

November 20, 2025

Via Certified Mail

The Honorable Robert F. Kennedy, Jr.
Secretary
U.S. Department of Health & Human Services
200 Independence Avenue, S.W.
Washington, D.C. 20201

**Re: University of Washington Institutional Animal Care and Use
Committee**

Dear Secretary Kennedy:

I am writing on behalf of People for the Ethical Treatment of Animals, Inc. (PETA) to request that your Department investigate and take swift and meaningful enforcement action against the University of Washington, its Institutional Animal Care and Use Committee, and its Institutional Official (collectively the “Institution”) for repeatedly operating in violation of the Health Research Extension Act (HREA), 42 U.S.C. § 289d(b)(2), and the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (PHS Policy).

As detailed in the attached Appendix, in at least twenty-nine months between January 2020 and September 2025, the UW IACUC was not properly constituted because its designated non-scientist and unaffiliated members did not qualify for those designations. Yet, the Institution submitted Animal Welfare Assurances (“Assurances”) and grant applications to the National Institutes of Health (NIH) falsely claiming proper composition of the UW IACUC, procured millions of dollars in awards from NIH in reliance on these misrepresentations, and conducted experiments on live vertebrate animals, including at the Washington National Primate Research Center, without approval from a properly constituted IACUC.

The Institution’s misconduct is especially troubling since it boasts that it receives more federal research dollars than any other U.S. public university, including \$1.38 billion in total federal grant and contract awards in 2025 alone. *See 2025 Financial Report*, UNIV. WASH. 23 (2025), <https://finance.uw.edu/uwar/annualreport2025.pdf>; *Research at the UW*, UNIV. WASH., <https://research.washington.edu/>. Moreover, UW’s failure to maintain a properly constituted IACUC over the past several years likely explains why it repeatedly refused to fully identify all its members. It took PETA years of extensive state and federal litigation, including four separate lawsuits and a

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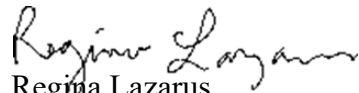
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demand letter to the Washington State Attorney General's Office, to pry the names of all IACUC members out of UW.

PETA specifically requests that this letter **not** be sent to the Office of Laboratory Animal Welfare (OLAW) because OLAW has repeatedly failed to take any meaningful action on any of PETA's complaints over the years. We are available at your convenience to provide additional information or assist in any way during your investigation.

Thank you for your attention to this important matter.

Sincerely,



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APPENDIX

I. THE ORIGINS OF IACUCS UNDERSCORE THEIR IMPORTANCE.

Federal law, including the HREA, requires that almost every facility conducting experiments on animals maintain an internal oversight committee known as an Institutional Animal Care and Use Committee (IACUC). IACUCs are recognized as a “key operational hub in ensuring that research, teaching, and testing involving animals is conducted in a manner that is both humane and consistent with expectations of regulatory and accrediting agencies, as well as with institutional policies.” *Preface*, THE IACUC HANDBOOK (Mark A. Suckow et al. eds., 4th ed. 2025). The significance of its role is reflected in its origins. In 1981, PETA exposed the abysmal conditions for monkeys used in experimentation at the Institute for Behavioral Research in Silver Spring, Maryland, which resulted in Maryland’s prosecution of the lead experimenter for cruelty to animals and the confiscation of animals from the laboratory. Congress responded in 1985 by amending the Animal Welfare Act (AWA) to impose new requirements on facilities conducting experiments on animals, including that such facilities establish a committee, commonly known as an IACUC.

That same year, Congress passed the HREA, which likewise required facilities experimenting on animals to establish an IACUC. Legislators expressed their intentions for the role of an IACUC, including as follows: “The consultation inherent in the review of the care and treatment of animals by animal care committees is essential. Within such a framework, the public can have confidence that the proper sensitivity, whatever the sensitivity may be, to the care and treatment of animals will occur.” H.R. Conf. Rep. No. 99-309, at 86 (1985). Among an IACUC’s responsibilities—including those of the UW IACUC—are reviewing proposed experimental protocols involving the use of animals and approving, rejecting, or requiring modification to such protocols before any experiments can begin or significant changes to approved experiments can be implemented. *See* 42 U.S.C. § 289d(b); *PHS Policy*, NIH, § IV(B)(6)–(7) (2015).

