and state billing audit programs impacting UW Medicine. Early in 2012, the Centers for Medicare and Medicaid Services increased the per entity claim volume for the program, which significantly increased the number of UWP, NWH, UWMC, HMC and VMC claims selected for review. In 2012, 4,279 claims representing \$49,675,915 million in reimbursement were reviewed, compared to 2,673 claims representing \$33,744,050 in 2011.

To date, RAC auditors have alleged overpayments for 746 of the claims reviewed in 2012, representing just over \$4.5 million dollars. Most of the denials have been for inpatient care that the auditor believed could have been safely provided in the less intensive and less costly outpatient setting. The medical necessity of inpatient admission has generated significant national debate. In response, CMS recently announced that it would review the rules and consider changes or clarifications. UW Medicine provided input through a national project that developed recommendations for CMS on this topic and established an internal cross-entity, cross-functional group to oversee internal process improvement efforts.

CMS selected NWH for a national demonstration project that allows participating hospitals to rebill services as an outpatient claim when a one to two day inpatient stay is denied for medical necessity. This is not allowed under current rules, and a denial usually results in the loss of all or most of the inpatient payment. Since January 2012, NWH has averaged a 43 percent payment recapture rate under the project.

The Washington Department of Social and Health Services (DSHS) implemented its Medicaid RAC program in 2012 as anticipated but is currently reviewing only critical access hospital claims. DSHS has not announced a timeline for expanding the program to other types of claims. However, the existing (non-RAC) audit program already reviews claims from acute care hospitals, and in 2012, found hospital outpatient observation billing errors that resulted in a collective \$616,000 repayment for the four UW Medicine hospitals. The problems leading to the errors have since been addressed. DSHS also initiated audits of other inpatient claims at all four hospitals, but there are no results yet.

UW Medicine continues to reap the benefits of software purchased in 2010 that facilitates robust tracking of RAC audits and results and provides data needed for proactive assessment of risk areas and summary reporting. In 2012, NWH external review activity was fully integrated into central processes for external review administration and tracking.

All external review activities are reported in detail to the UW Medicine Executive Compliance Committee; reports are maintained in the official committee files.

Facility Billing. The annual facility billing audit plan now includes UWMC, HMC and NWH. The most significant facility billing repayment during this reporting period was \$1.3 million dollars repaid to DSHS by UWMC for overpayments caused by coding errors for neonatal intensive care unit services. Improvements to operational processes addressed the issue, and follow-up audits confirmed the effectiveness of the changes.

In fall 2012, the U.S. Department of Health & Human Services and the Office of Inspector General partnered on a letter to several high profile industry groups, highlighting potential pitfalls of electronic medical records, including misuse of copy and paste functions that could result in upcoding evaluation and management services. Although our billing audit and education activities already focus on these types of services, we are exploring additional methods for identifying high-risk coding patterns that may necessitate increased scrutiny.

Professional Fee Billing. UW Medicine Compliance assumed responsibility for professional fee billing compliance at NWH in mid-2012. Audits completed by former NWH staff have been reviewed, and that assessment is being used to establish education and audit priorities for 2013.

Since 2009, UWP and CUMG have operated separate but closely coordinated compliance programs covering professional fee billing for practice plan members. Policies and standards are aligned where appropriate, but they 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 2012 included the following:

- CUMG completed all scheduled policy reviews/updates; trained all 456 CUMG practitioners; and, provided training and review to 62 new CUMG members.
- CUMG completed 100 percent of their scheduled reviews (383 practitioner audits) and responded to six internal inquiries with investigations and risk assessments.
- UWP conducted proactive risk assessments and completed scheduled risk-based audits on 98 percent of the physicians identified for review (910 physicians). They also conducted second reviews on 43 physicians, pre-billing reviews on all 135 practitioners new to UWP and 13 UWP professional fee coders.
- UWP achieved 100 percent completion of the mandatory training (including 1,991 physician and non-physician members and 252 UWP administrative employees).

Clinical Research Billing. UW Medicine has devoted significant efforts toward the development of efficient and effective compliance and operational programs for clinical research billing. Our approach, considered to be among best practices for academic health centers, is based on the following core elements:

- Guiding policies, standards, processes and tools to support compliant billing and mandatory training for clinical research staff;
- Centralized operational support (provided by the Clinical Research Billing and Budget Support Office within the SoM);
- An oversight committee charged with continuous assessment of processes, and strengthening of internal controls and systems, as needed;
- Compliance audits to determine if policies and procedures are being followed, and verify that services provided to research subjects are correctly billed.

Since 2007, 158 audits have been completed, showing a very low error rate (2.5 percent). UW Medicine also uses audit results to identify the need for process improvements throughout the life cycle of a clinical research study. In 2012, audits highlighted opportunities for enhancing application of the UW Medicine research effort policy, improving the scheduling process for research-related clinical visits and budget development modifications to prevent risk under the Medicare Secondary Payor rules.

B. Information Security and Privacy

The UW Medicine chief health system officer and vice president for medical affairs serves as the UW privacy official. The UW Medicine Information Security Program (ISP) operates under the direction of the UW Medicine chief information officer, who reports to the UW Medicine chief health systems officer/vice president of medical affairs. Privacy protection and identity theft prevention are part of the system-wide compliance program under direction of the chief compliance officer/associate vice president for medical affairs, who serves as chief privacy officer for UW Medicine and has a dotted line relationship to the UW privacy official for privacy and identity theft prevention. The ISP and UW Medicine Compliance are responsible for developing and maintaining their respective policies,

providing related education and outreach, monitoring and auditing compliance and reporting regularly to appropriate leadership groups. UW Medicine Compliance investigates all privacy, identity theft and information security complaints.

Information Security. The ISP continues to proactively manage information security risks in partnership with executive leadership. In March 2012, the ISP revised its program vision and issued a new policy set that defines baseline requirements and standards for electronic data, computing devices and systems and workforce members. The program includes strategic and pervasive educational efforts and expanded the delivery of technical services. The ISP also completed a high-level risk assessment in 2012 and a separate risk assessment in support of meaningful use requirements.

UW Medicine developed and implemented a comprehensive, top-down data stewardship campaign to clarify roles and responsibilities for protecting confidential information, provide training throughout the system and develop tools to help unit heads and managers conveying consistent expectations to all workforce members.

The ISP provided on-site encryption advice during data stewardship training sessions, held system-wide Q&A sessions, updated the core competencies module and collaborated with UW Purchasing and the Attorney General's Office on data security agreements. New employee orientation was expanded in 2012 to include physicians, and the ISP participated in orientation sessions for more than 1,200 new hospital staff members.

In 2012, the ISP also implemented an encrypted email monitoring system and auto-forwarding email controls, completed three system security reviews, expanded enrollment in the Vulnerability Management Program to four entities (and increased coverage from 324 to 12,201 devices) and expanded Enterprise Intelligence (analyzing more than 50,000,000 events from more than 10,000 devices spread across UW Medicine). There were 10 digital forensics investigations and 24 security incidents.

The Exposure Management service is improving the effectiveness of UW Medicine's intrusion prevention systems, providing centralized management and troubleshooting for non-data center firewalls and providing assistance to departments looking to improve their workstation firewalls.

The Security Information and Event Management (SIEM) system, implemented in 2011, collects system and enterprise security data for analysis and correlation. The SIEM has increased visibility into systems across UW Medicine and processes over 50,000,000 events per day. The SIEM's alerting and reporting functions are being integrated into day-to-day security operations, and they took on additional importance in the last quarter of 2012 as events recording access to personal health information (PHI) were imported.

Privacy/Identity Theft Prevention. The protection of privacy at UW Medicine is supported by a mature policy framework, mandatory education, auditing, timely responses to complaints and internal processes for meeting patient rights requests. UW Medicine

manages potential identity theft cases through its Patient Identification and Clarification Committees.

As in past years, most policy violations involved the accidental disclosure of patient information (such as referral notes to the wrong physician or copies of health information mistakenly sent to someone other than the patient). Operational improvements are the primary focus for reducing the frequency of these events. There were several incidents involving the loss of portable devices containing patient information which resulted in nine privacy breaches and the notification of 334 patients.

One patient complaint was received in 2012 from the Office of Civil Rights (OCR). We conducted a thorough internal review and provided a timely response. There has been no further contact from the OCR on this case, or on a second case that remains open from the prior year. The OCR closed another existing case from the prior year without any fines, penalties or other corrective actions.

UW Medicine initiated clinical area walk-through audits in 2012 to evaluate compliance with policies governing privacy and information security, and to assess the effectiveness of related education and outreach activities. These audits have been successful in providing clinic managers with practical advice about improving the protection of patient privacy.

Several federal rules are pending finalization. We are closely monitoring developments because some proposed provisions would require significant retooling of UW Medicine operations.

VMC was added to the UW Medicine covered entity designation for purposes of the Health Insurance Portability and Accountability Act of 1996 (HIPAA), and the Notice of Privacy Practices document was revised accordingly.