II. IN AT LEAST TWENTY-NINE MONTHS SINCE 2020, UW DID NOT HAVE A PROPERLY CONSTITUTED IACUC.

A. IACUC Composition Requirements

The HREA and the PHS Policy stipulate the minimum requirements for proper composition of UW’s IACUC. Of relevance here, the HREA requires that one individual have no association with the entity for which the committee is established. 42 U.S.C. § 289d(b)(2). The PHS Policy requires

one member whose primary concerns are in a nonscientific area (e.g., ethicist, lawyer, and member of the clergy); and . . . one individual who is not affiliated with the institution *in any way* other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution.

PHS Policy, supra § IV(A)(3)(b)(3)–(4) (emphasis added). In its *Guidance on Qualifications of IACUC Nonscientific and Nonaffiliated Members* [hereinafter “NIH Guidance”], the NIH described the qualifications of nonscientific and unaffiliated members under the PHS Policy as follows (emphasis added):

It is the intent of the PHS Policy to have a diversity of perspectives in the membership of the committee. In evaluating the qualifications of an individual to serve as a nonscientific member, the CEO should consider appointing those with a *naïve attitude with regard to science and scientific activities*. A person without scientific training meets the Policy’s intent, such as an ethicist, lawyer, or member of the clergy, as the Policy gives as examples. . . .

To meet the intent of the Policy, *the nonaffiliated member must represent the general community interests in the proper care and use of animals*. The nonaffiliated member must not be (1) a laboratory animal user or former user, (2) affiliated with the institution, or (3) an immediate family member of an individual affiliated with the institution. Immediate family includes parent, spouse, child, and sibling. In evaluating the qualifications of an individual to serve as a nonaffiliated member, the CEO should confirm the appointee has *no discernible ties or ongoing affiliation with the institution*. Regarding service of former employees or students as nonaffiliated members, the appointing official must be assured that the person is not in any way obligated to the institution. Real or perceived conflicts of interest must be avoided to ensure the IACUC’s and the institution’s integrity. Appointment of an individual who is unambiguously unaffiliated is the most effective way to fulfill the intent of the Policy.

B. UW’s IACUC Composition

Via appointment letters, UW designated specific individuals as non-scientists or unaffiliated members to fill the special designation categories required under the HREA and/or PHS Policy. Table 1 identifies the individuals whom the UW IACUC designated as non-scientist or unaffiliated members for the particular months and years at issue in this complaint (collectively the “period of noncompliance”). None of the designated individuals qualify for their respective special designation.¹

¹ The other committee members (as identified in the meeting minutes) are not discussed herein because UW did not designate them to fulfill the non-scientist or unaffiliated categories of membership; moreover, other members of the IACUC are affiliated with UW as students or employees who work in some capacity in animal experimentation.

Year	Month	UW IACUC's Designated Non-Scientist Member(s)	UW IACUC's Designated Unaffiliated Member(s)
2025	January – March June	Bob Ennes Ken Gordon	Michael Krasik
	July - September	Bob Ennes Ken Gordon	(Michael Krasik) ²
2024	March - November	Bob Ennes Ken Gordon	Michael Krasik
2021	January	Ken Gordon	Michael Krasik Jacqui Ague (formerly Bales)
2020	January – August October - December	Ken Gordon	Michael Krasik Scott Haskell Jacqui Ague (formerly Bales)
	September	Ken Gordon	Michael Krasik Scott Haskell

Table 1. Designated members in the UW IACUC during the period of noncompliance.³

a. Bob Ennes is not a “non-scientist.”