C. 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 Stark in the past year. UW Medicine did not detect or report any Stark violations in 2012. 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 standardize documentation for faculty physicians engaged in teaching and other activities throughout the WWAMI region to clearly identify all 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 healthcare program, or for purchasing (or recommending for purchase) an item or service that is reimbursable under federal healthcare 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. During 2012, educational efforts focused on the UW procurement and purchasing offices.

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

D. Conflict of Interest

Conflicts of interest 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 Policy for Faculty on Potential Financial Conflicts of Interest With Commercial or Non-Profit Entities
- 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 UW. They also impose a training obligation on UW, require more UW reporting to NIH and require public accessibility to the information disclosed by researchers and UW's response to those disclosures. The new rules became effective on August 24, 2012. The UW Office of Research, with significant assistance from the SoM, substantially revised the Significant Financial Interest Policy (GIM 10) to comply with these new rules. The UW also implemented an on-line Financial Interest Disclosure System (FIDS) for disclosure of significant financial interest and on-line financial conflict of interest training in 2012, as part of the changes to address the new NIH requirements.

This was the third year of the new UW Medicine COI policy. The purpose of the policy is to ensure that 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 faculty must disclose in advance the amount of compensation to be received for outside work.

The committee that developed the policy has recently conducted an in-depth review to determine its effectiveness and whether any changes should be made. The committee reaffirmed the policy's purpose and intent, and recommended a small number of targeted changes to help strengthen the policy including a prohibition on faculty participation on speakers' bureaus, a limit on faculty endorsement of commercial products, and the inclusion of guidance relating to industry interaction with the school and departments ("Institutional COI"). The revisions are awaiting final approval by SoM leadership.

IV. LOOKING FORWARD: 2013

Planning for compliance program activities is an on-going process which involves all program areas identified in Section IIA1 (including auditing, development and modification of policies, and education). Our compliance priorities are heavily influenced by the increasingly dynamic external regulatory environment (including new and changing rules, workplans and audit priorities established by regulatory agencies and programs) as well as our own audit findings and risk assessments.

In 2013, we expect to focus on four major areas:

1. Sustaining a proactive, risk-based internal audit and monitoring program for clinical billing and privacy protection, while continuing to meet the demands of external review programs.
2. Participating in system-wide initiatives including ICD-10, meaningful use, Accountable Care Organization development, and Learning Management System deployment.
3. Completing the integration of Northwest Hospital and Valley Medical Center compliance functions.
4. Continuing to enhance information security through on-going education and refinement of internal tools and controls.

Attachment A

UW Medicine Board Compliance Committee: Fiscal Year 2012 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 FHCRC; 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/Pierce County Economic Development Council and the Corporate Council for the Arts and Reality Based Learning.

Shan Mullin, board member (and board chair until July 2012)

- o Former chair of FHCRC and 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 SCCA
- o Partner in the Seattle office of Perkins Coie law firm; Distinguished Alumni Award from UW Law School 2004

Gary Kohlwes, community member

- o Community trustee appointed to the Valley Medical Center Board
- o Served on the Valley Medical Center Board of Commissioners
- o Former member of the Washington Pacific Insurance SP Board
- o Past superintendent of the Renton School District
- o Past board member of Renton Chamber of Commerce, Seattle Country Day School & First Savings Bank Northwest

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 FHCRC, member of the FHCRC 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 and 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 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 healthcare, fisheries, aerospace, architecture and timber

Non-Voting Members

UW Medicine

Paul G. Ramsey, M.D., CEO, UW Medicine, executive vice president for medical affairs, and dean of the UW SoM
Johnese Spisso, chief health system officer, UW Medicine, and vice president for medical affairs, University of Washington
Ruth Mahan, chief business officer, UW Medicine, and vice president for medical affairs, University of Washington
Lori Mitchell, chief financial officer, UW Medicine, and vice president for medical affairs, University of Washington
Sue Clausen, chief compliance officer, UW Medicine, and associate vice president for medical affairs, University of Washington
Lori Oliver, director of legal and business matters, UW Medicine, associate vice president for medical affairs, University of Washington
Liz Shirley, enterprise finance officer, UW Medicine, associate vice president for medical affairs, University of Washington
Lisa Westlund, compliance officer, UW Medicine

School of Medicine

Mark Green, associate dean for business
Noella Rawlings, compliance director

Hospitals/Clinics

Eileen Whalen, executive director, Harborview Medical Center
Stephen Zieniewicz, executive director, UW Medical Center
Meg Kerrigan, executive director, UW Neighborhood Clinics
Cindy Hecker, interim executive director, Northwest Hospital
Christine Martin, executive director, Airlift Northwest
Rich Roodman, chief executive officer, Valley Medical Center
Colleen Nelson, compliance officer, Valley Medical Center
Traci Pranzini, interim integrity officer, SCCA

Practice Plans

Mika Sinanan, M.D., president, UW Physicians
Catherine Boelke, executive director, UW Physicians
Carlos Cruz, compliance officer, UW Physicians
Robert Sawin, M.D., president, CUMG
Patricia Adams, interim executive director, CUMG
Sheryl Forrester, compliance officer, CUMG

Attorney General's Office

Dina Yunker, assistant attorney general, University of Washington

Non-Profit Entities General Counsel

Margaret Peyton

VMC General Counsel

David Smith

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 entities¹ 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*

¹ Component entities include Harborview Medical Center (HMC), Northwest Hospital & Medical Center (NWH), Valley Medical Center (VMC) UW Medical Center (UWMC), , UW Neighborhood Clinics (UWNC), UW Physicians (UWP), UW School of Medicine (UWSOM) and Airlift Northwest (ALNW). 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 Chief Compliance Officer, UW Medicine/Associate Vice President for Medical Affairs, University of Washington (CCO/AVPMA) 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 CEO/EVPMA/Dean.

The voting members of the Committee are appointed by the Chairperson of the Board in consultation with the CEO/EVPMA/Dean. Voting members include:

- *At least three Board members, including the Chairperson of the Board or designee*
- *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;*
- *Chief Business Officer, UW Medicine/Vice President for Medical Affairs, University of Washington;*
- *CCO/AVPMA;*
- *Controller, UW Medicine/Associate Vice President for Medical Affairs, University of Washington*

- *Director of Legal and Business Matters, UW Medicine/Associate Vice President for Medical Affairs, University of Washington*
- *Health System Financial Operations Officer, UW Medicine/Associate Vice President for Medical Affairs, University of Washington;*
- *Executive Directors of HMC, UWMC, UWNC, UWP, ALNW, and CUMG;*
- *Chief Executive Officer of VMC*
- *Presidents of NWH and UWP;*
- *Chairman of the Physician Education, Billing and Compliance Committee for CUMG;*
- *Associate Dean for Business, School of Medicine;*
- *;*
- *General Counsel for UWP, CUMG, and VMC;*
- *Assistant Attorney General for UW;*
- *Compliance Officer(s)/director(s) for UW Medicine, VMC UWP, UWSOM, CUMG and SCCA;*
- *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

1/12/12
Date

Approved by the UW Medicine Board

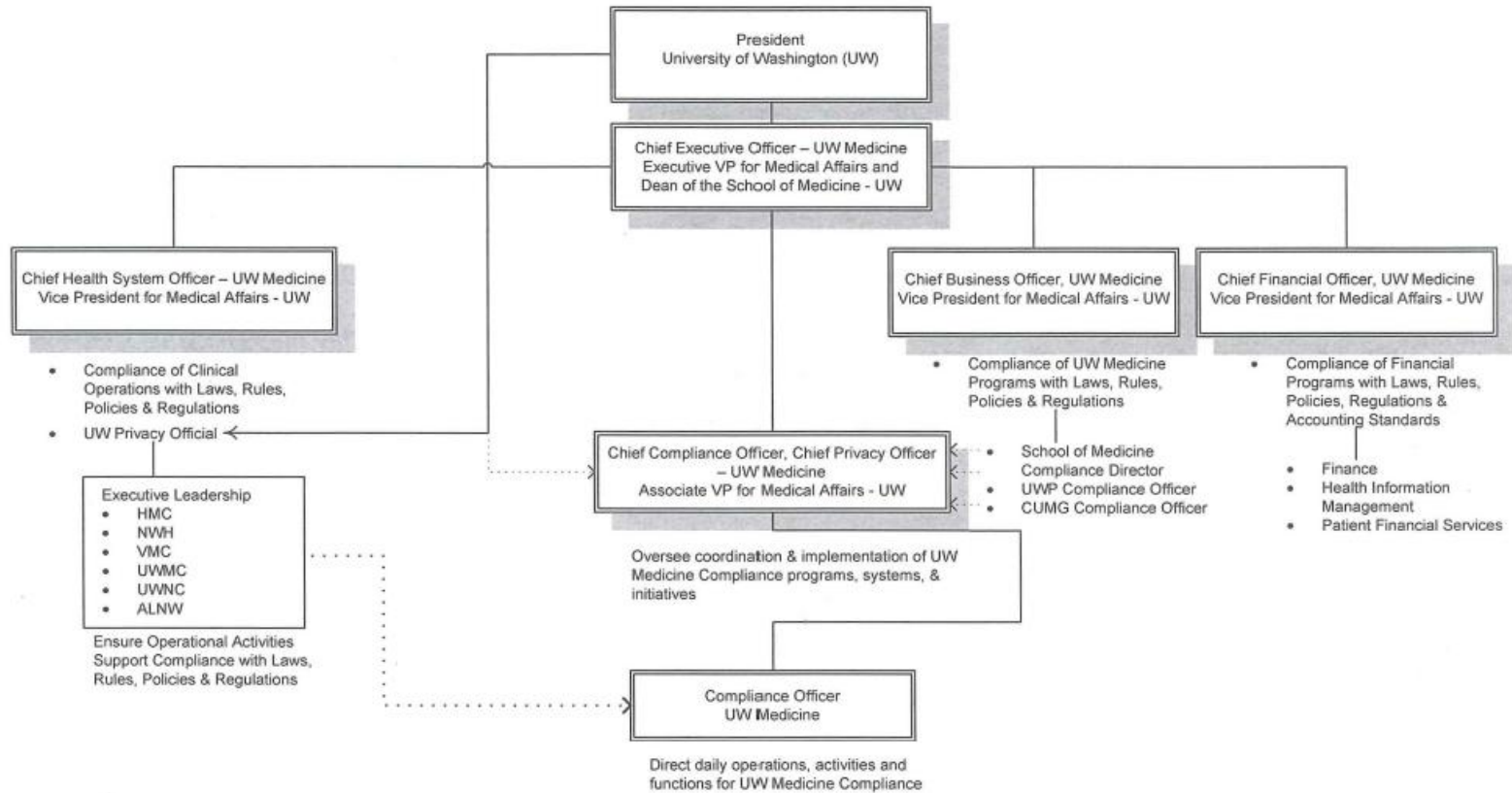


Chair of the UW Medicine Board

1/12/12
Date

Attachment C

UW Medicine Compliance Organization Chart (12/18/12)



Approved Paul G. Ramsey Date: 1/18/13
 Paul G. Ramsey, M.D.
 CEO, UW Medicine
 Executive Vice President for Medical Affairs and
 Dean of the School of Medicine, University of Washington

Attachment D

UW Medicine Compliance Issues Channels of Communication

Committee/Chair	Committee Role	Members and Attendees
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 per 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: community members, the UW Medicine board chair and other UW Medicine board members. Non-voting attendees: senior executive leaders and entity compliance officers. See Attachment A for the full roster and Attachment B for the Committee Charter.
UWP Business Excellence Committee, chaired by John Bramhall, M.D. CUMG Physician Billing & Education Compliance Committee, chaired by Jack Salerno, M.D.	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.	Executive leaders, physicians, clinical department representatives, legal counsel, training and operational staff, the practice plan compliance officers, the SoM compliance director, and the chief compliance officer/associate vice president for medical affairs.
UW Medicine Executive Compliance Committee, chaired by Johnese Spisso, chief health system officer, UW Medicine, and vice president for medical affairs, UW	This committee 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.	Executive directors and senior officers from the hospitals, clinics and ALNW, administrative directors from key operational units, the chief compliance officer/associate vice president for medical affairs, the UW Medicine compliance officer, and a representative from the attorney general's office.
Compliance Officers Group, chaired by Sue Clausen, chief compliance officer, UW Medicine, and associate vice president for medical affairs, UW	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 compliance and related content experts from UW Medicine Compliance, ITHS, Pharmacy, Laboratory, Patient Financial Services, UW and UW Medicine information security; School of Dentistry, health sciences administration, risk management, environmental health and safety, animal and human research protection programs and affiliated organizations.
UW Medicine Operations and Finance Committee, chaired by Paul Ramsey, CEO, UW Medicine, and dean of the UW SoM	This committee provides a venue for engaging senior leaders in the evaluation of, and response to, UW Medicine-wide compliance issues.	Members include the vice presidents for medical affairs, vice dean for clinical affairs, UWP president, executive directors (HMC, UWMC, UWNC, UWP, ALNW), financial officers, school associate deans for administration/finance and business affairs, UW medicine chief of staff/associate vice president for medical affairs and director of business and legal matters/associate vice president for medical affairs.
Executive Clinical Leadership, chaired by Johnese Spisso, chief health system officer, UW Medicine, and vice president for medical affairs, UW	This group provides clinical operations leadership for UW Medicine, develops/implements strategic operating & financial plans and addresses related issues (e.g., access management, coordination of care, process improvement, human resources, regulatory affairs, recruitment/retention needs, space planning, and information technology).	Members include the Executive Leadership Team from UW Medicine clinical health system entities (HMC, NWH, VMC, UWMC, UWNC, UWP and ALNW) and other UW Medicine leadership.
Security Program Executive Committee (SPEC), chaired by Johnese Spisso, chief health system officer, UW Medicine, and vice president for medical affairs, UW	SPEC provides executive direction for the UW Medicine Information Security Program, reviews and endorses security policies, strategic plans, annual budget requests and risk assessments.	Members include the chief business officer/vice president for medical affairs, director of security & networking, chief compliance officer/associate vice president for medical affairs, chief information officer, director of Health Science Risk Management, UWP President, executive directors (HMC, UWMC, UWNC) and UW chief information security officer.

Attachment E

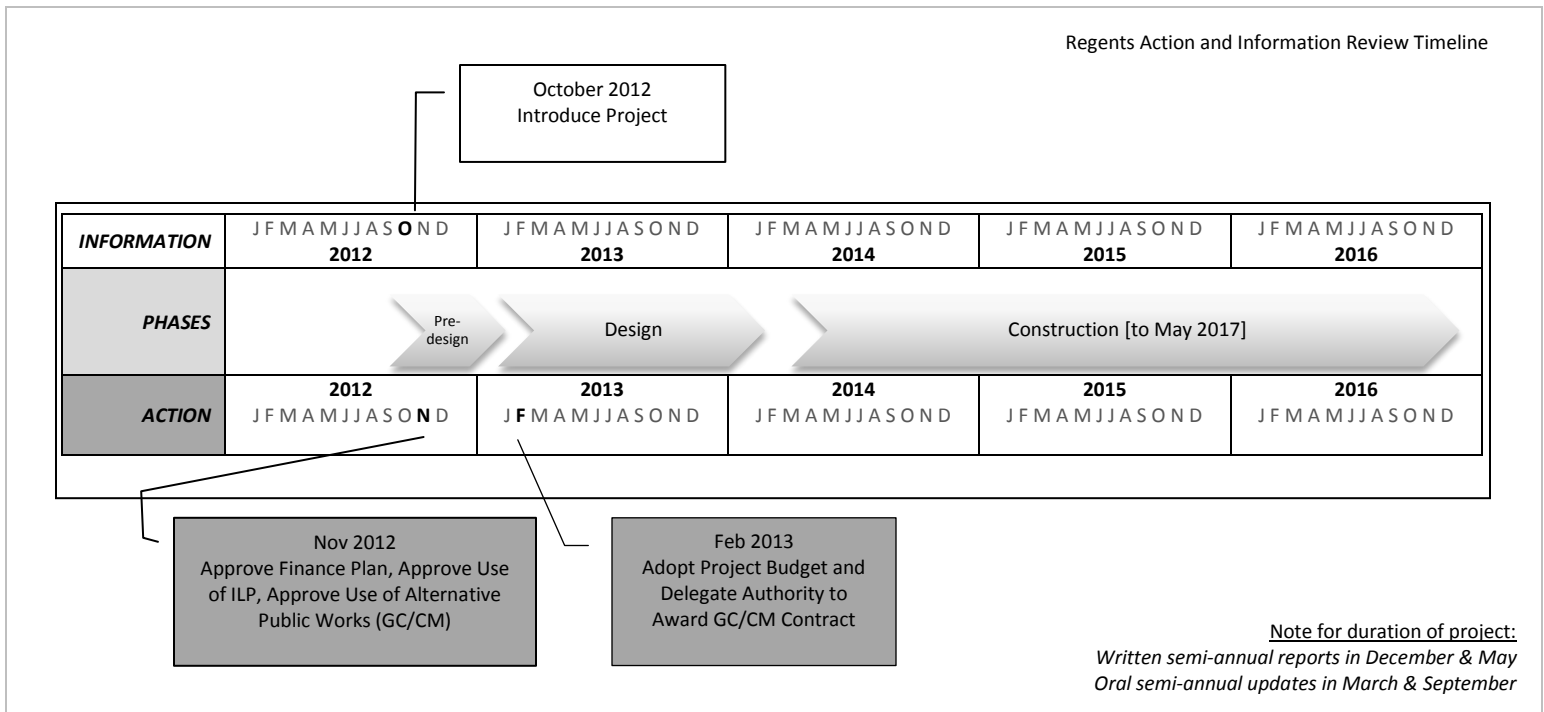
UW Medicine Board Compliance Committee - Schedule 2012