UW improperly designated Mr. Ennes as a non-scientist during the more recent months of the period of noncompliance. Ex. 1 (Ennes Appointment Letter, Mar. 1, 2024). Mr. Ennes is a member of the board of the Northwest Association for Biomedical Research (NWABR), an industry group whose mission is to promote biomedical sciences, including experimentation on animals. *Bob Ennes*, NWABR, <https://www.nwabr.org/about/our-board/bob-ennes>; *Our Areas of Emphasis*, NWABR, <https://www.nwabr.org/about/our-areas-emphasis> (“By promoting the public’s trust in biomedical research, NWABR aims to increase public understanding, support and participation in the research process . . . NWABR is helping to demystify the scientific process and contribute to an improved community understanding of science . . . NWABR hosts conferences that focus on the ethical uses of animals in research . . .”). Substantial donations from UW support NWABR. *Our Members*, NWABR, <https://www.nwabr.org/member-center/our-members> (highlighting UW as a “Platinum Member”).

The NWABR website describes his extensive career in positions that have been inextricably intertwined with science. Since 2010, he has served in leadership positions (e.g., Interim Director and then Director of Finance and Administration for Health Science Administration), overseeing branches of UW, including the Washington National Primate Research Center and UW Office of Animal Welfare. He apparently recently retired, but previously, beginning in 2008, had been the

² The most current appointment letter PETA has obtained for Michael Krasik expired on June 30, 2025. Presumably, the UW IACUC extended his unaffiliated member designation past June 30, 2025, since he is listed as a member present in the IACUC meeting minutes in July, August, and September 2025. *See IACUC Meeting Minutes*, UNIV. OF WASH., <https://sites.uw.edu/oawrss/iacuc/iacuc-meeting-minutes/> (under “2025,” click September 18th, August 21st, and July 17th).

³ The UW IACUC designated Marco Kronen as a non-scientist from February 28, 2023, until February 28, 2025. However, he was not listed as a member (present or absent) in the IACUC meeting minutes in any of the months in the period of noncompliance.

Director of Health Sciences Academic Services and Facilities; his responsibilities included “management of nine service groups providing various services in the Health Sciences community at the UW.” Additionally, he was “in charge of overall Facilities Management at the UW Health Sciences Center, Foege Building, and South Campus Center. This includes approximately 3.7 million feet of mostly research lab space.” He served on numerous committees, including as the Chair of the UW Infectious Waste Committee and Group 4 Health & Safety Committee. He is a former assistant director of the UW Office of Animal Welfare. It strains credulity that he harbors a “naïve attitude with regard to science and scientific activities” while serving as the non-scientist—as the NIH Guidance on the PHS Policy explains is required of the designated nonscientific member—and that the IO, Sally Thompson-Iritani (a fellow NWABR board member and someone who has worked with Mr. Ennes at UW since 2010), would believe that to be the case in assigning this designation to Mr. Ennes. *See* Ex. 1 (Ennes Appointment Letter, Mar. 1, 2024).

b. Ken Gordon is not a “non-scientist.”

UW improperly designated Mr. Gordon as a non-scientist throughout the period of noncompliance. Ex. 2. (Gordon Appointment Letter, Jan. 4, 2019); Ex. 3 (Gordon Appointment Letter, Dec. 9, 2020); Ex. 4 (Gordon Appointment Letter, Dec. 1, 2022); Ex. 5 (Gordon Appointment Letter, Dec. 3, 2024). From 2014 until November 2023, Mr. Gordon served as the executive director of NWABR, described above. *Ken’s Farewell to the NWABR Community*, NWABR (Nov. 2023), <https://www.nwabr.org/node/9>. Since October 2023, he has been the chief executive officer of the Washington State Veterinary Medical Association (WSVMA), a veterinary industry group whose leadership team includes other UW personnel. *Our 2025-26 Board of Directors and Leaders*, WSVMA, <https://wsvma.org/leadership/>. For example, Dr. Thompson-Iritani is WSVMA’s Board President. *Id.* Like Mr. Ennes, Mr. Gordon’s leadership positions have been inextricably intertwined with science and support for experimentation on animals. His designation as a non-scientist contravenes the intent of the PHS Policy’s requirement, as expressed in NIH Guidance, that the non-scientist be naïve toward and not employed in a position focused on science.

c. Michael Krasik is not unaffiliated with UW.

UW improperly designated Mr. Krasik as an unaffiliated member throughout the period of noncompliance. Ex. 6 (Krasik Appointment Letter, June 17, 2019); Ex. 7 (Krasik Appointment Letter, June 1, 2021); Ex. 8 (Krasik Appointment Letter, June 1, 2023). Mr. Krasik and his wife, Nancy Geiger, have made several financial contributions to UW programs. *See, e.g.*, Ex. 9, at 16 (The Jackson Report, 2019); Ex. 10, at 8 (2020-2021 Impact Report, 2021); Ex. 11, at 9 (2021-2022 Impact Report, 2022). Mrs. Geiger is a former UW employee and served (until March 2020) as the Director & Group Lead of Finance and Operations at VillageReach. Nancy Geiger, LINKEDIN, <https://www.linkedin.com/in/nancy-geiger-94870a1/>. During her tenure, VillageReach collaborated with UW as a program partner. *See, e.g.*, Larissa P.G. Petroianu et al., *A Light-Touch Routing Optimization Tool (RoOT) for Vaccine and Medical Supply Distribution in Mozambique*, 28 INT’L TRANSACTIONS IN OPERATIONAL RSCH. 2334, 2334–35 (2021), <https://www.villagereach.org/wp-content/uploads/2024/11/light-touch-root-ITOR-28-2334.pdf>

(describing joint work between VillageReach and UW). Their son, Ari Krasik, is a UW alumnus. Ari Krasik, LINKEDIN, <https://www.linkedin.com/in/ari-krasik/>.

The HREA requires that the unaffiliated member have “no association with” the facility. 42 U.S.C. § 289d(b)(2). The PHS Policy uses similar language—the unaffiliated member is someone who is “not affiliated with the institution *in any way* other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution.” *PHS Policy, supra* § IV(A)(3)(b)(4) (emphasis added). NIH Guidance describes the unaffiliated member as having “no discernible ties or ongoing affiliation with the institution.” Mr. Krasik cannot qualify as the designated unaffiliated member considering his wife’s affiliation with UW and their donations that evidence a personal stake in and financial commitment to the advancement of UW. The donations establish a tangible link, suggesting not only past support—which occurred during his IACUC membership—but also a likelihood of ongoing affiliation through investment in the University’s success.

d. Jacqui Bales/Jacqui Ague was not unaffiliated with UW.

UW improperly designated Ms. Ague (formerly Bales) as the unaffiliated member for twelve months during the period of noncompliance. Ex. 12 (Bales Appointment Letter, Sept. 5, 2019). She is a former UW employee who held positions at the University from 2012 to 2016. Jacqui (Jax) Ague, LINKEDIN, https://www.linkedin.com/in/aguej?trk=people-guest_people_search-card. Her LinkedIn profile explains that, since 2018, she has served as the EHS Manager at Seattle Children’s Healthcare System and has held a similar title since 2017 at the Center for Infectious Disease Research. After leaving UW’s employment, she served as a member of the Seattle Children’s Healthcare System’s IACUC, which collaborated with UW and sent experimental protocols to UW’s IACUC. *See External Protocol*, Univ. of Wash., <https://www.washington.edu/research/tools/sage/guide/egc1-forms/non-fiscal-compliance-page/animal-use/#external> (listing Seattle Children’s Research Institute as an institution choice when entering external protocols). The interactions decisively counter any suggestion of non-affiliation. The collaboration between the two facilities evidences ongoing ties contrary to the intent of the PHS Policy. Furthermore, Ms. Ague’s long career in animal experimentation fundamentally undermines any claim that she represents the general community interest in animal welfare, which NIH Guidance explains is the intent of the unaffiliated designated member.

e. Scott Haskell was not unaffiliated with UW.