Meeting Date	Focus Areas/Special Briefings	Focus Area Presenter(s)	Reports
January 9 9:30-11:30 am	Focus Area – Stark/Anti-Kickback Special Session: Physician Leaders for Practice Plan Compliance Committees	Noella Rawlings Drs. Mika Sinanan, Tom Payne and Mark DelBeccaro	Briefings <ul style="list-style-type: none"> • Preview of 2011 Annual Compliance Report • UW Medicine Board CC Charter • External Review Activity
February	No meeting		
March	No meeting		
April 16 9:30-11:30 am	Focus Area – Information Security	Paul Henderson	Briefings <ul style="list-style-type: none"> • 2011 Annual Compliance Report • External Review Activity • FY 12 Qtr 1 & 2 reports
May	No meeting		
June 25 9:30-11:30 am	Focus Area – Clinical Billing	Lisa Westlund	Briefings <ul style="list-style-type: none"> • Compliance UW Internal Audit Interface • Privacy Updates • External Review Activity
July	No meeting		
August	No meeting		
September 10 9:30-11:30 am	Focus Area – Privacy/Identity Theft Prevention	Sue Clausen	Briefings <ul style="list-style-type: none"> • Compliance Channels of Communication • Compliance Hotline Report • External Review Update • FY 12 Qtr 3 & 4 reports • Changes in Federal COI Rules
October	No meeting		
November 5 9:30-11:30 am	Focus Area – Conflicts of Interest Special Session: UWMC Leadership	Mark Green Steve Zieniewicz, Dr. Tom Staiger, Grace Parker	Briefings <ul style="list-style-type: none"> • ICD-10 Status Report • External Review Update
December	No meeting		

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Medical Center Expansion Phase II: Montlake Tower – Adopt Project Budget; Delegate Authority to Award General Contractor/Construction Manager (GC/CM) Contract



RECOMMENDED ACTIONS

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

- 1) Adopt a project budget of \$186.3 million for the UW Medical Center (UWMC) Expansion Phase II: Montlake Tower; and
- 2) Delegate authority to the President to award a General Contractor/Construction Manager (GC/CM) contract.

PREVIOUS ACTIONS

In November 2012, the Board of Regents: 1) approved the project financing plan, 2) approved use of the Internal Lending Program (ILP) to fund up to \$136.1 million for design, construction and financing costs, and 3) approved the use of the GC/CM alternative public works contracting method.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Medical Center Expansion Phase II: Montlake Tower – Adopt Project Budget; Delegate Authority to Award General Contractor/Construction Manager (GC/CM) Contract (continued p. 2)

BACKGROUND

The UW Medical Center Expansion: Montlake Tower is a two-phase project. The \$170 million five story Phase I was approved by the Board of Regents in February 2008. In January 2010, the budget was increased to \$204 million to take advantage of a favorable construction cost climate and build out the entire eight story superstructure and leaving, as shelled space, three inpatient floors and future operating room areas. In June 2010, the Board of Regents was advised that in order to accommodate additional demand for the oncology services identified in the strategic planning process, the eighth floor of the Montlake Tower would be built out as an inpatient oncology unit, increasing the project cost to \$215 million.

Phase I construction was substantially complete in July 2012, and the facility began operation in October 2012.

In November 2012, the Board of Regents was presented with the need to accelerate the Phase II project in order to have additional ICU and operating room capacity in FY15 and FY16. After a presentation of the credit analysis, the Board approved the project financing plan and the use of the ILP to fund up to \$136.1 million for the project. Medical Center Administration committed to return to the Board in February 2013 for approval of the project budget and authority to award a GC/CM contract.

PROJECT DESCRIPTION

The UW Medical Center Expansion Phase II: Montlake Tower project includes completion of the three shelled-in inpatient floors of the Montlake Tower, consisting of a mix of intensive care beds and medical/surgical beds. The shelled operating room areas will be completed as well.

Improvements to the core infrastructure of the Medical Center have also been incorporated into the current project plan. These improvements will enhance operating efficiencies of the entire Medical Center, as significant additional capacity would otherwise strain the existing infrastructure. Improvements include updates to pre-procedure patient preparation and recovery spaces and support areas for the operating rooms and second floor procedure areas. Updates to other clinical spaces such as infusion, neurodiagnostic areas, the oncology clinic, and chemotherapy pharmacy are also included.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

UW Medical Center Expansion Phase II: Montlake Tower – Adopt Project Budget; Delegate Authority to Award General Contractor/Construction Manager (GC/CM) Contract (continued p. 3)

CONTRACTING STRATEGY

In November 2012, the Board of Regents approved the use of the GC/CM contracting method. On November 13, 2012, the Capital Projects Office (CPO) issued a Request for Proposals (RFP) for GC/CM services. On January 8, 2013, responses to the RFP were received from nine firms. Five firms were selected to interview on February 6, 2013. The most qualified firms will submit final proposals on February 14, 2013.

Subject to the Board's delegated authority, it is anticipated that a preconstruction services agreement with the highest scoring firm will be awarded in March 2013. The Board of Regents will be informed of the selected GC/CM at their March 2013 meeting in a report of actions taken under specific delegated authority.

SCHEDULE

Predesign	September 2012 – January 2013
Design	February 2013 – February 2014
Construction	March 2014 – May 2017

PROJECT BUDGET AND FINANCING PLAN

The proposed total project budget for the Phase II project is \$186.3 million, to be funded with \$50.2 million in UWMC cash reserves and \$136.1 million from the Internal Lending Program in accordance with the financing plan approved by the Board of Regents at the November 2012 meeting.

REVIEW AND APPROVALS

The proposed project budget has been reviewed and approved by the Senior Vice President, the Vice Provost for Planning and Budgeting, UWMC Administration and the Treasury Office.

Attachment
Summary Project Budget

**UNIVERSITY OF WASHINGTON
CAPITAL PROJECTS OFFICE - SUMMARY PROJECT BUDGET
ALTERNATIVE PROCUREMENT (GC/CM)**

PROJECT: UWMC Expansion Phase II: Montlake Tower

Project Number: 204110

ESTIMATED DATE OF COMPLETION: May 2017

<u>Project Budget</u>	<u>Total Escalated Cost</u>	<u>% of TPC*</u>
Pre-Schematic Design Services	\$ 820,000	0.4%
A/E Basic Design Services	\$ 9,156,000	4.9%
Extra Services	\$ 4,035,000	2.2%
Other Services	\$ 2,229,000	1.2%
Design Services Contingency	\$ 2,326,000	1.2%
Consultant Services	\$ 18,566,000	10.0%
GC/CM Construction Cost	\$ 90,838,000	48.8%
Other Contracts	\$ -	0.0%
Construction Contingencies	\$ 15,895,000	8.5%
Sales Tax	\$ 10,140,000	5.4%
Construction	\$ 116,873,000	62.7%
Equipment & Furnishings	\$ 43,350,000	23.3%
Other Costs	\$ 2,161,000	1.2%
Project Management	\$ 5,350,000	2.9%
Other	\$ 50,861,000	27.3%
Total Project Cost (TPC)*	\$ 186,300,000	100.0%

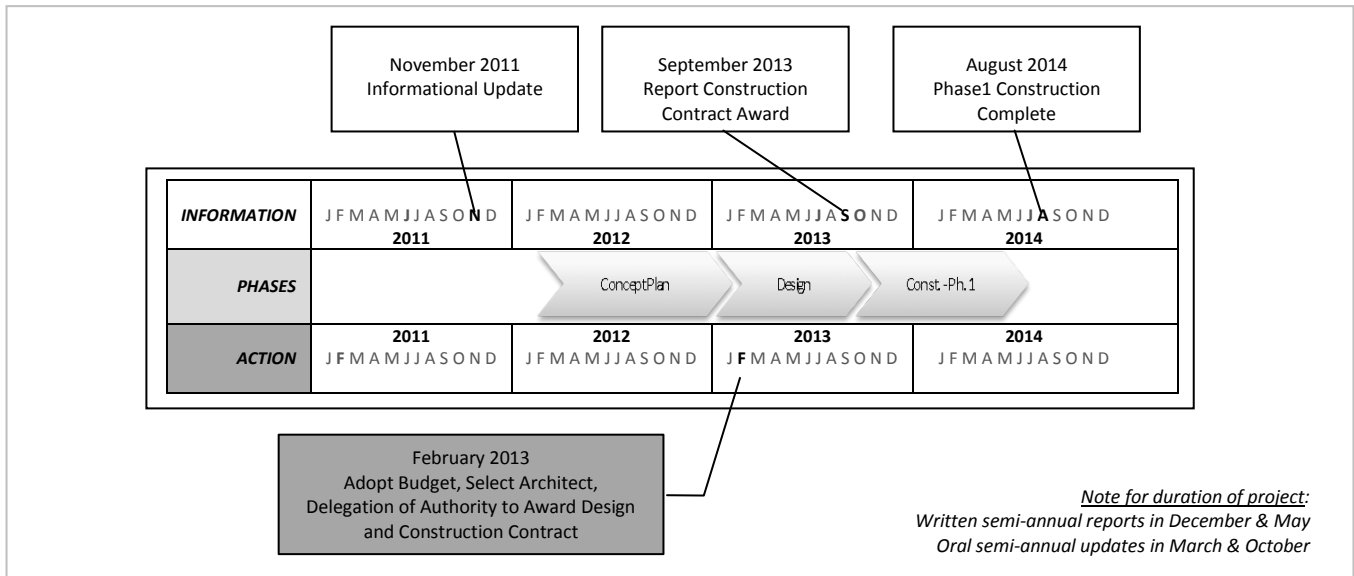
Included in Above:

Escalation at 3% per year through September 2015	\$ 8,080,000	4.5%
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VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Burke-Gilman Trail Corridor – Adopt Project Budget, Select Landscape Architect, and Delegate Authority to Award Design and Construction Contracts



RECOMMENDED ACTIONS

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

- 1) Establish a total project budget of \$6,078,000 for the Burke-Gilman Trail Corridor project;
- 2) Delegate authority to the President to award a design contract to PLACE Studio subject to successful negotiation of an architectural agreement. In the event of an unsuccessful negotiation with PLACE Studio, it is requested that authority be delegated to open negotiations and award a design contract with Berger Partnership, first alternate, and then with Otak, second alternate, if necessary; and
- 3) Delegate authority to the President to award a construction contract, subject to scope, budget, and funding remaining within 10% of the established budget.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Burke-Gilman Trail Corridor – Adopt Project Budget, Select Landscape Architect, and Delegate Authority to Award Design and Construction Contracts (continued p. 2)

BACKGROUND

The Burke-Gilman Trail Corridor (BGTC), constructed in 1978, is a Rails-to-Trails bicycle and pedestrian thoroughfare. From the northeast, it enters campus just south of the Plant Services Building and runs south along the west side of Montlake Boulevard, turning west at the Rainier Vista and follows NE Pacific Street, then NE Cowlitz Road and NE 40th Street until it exits campus west of the Benjamin Hall Building.

The BGTC is widely used by bicycle commuters coming to the University as well as those passing through the campus, and serves as the backbone of the regional bicycling network in the northern part of Seattle. It is also widely used by pedestrians moving to, within and across the University campus. These multiple uses and interfaces between the campus community and the BGTC create conflicts and safety issues that need to be addressed for effective pedestrian and bicycle movement on and around the trail. The number of users has far exceeded the initial projections. Recent user counts have demonstrated that the BGTC, as it passes through campus, has the highest combined bicycle and pedestrian volume of any shared use path in the state.

The consequences of the current overcapacity of the BGTC are twofold, 1) there are significant safety issues resulting from overcrowding and user conflicts; and 2) there is a bottleneck that occurs in the vicinity of the upper campus bridge connection to the Magnuson Health Sciences Center complex that limits the ability of the corridor to accommodate additional users now and in the future. Other safety issues are related to inadequate lighting, poor management of crossing movements, outdated roadway crossing designs, insufficient sight lines, and a lack of ADA access features.

PROJECT SCOPE

This project will develop design and construction documents for the entire length of the University-owned portion of the BGTC, and construct Phase 1. The Phase 1 “Campus” Reach Improvements will improve the BGTC from a point just west of the Rainier Vista to the east side of the 15th Avenue NE intersection. Design and construction documents will be developed consistent with Federal Highway Administration standards, as appropriate and will be developed in context with the other developments in the vicinity. It is anticipated that actual construction projects to improve the BGTC will be accomplished in phases, as funding allows. Initial

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Burke-Gilman Trail Corridor – Adopt Project Budget, Select Landscape Architect, and Delegate Authority to Award Design and Construction Contracts (continued p. 3)

estimates indicate a total project cost of \$15-16M, in today's dollars (non-escalated), for the University-owned portion of the BGTC.

CONSULTANT SELCTION

In November 2012, the Capital Projects Office advertised for firms interested in providing architectural services. Four firms responded to the Request for Qualifications for this project, and on December 21, 2012 a subcommittee of the Architectural Commission interviewed the firms of Berger Partnership, MacLeod Reckord, OTAK, and PLACE Studio.

It is the Architectural Commission's Subcommittee recommendation that PLACE Studio be appointed as architect for this project. The Architectural Commission is charged with identifying the most qualified firm, as well as one or two alternate qualified firms, if any, ensuring that negotiations can continue in a timely manner. The alternates chosen were The Berger Partnership followed by OTAK.

PLACE Studio is dedicated to design excellence and innovative ecological practices, from intimate landscapes to large scale urban development and master planning efforts throughout North and South America, Europe, the Middle East, and Asia. PLACE Studio is located in Portland, Oregon. Recent local projects include the Burke-Gilman Trail Corridor Design Concept Plan, UW Infrastructure Visioning Task Force, Prairie Line Trail – UWT Station, and the Prairie Line Trail – City of Tacoma.

SCHEDULE

Predesign (Concept Plan)	December 2011 - November 2012
Consultant Selection	November 2012 - December 2012
Design – Phase 1	January 2013 - June 2013
Design – Remaining Phases	January 2013 - September 2013
Construction – Phase 1	September 2013 - August 2014

The schedule for future construction phases is dependent upon available funding.

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

Burke-Gilman Trail Corridor – Adopt Project Budget, Select Landscape Architect, and Delegate Authority to Award Design and Construction Contracts (continued p. 4)

PROJECT BUDGET AND FUNDING

The proposed project budget is \$6,078, 000. Funding is provided by Transportation Services and the Puget Sound Regional Council (PSRC). Funding from the PSRC is contingent upon a construction contract being awarded by September 2013. No University debt funding will be used in the project. No donor funding is being contemplated nor are any naming opportunities envisioned.

Funding Sources	
Transportation Services Design	\$1,500,000
Transportation Services, Construction Phase 1	\$1,552,103
Puget Sound Regional Council	<u>\$3,026,311</u>
Total	\$6,078,414