UW improperly designated Mr. Haskell as the unaffiliated member during 2020 in the period of noncompliance. Ex. 13 (Haskell Appointment Letter, Apr. 9, 2019). Mr. Haskell is a Doctor of Veterinary Medicine who, beginning in 2016, served as Washington’s assistant state veterinarian. Glenn Vaagen, *Haskell WSDA Assistant Vet*, PAC. NW. AG NETWORK (Aug. 10, 2016), <https://pnwag.net/haskell-wsda-assistant-vet/>. He is a former user of laboratory animals. He experimented on sea urchins as a Ph.D. student. *See Scott Raymond Randolph Haskell, Pathogenic Impacts on the Green Sea Urchin (Strongylocentrotus droebachiensis) in the Gulf of Maine*, UNIV. CAL., at x (2008), <https://www.proquest.com/openview/8f2c2b77abfc307159aae25352fa5b3/1?pq-origsite=gscholar&cbl=18750&diss=y>. He also led a program with a lab-animal component when, from 2005 to 2015, he was the director of the Yuba College Veterinary

Technology Program. *See* Courses Listed, YUBA COLLEGE VETERINARY TECH., <https://yc.yccd.edu/vettech/program/courses-listed/> (listing the following course: VETT 9 Laboratory Animal Medicine (3 units) CSU); Scott Haskell, LINKEDIN, <https://www.linkedin.com/in/scott-rr-haskell-49138424>. At the September 15, 2022, UW IACUC meeting, he referred to having done laboratory work himself. His laboratory work on animals disqualifies him as an unaffiliated member because NIH Guidance expressly states that the unaffiliated member “must not be . . . a laboratory animal user or former user.”

III. UW REPEATEDLY MISREPRESENTED ITS COMPLIANCE WITH IACUC COMPOSITION REQUIREMENTS, IMPROPERLY PROCURED MILLIONS OF DOLLARS IN AWARDS FROM NIH IN RELIANCE ON THOSE MISREPRESENTATIONS, AND CONDUCTED EXPERIMENTS WITHOUT VALID IACUC APPROVAL.

A. UW’s Assurances Contained Misrepresentations Regarding IACUC Composition Compliance.

Like every applicant for a grant involving experimentation on animals, the Institution submitted Assurances confirming compliance with IACUC composition requirements. *See* 42 U.S.C § 289d(c)(1)(A). UW’s Assurances included the following:

a. UW’s False Assurance for the 2020-2024 Period (“2020 Assurance”)

On December 23, 2020, Joe Giffels (then UW’s IO) assured NIH of UW’s humane care and use of animals via signing UW’s Animal Welfare Assurance, D16-00292 (A3464-01), which OLAW approved with an effective period from December 29, 2020, to December 21, 2024. Ex. 14, at 28 (Assurance, Dec. 29, 2020). OLAW relied on the veracity of the following statements, which the IO included in the 2020 Assurance, when approving the Assurance:

- “I, Joe Giffels, as named Institutional Official for animal care and use at University of Washington, provide assurance that this Institution will comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy).”
- “This Institution will comply with all applicable provisions of the Animal Welfare Act and other Federal statutes and regulations relating to animals.”
- “The IACUC consists of at least 5 members, and its membership meets the composition requirements of PHS Policy IV.A.3.b.”

At the time Mr. Giffels signed the Assurance (December 2020), UW’s only designated non-scientist member was Ken Gordon, and the only designated unaffiliated members were Michael Krasik, Jacqui Ague (formerly Bales), and Scott Haskell. *See* Ex. 2 (Gordon Appointment Letter, Jan. 4, 2019); Ex. 6 (Krasik Appointment Letter, June 17, 2019); Ex. 12 (Bales Appointment Letter, Sept. 5, 2019); Ex. 13 (Haskell Appointment Letter, Apr. 9, 2019). None of these

designated individuals satisfied their respective special designation to fulfill a required category of IACUC membership.

b. UW's False Assurance for the 2025-2028 Period ("2025 Assurance")

On June 19, 2025, Sally Thompson-Iritani (UW's IO) assured NIH of UW's humane care and use of animals via signing UW's Animal Welfare Assurance, D16-00292 (A3464-01), which OLAW approved with an effective period from June 20, 2025, to December 31, 2028. Ex. 15, at 25 (Assurance, June 20, 2025).⁴ OLAW relied on the veracity of the following statements, which the IO included in the 2025 Assurance, when approving the Assurance:

- "I, Sally Thompson-Iritani, as named Institutional Official for animal care and use at the University of Washington (UW), provide assurance that this Institution will comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy)."
- "This Institution will comply with all applicable provisions of the Animal Welfare Act and other Federal statutes and regulations relating to animals."
- "The IACUC consists of at least 5 members, and its membership meets the composition requirements of PHS Policy IV.A.3.b."

At the time Dr. Thompson-Iritani signed the Assurance (June 2025), UW's only designated non-scientist members (listed as members in the meeting minutes) were Bob Ennes and Ken Gordon; the only designated unaffiliated member was Michael Krasik. *See* Ex. 1 (Ennes Appointment Letter, Mar. 1, 2024); Ex. 5 (Gordon Appointment Letter, Dec. 3, 2024); Ex. 8 (Krasik Appointment Letter, June 1, 2023). None of these designated individuals satisfied their respective special designation to fulfill a required category of IACUC membership.

B. NIH Awarded UW Millions of Dollars in Grants Based on the Institution's False or Misrepresented Information.

NIH approvals of funding applications UW submitted for activities on vertebrate animals that referenced the 2020 or 2025 Assurances were based on the purported veracity of false statements included in the Assurances regarding compliance with the HREA and PHS Policy IACUC composition requirements, thus negating the validity of the approvals. For example, on January 11, 2021, UW submitted a renewal application (Funding Opportunity Number PAR-20-181) to NIH to receive funding for its Washington National Primate Research Center for the project period from May 1, 2022, to April 30, 2027. Ex. 16, at 1–2 (Grant Application, Jan. 1, 2021) (complete application on file with PETA). The application referenced Animal Welfare Assurance number D16-00292. *Id.* at 343. At the time of submission, UW's only designated non-scientist member was Ken Gordon, and the only designated unaffiliated members were Michael

⁴ There is a gap between the expiration date of the 2020 Assurance and the effective date of the 2025 Assurance. PETA submitted a Freedom of Information Act request asking for documents relating to the intervening period; the responsive documents (if any) are still pending.

Krasik and Jacqui Ague (formerly Bales). *See* Ex. 3 (Gordon Appointment Letter, Dec. 9, 2020); Ex. 6 (Krasik Appointment Letter, June 17, 2019); Ex. 12 (Bales Appointment Letter, Sept. 5, 2019). None of these designated individuals satisfied their respective special designation to fulfill a required category of IACUC membership.

Furthermore, by accepting an NIH grant award, UW consented to adhere to the policy requirements outlined in the NIH Grants Policy Statement (NIHGPS). *See NIHGPS*, NIH (Apr. 2024). Because the terms and conditions of NIH grants, including the following animal welfare requirements set forth in the NIHGPS, are incorporated by reference in all NIH grant awards, UW agreed to the following:

- “No activities with live vertebrate animals may begin and no costs for activities with live vertebrate animals may be charged to NIH if there is not a valid Animal Welfare Assurance and IACUC approval of the activity.” *NIHGPS*, *supra* Part II, § 3.
- “All recipient organizations are required to comply, as applicable, with the regulations (9 CFR, Subpart A) issued by the U.S. Department of Agriculture under the Animal Welfare Act, as amended, 7 U.S.C. 2131 et seq., and other Federal statutes and regulations relating to animals.” *Id.*; *see generally* 9 C.F.R. § 2.31(b) (describing the IACUC composition requirements under the AWA, including that it must be at least a two-member committee and “[a]t least one [member] shall not be affiliated in any way with the facility other than as a member of the Committee, and shall not be a member of the immediate family of a person who is affiliated with the facility. The Secretary [of Agriculture] intends that such person will provide representation for general community interests in the proper care and treatment of animals.”).
- “No costs for activities with live vertebrate animals may be charged to NIH grants if there is not a valid IACUC approval.” *NIHGPS*, *supra* Part II, § 4.1.1.2.