Attachments

1. Summary Project Budget
2. Site Vicinity Map

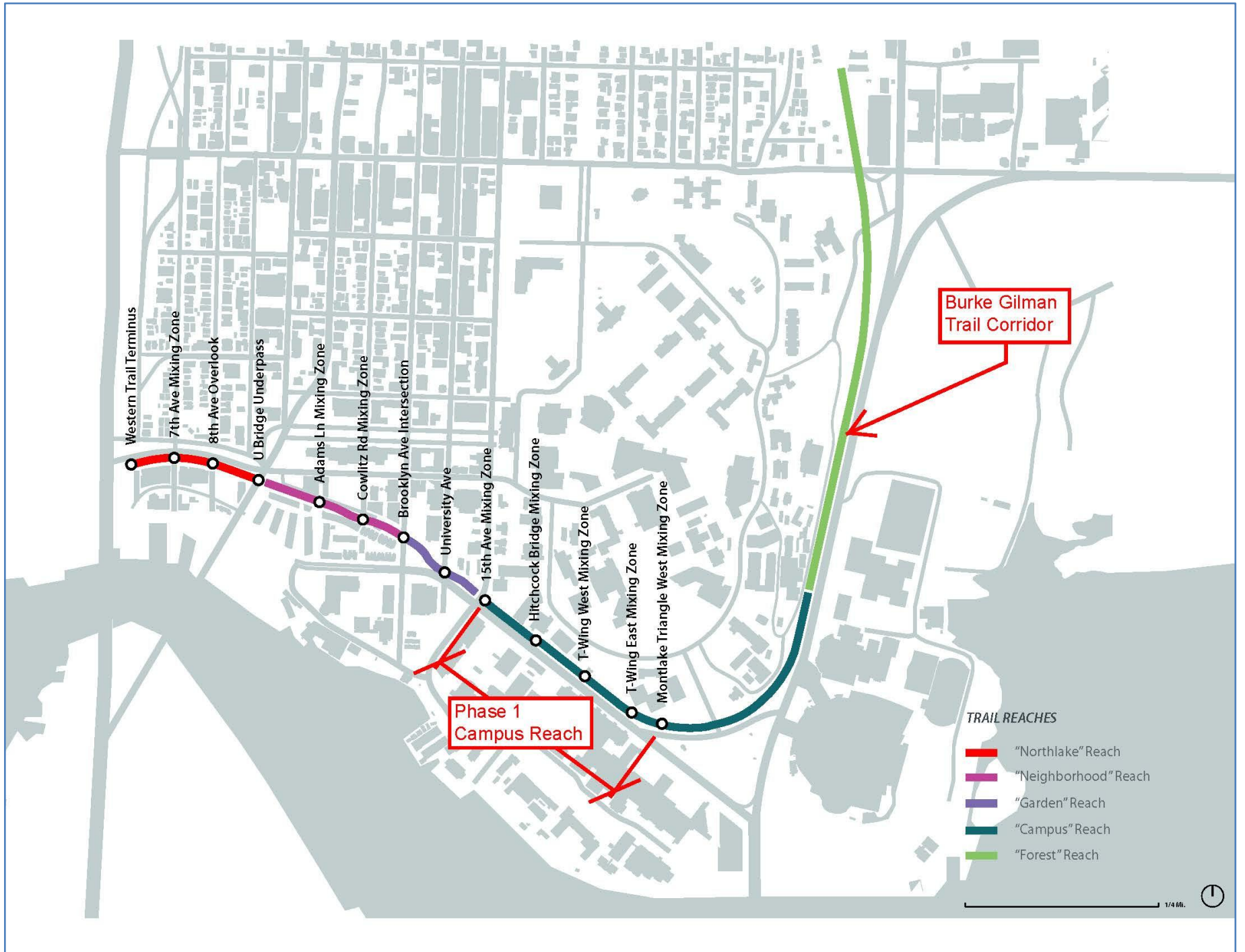
**UNIVERSITY OF WASHINGTON
CAPITAL PROJECTS OFFICE - SUMMARY PROJECT BUDGET**

PROJECT: Burke Gilman Trail

Project Number: 203801

ESTIMATED DATE OF COMPLETION: August 2014

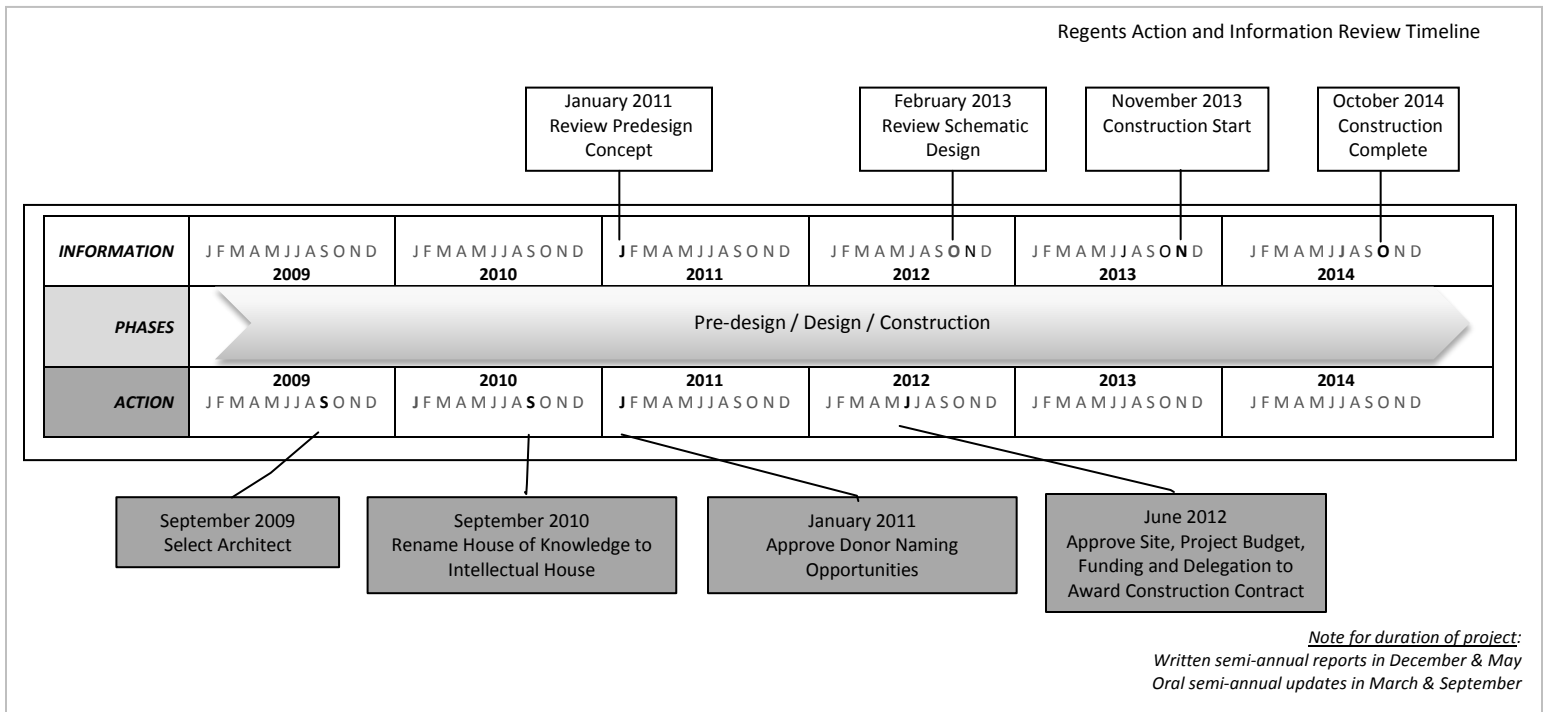
<u>Project Budget</u>	<u>Total Escalated Cost</u>	<u>% of TPC*</u>
Pre-Schematic Design Services	\$ 241,000	4.0%
A/E Basic Design Services	\$ 729,000	12.0%
Extra Services	\$ 282,000	4.6%
Other Services	\$ 50,000	0.8%
Design Services Contingency	\$ 120,000	2.0%
Consultant Services	\$ 1,422,000	23.4%
Construction Base Contract Cost	\$ 3,279,000	53.9%
Other Contracts	\$ -	0.0%
Construction Contingencies	\$ 410,000	6.7%
Sales Tax	\$ 350,000	5.8%
Construction	\$ 4,039,000	66.5%
Equipment & Furnishings	\$ -	0.0%
Other Costs	\$ 158,000	2.6%
Project Management	\$ 459,000	7.6%
Other	\$ 617,000	10.2%
Total Project Cost (TPC)*	\$ 6,078,000	100.0%
 <u>Included in Above:</u>		
Escalation at 3% per year through February 2014	\$ 177,000	3.0%



VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

wə́təbʔaltx^w (Intellectual House) Phase I – Review Schematic Design



INFORMATION

This project update is a design presentation of the wə́təbʔaltx^w (Intellectual House) project for information only.

BACKGROUND

The wə́təbʔaltx^w (phonetic pronunciation wah-sheb-altuh) project is a project 37 years in the making that grows out of a long and increasingly active partnership between the University and the region’s tribal nations. For decades, community members have sought to create a home away from home for Native American students; a place that will enable students to maintain strong ties to family and culture while helping them to successfully accomplish their educational goals at the University.

PROJECT DESCRIPTION

The wə́təbʔaltx^w project is proposed as two phases. Phase I will provide a multiservice learning and gathering space for Native American students, faculty, and staff as well as provide the opportunity for various cultures and communities

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

wə́təbʔaltx^w (Intellectual House) Phase I – Review Schematic Design (continued p. 2)

to come together in a supporting and welcoming educational environment to share their knowledge and cultures with one another. Phase I includes a one-story Gathering Building of approximately 8,400 square feet, plus an outdoor gathering space. The outdoor area site design will include a gathering space for up to 150 people, a ceremonial space, cooking area, teaching area, Native arts exhibit area, traditional use plants and medicine garden, basket plants/bio-swale garden, drop-off and welcome area, elder service and bike parking.

The wə́təbʔaltx^w project will be designed to be reminiscent of longhouse-style traditions, and constructed in a manner consistent with the environmental awareness and sensitivity of the indigenous peoples of the Northwest. It will provide a culturally responsive learning environment for students, faculty, and staff, and it will service programs that promote and support the academic success of all Native American students. It will service the entire community through the dissemination of knowledge of the indigenous peoples of the Pacific Northwest and programs promoting the value of cultural diversity and respect for all cultures.

The future planned Phase II is dependent upon private donor funds. The donor naming opportunity plan was approved by the Board of Regents in January 2011. Phase II will construct a one-story Teaching and Learning Building with student programming, multi-purpose meeting spaces, an arts lab and an elders lounge. This building will also be approximately 8,400 gross square feet. Site improvements between the buildings will complete the project.

SCHEDULE

Phase I is planned to be open for use at the start of Winter Quarter 2015.