But UW did not adhere to these requirements. Table 2 provides a representative sampling of grants, totaling in excess of \$5.8M from NIH awarding Institutes or Centers (ICs), related to experimentation on vertebrate animals (e.g., canines, non-human primates, mice, zebrafish), awarded to UW during the period of noncompliance. Since an unlawfully constituted IACUC lacks authority to approve protocols, any protocols that the UW IACUC approved during the period of noncompliance would have been invalid. *See generally* Ex. 17 (IACUC Metrics 2020-2021) (providing the number of protocols and amendments that UW IACUC approved during certain months in the period of noncompliance). Experiments that the University undertook pursuant to a protocol approved by an improperly constituted UW IACUC (e.g., Experimental SARS-CoV-2 Vaccine Pilot) were also invalid. Ex. 18 (Experimental SARS-CoV-2 Vaccine Pilot, Apr. 23, 2019) (identifying the IACUC approval date as March 17, 2020); *see* 42 U.S.C. § 289d(b); *PHS Policy*, *supra* § IV(B)(6)-(7). The following list is not exhaustive, and is provided solely to demonstrate the breadth of the animal species involved; PETA asks HHS to broaden its investigation beyond these identified grants.

Project Number	Project Title	Award Notice Date	Project Start Date	Project End Date	Total Cost IC
1R01AR082814-01A1	<i>Expression of Dystrophins with Enhanced Function</i>	01/22/2025	01/22/2025	12/31/2029	\$671,240
1R21AG085133-01A1	<i>Elucidating the Mechanisms by Which Microgliopathy Causes Early-Onset Dementia</i>	09/26/2024	09/30/2024	08/31/2026	\$427,625
1R01EY033731-01A1	<i>IMPDH1 in Photoreceptor Function and Disease</i>	05/20/2024	06/01/2024	02/29/2028	\$412,583
1R56DE028539-01A1	<i>An Integrated Fiber-Microneedle Device to Study and Optimize Immune Responses</i>	09/08/2020	09/08/2020	03/07/2023	\$745,214
1R21EY031768-01	<i>Capacitive Carbon-Nanotube Composite Eye Tracking Sensor for Non-Human Primate Oculomotor Research</i>	07/23/2020	08/01/2020	07/31/2022	\$274,650
1R01HD098713-01A1	<i>Targeted Inhibition of Interleukin-1 Beta to Prevent Preterm Birth</i>	05/11/2020	05/11/2020	04/30/2025	\$775,145
1R61AI149665-01	<i>NextGen Long-Acting and Targeted Combination ART for Children with HIV</i>	04/06/2020	04/06/2020	03/31/2022	\$726,862 \$300,000
1K01MH123258-01	<i>Evaluating Risks of ZIKV Co-Infection in SIV-Infected Macaques</i>	03/13/2020	04/01/2020	03/31/2023	\$139,227
1R01AI146072-01A1	<i>The Role of Lipid-Specific T cells in Mediating</i>	03/06/2020	06/01/2020	05/31/2025	\$834,105

Project Number	Project Title	Award Notice Date	Project Start Date	Project End Date	Total Cost IC
	<i>Protection Against M. Tuberculosis</i>				
1R01EY028282-01A1	<i>The Human Foveal Connectome</i>	01/27/2020	02/01/2020	01/31/2025	\$505,976

Table 2. A sampling of NIH grants awarded to UW during the period of noncompliance.