Architect Selection	September 2009
Predesign	October 2009 – May 2012
Design	June 2012 – August 2013
Bidding/Award	September 2013 – October 2013
Construction	November 2013 – October 2014
Occupancy	December 2014

VII. STANDING COMMITTEES

B. Finance, Audit and Facilities Committee

wəʔəbʔaltx^w (Intellectual House) Phase I – Review Schematic Design (continued p. 3)

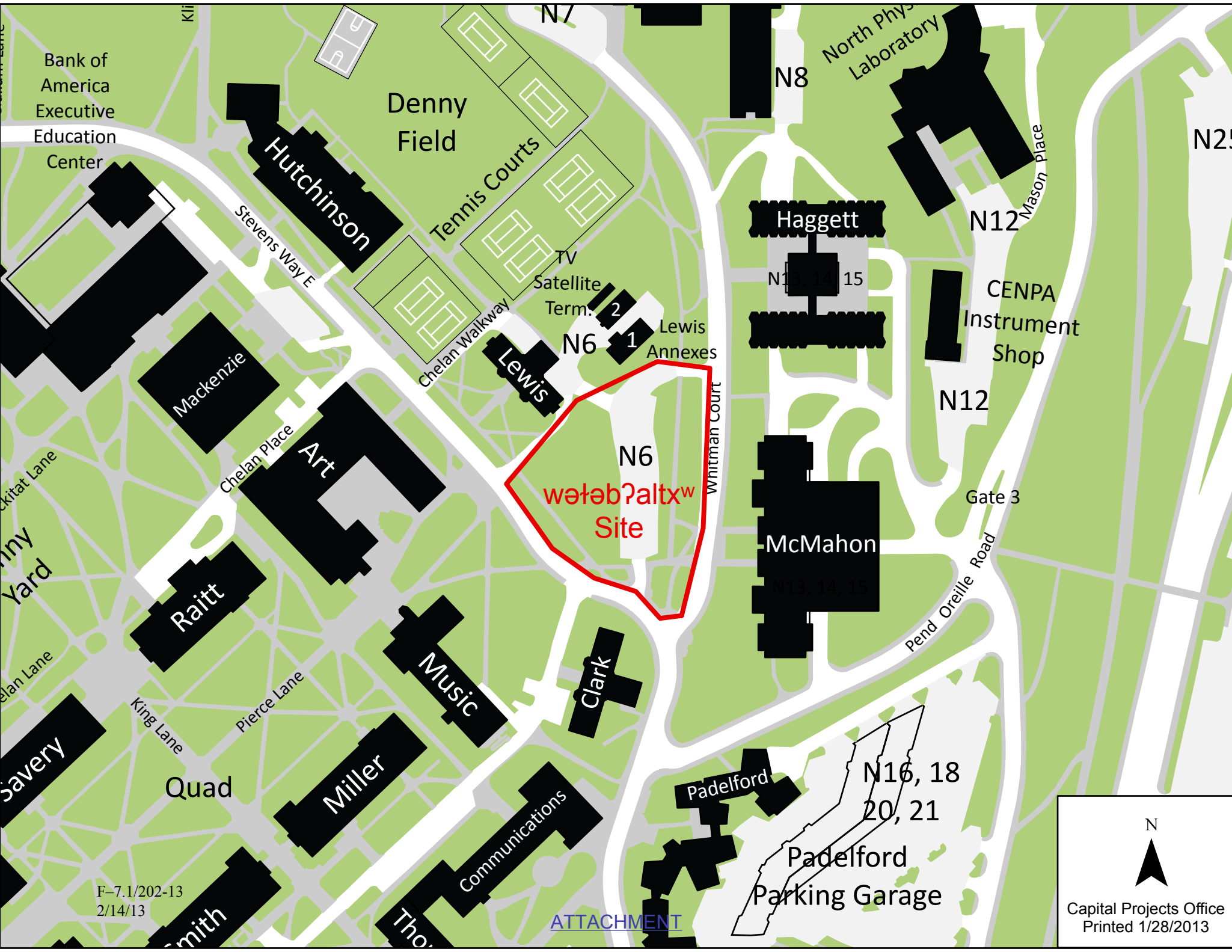
PROJECT BUDGET AND FUNDING

The project budget is \$5.853 million. Funding is from a combination of donor, State, and Central Funding. No University debt funding is used in the project.

PREVIOUS ACTIONS

September 2009	House of Knowledge architect appointment approved
September 2010	House of Knowledge renamed wəʔəbʔaltx ^w (Intellectual House)
January 2011	Approve Donor Naming Opportunities Plan and Review the Predesign Concept
June 2012	Approve Site, Budget, Funding, and Delegate Construction Contract Award

Attachment
Site Vicinity Map



Bank of America Executive Education Center

Denny Field

North Phys Laboratory

Hutchinson

Tennis Courts

Haggett

N12

Mackenzie

TV Satellite Term. 2 1 Lewis Annexes

CENPA Instrument Shop

Art

Lewis

N12

N6 Site

McMahon

Gate 3

Raitt

Music

Clark

Pend Oreille Road

Savery

Miller

Padelford

N16, 18 20, 21

Quad

Communications

Padelford Parking Garage

Smith

Tho

F-7.1/202-13
2/14/13

ATTACHMENT

N

Capital Projects Office
Printed 1/28/2013

wəʔəbʔaltx^W
(Intellectual House)

Board of Regents Update
February 14, 2013

Mission

To provide a multi-service learning and gathering space for Native American students, faculty and staff, and others of various cultures and communities to come together in a supporting and welcoming educational environment to share their knowledge and their cultures with one another.

Goals

- To make Native people “visible” on the UW campus.
- To offer a meeting place for UW Native American students, faculty and staff.
- To visibly manifest and symbolize the importance of Native traditions in the institutional culture.
- To share knowledge of Northwest indigenous people within the UW community and among the Tribes in the area, and the broader community.
- To enhance recruitment and retention of Native students, faculty and staff.
- To serve Tribes with resources and access to the University community.
- To provide appropriate learning spaces for various UW courses and programs.
- To edify the community with respect to cultures and values of indigenous people.
- To enhance the campus experience all students, faculty, staff and visitors.

Project Timeline

- Project Initiation: 40 Year Vision
- First Tribal Summit: 2007
- Architects Selected: September 2009
- Predesign Completed: June 2010
- Building Renaming: September 2010
- Naming Opportunities/BOR Update: Jan. 2011
- Additional Predesign: February thru May 2012
- Project Agreement (MOA): August 2012
- Design: August 2012 thru September 2013
- Schematic Design Approval – January 2013
- Construction: 2013 – 2014
- Occupancy: Winter Quarter 2015



Stephanie Bower, Architectural Illustration

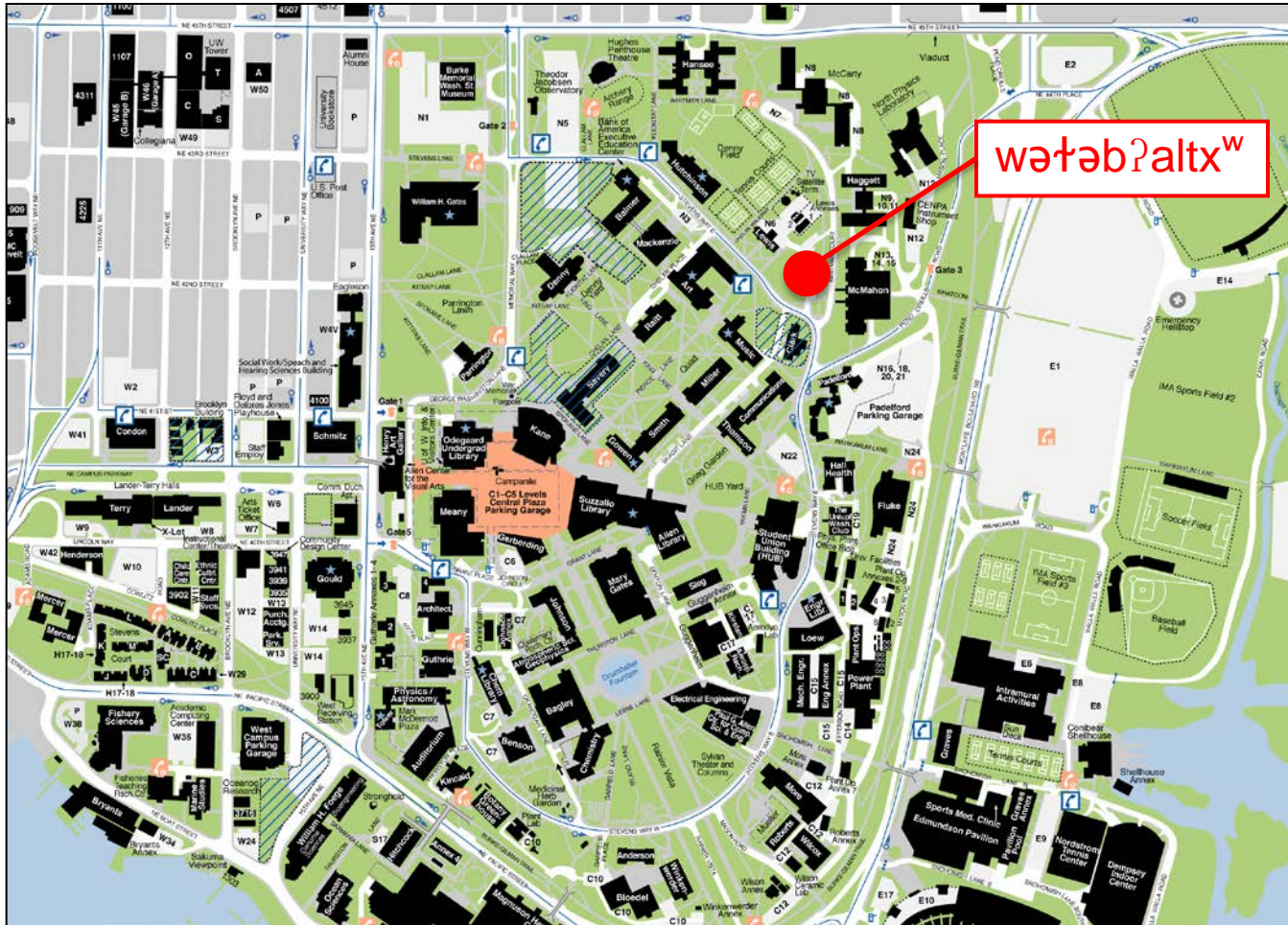
Key Design Elements

- Coast Salish Architectural Style
- Contemporary expression of “longhouse”
- Village concept with two buildings and a central courtyard
- Outdoor teaching and gathering spaces
- Gathering hall, teaching and learning building
- Water
- Honor the history of native people on the site



Stephanie Bower, Architectural Illustration

Campus Location



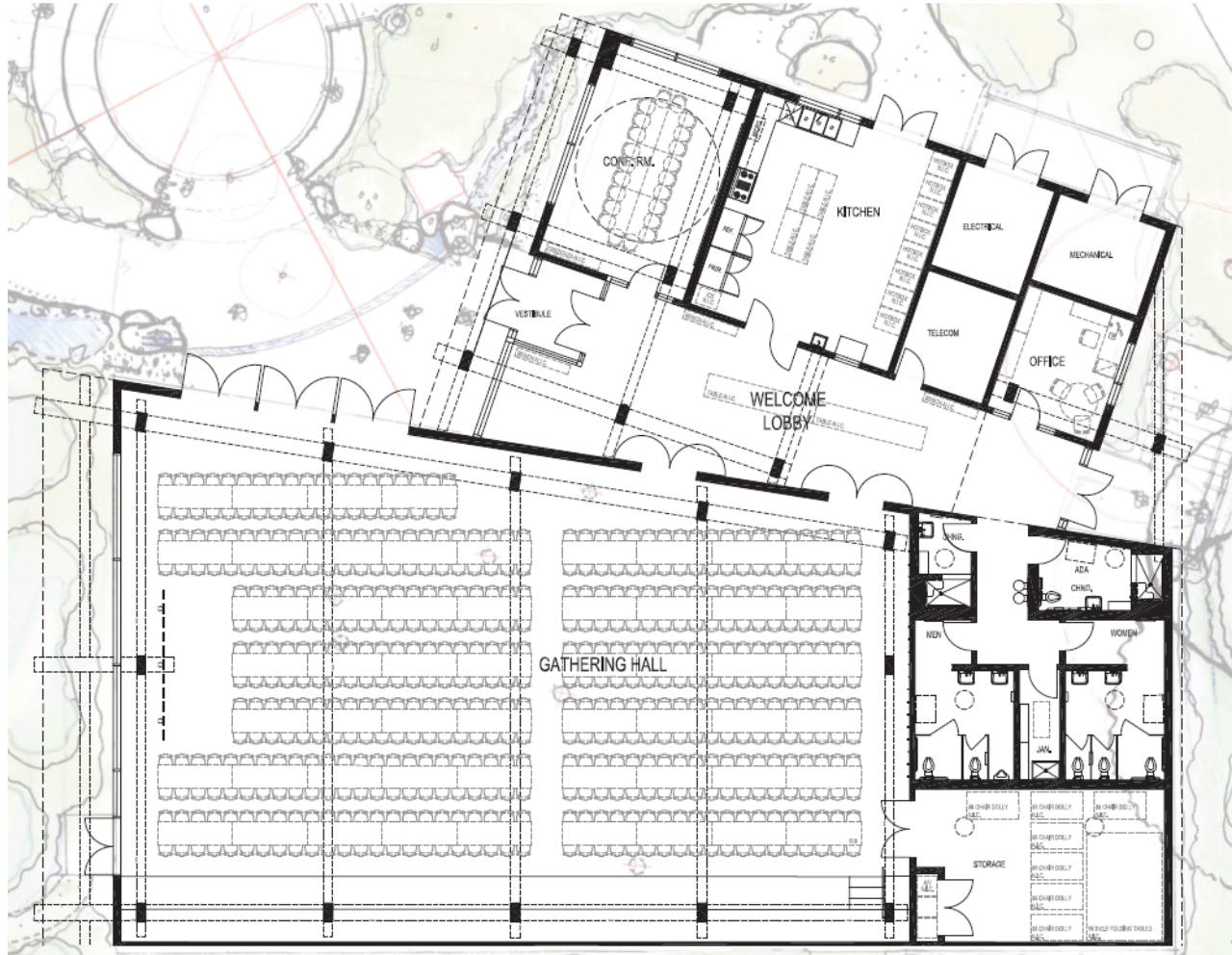
Proposed Site Plan – Phase 1



Proposed Site Plan - Enlarged



Gathering Building Floor Plan



Gathering Building Elevations - 1



WEST ELEVATION



SOUTH ELEVATION

Gathering Building Elevations - 2



EAST ELEVATION

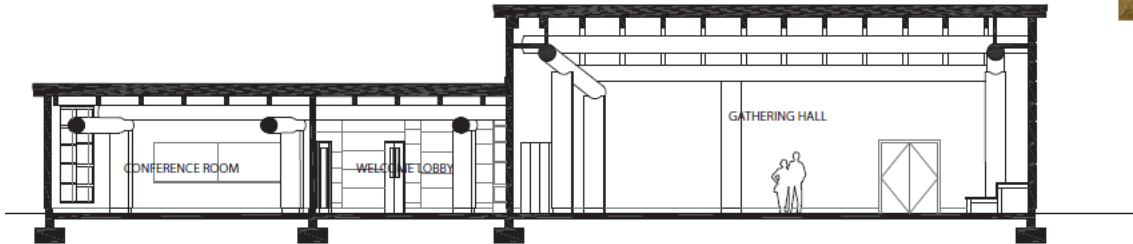


NORTH ELEVATION

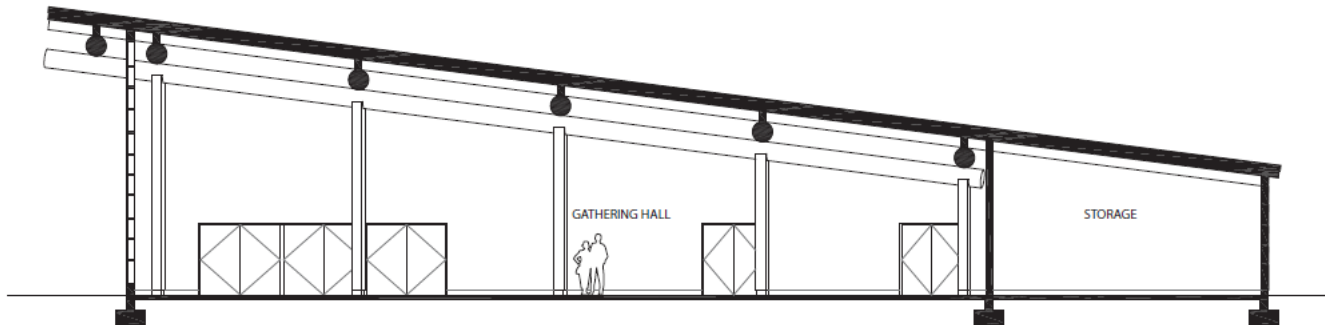
Building Sections



GATHERING HALL CROSS SECTION



GATHERING HALL CROSS SECTION



GATHERING HALL LONGITUDINAL SECTION



Gathering Building Materials



VII. STANDING COMMITTEES

A. Academic and Student Affairs

in Joint Session with

B. Finance, Audit and Facilities Committee

Budget Update

There will be an oral report for information only.

**UNIVERSITY OF WASHINGTON
BOARD OF REGENTS**

**MEMORIAL TO THE UNITED STATES SENATE
IN SUPPORT OF THE CONFIRMATION OF SALLY JEWELL
AS SECRETARY OF THE INTERIOR**

WHEREAS, Sally Jewell has served with distinction for two terms—comprising almost twelve years—as an esteemed member of the University of Washington Board of Regents, and is a well-respected colleague known for her intelligence and integrity; and

WHEREAS, having worked closely with her on a range of challenging issues over many years, and having observed her keen intellect, steadfast integrity, thoughtfulness, clear-headedness, fairness, independence of mind in seeking to advance the public interest, practicality, decisiveness, and collegiality;

NOW, THEREFORE, BE IT RESOLVED: That the members of this Board unanimously and enthusiastically give testimony in support of the nomination of Sally Jewell to the position of Secretary of the Interior;

That the members of this Board respectfully urge a swift confirmation;

and

That the Honorable U.S. Senators Patty Murray and Maria Cantwell are respectfully requested to deliver this Memorial to the Senate and such of its bodies and records as they may deem appropriate.

Adopted by the Board of Regents in open public meeting this 14th day of February, 2013.

Joanne R. Harrell
Chair, Board of Regents

Attest:

Michael K. Young
President, University of Washington