C. UW's Reports Demonstrate a Pattern of False Reporting.

False statements made by the UW IACUC to the IO in semiannual reports (i.e., reports that OLAW relies on for assurance of compliance with IACUC composition requirements) regarding the acceptability of membership in months during the period of noncompliance demonstrate a pattern of false reporting. For example, the semiannual report dated July 31, 2025—which covered the period from January to June 2025—included the following confirmations: “IACUC Membership and Functions - Was found to be acceptable,” and “Our IACUC is comprised of all required members as well as those with additional expertise for our animal program.” Memo from the UW IACUC to Sally Thompson-Iritani (July 31, 2025), https://bpb-us-e1.wpmucdn.com/sites.uw.edu/dist/d/18358/files/2025/07/IO-Semi-Annual-Report_Jan_June_2025_FINAL_REDACTED.pdf. However, between January and March 2025, as well as in June 2025, UW's only designated non-scientist members (listed as members in the meeting minutes) were Bob Ennes and Ken Gordon, and the only designated unaffiliated member was Michael Krasik. See Ex. 1 (Ennes Appointment Letter, Mar. 1, 2024); Ex. 5 (Gordon Appointment Letter, Dec. 3, 2024); Ex. 8 (Krasik Appointment Letter, June 1, 2023). None of these designated individuals satisfied their respective special designation to fulfill a required category of IACUC membership. There are similar statements and composition issues in the semiannual reports dated July 31, 2025, January 31, 2025, July 31, 2024, July 30, 2021, January 29, 2021, and July 30, 2020. See *IACUC Semi-Annual Reports to the IO*, UNIV. OF WASH., <https://sites.uw.edu/oawrss/iacuc/iacuc-semi-annual-reports-to-the-io/> (under “2025,” click Jan-Jun; under “2024,” click Jul-Dec, Jan-Jun; under “2021,” click Jan-Jun; under “2020,” click Jul-Dec; under “2020,” click Jan-Jun).

IV. REQUESTED ENFORCEMENT ACTION

Congress mandated IACUCs to prevent abuse through genuine oversight, not to legitimize institutional self-interest through handpicked members. The rules governing committee membership are not trivial details; they are essential foundational safeguards. An improperly constituted IACUC compromises the integrity of the entire ethical review process. Given the UW IACUC's critical role as the last line of defense for animals used in experimentation, the lengthy duration of the Institution's noncompliance with Federal laws and the PHS Policy, and the millions of dollars NIH spent funding noncompliant experiments, PETA urges HHS to pursue all legally available remedies, including, but not limited to, the following related to the

grants issued by NIH and activities conducted by UW, including the Washington National Primate Research Center, while the UW IACUC was improperly constituted:

- Recover PHS funds (42 C.F.R. § 93.407(b));
- Retract the research record (42 C.F.R. § 93.407(a));
- Terminate grants (2 C.F.R. § 200.339(c); 42 C.F.R. § 93.407(4); *NIHGPS, supra* § 8.5.2), including, but not limited to:
 - 1R01AR082814-01A1 (project ending December 31, 2029),
 - 1R21AG085133-01A1 (project ending August 31, 2026),
 - 1R01EY033731-01A1 (project ending February 29, 2028);
- Withhold further Federal funds (new awards or continuation funding) (2 C.F.R. § 200.339(e); *NIHGPS, supra* § 8.5.2);
- Suspend or debar Joe Giffels and Sally Thompson-Iritani (2 C.F.R. § 200.339(d));
- Impose civil monetary penalties against UW, the IOs, and all IACUC members who engaged in the improper conduct (45 C.F.R. § 79.3).

Exhibit 1



March 1, 2024

B.E.
Non-Scientist
sundodger99@gmail.com

RE: IACUC – Committee Membership Appointment

Dear B.E.:

I am writing to thank you for agreeing to serve on the Institutional Animal Care and Use Committee chaired by Dr. Jane Sullivan in the category “Non-Scientist.” Your appointment will begin March 1, 2024 and will end March 31, 2026.

As you know, this committee is responsible for the continuing review of overall University policy and standards in respect to the procurement, maintenance, and disposal of animals used in research and instruction and for related procedures. The committee keeps abreast of federal and state statutes regarding animal care and makes recommendations to the appropriate officials to ensure that the University’s use of research animals is efficient, humane, and complies with all applicable laws and regulations.

Thank you for agreeing to accept this appointment.

Sincerely,

Sally Thompson-Iritani, DVM/PhD, CPIA, CCFP
Institutional Official, Animal Care & Use Program
Assistant Vice Provost, Animal Operations
Clinical Associate Professor, DEOHS, SPH

c: Dr. Jane Sullivan
Dr. Aubrey Schoenleben
Dr. Jennifer Freeling Iwamoto

Exhibit 2

HEALTH SCIENCES ADMINISTRATION
Office of the Executive Director

January 4, 2019

Ken Gordon, BS, GDipBS, PGDPP
Executive Director
Northwest Association for Biomedical Research

Dear Ken:

I am writing to thank you for agreeing to serve on the Institutional Animal Care and Use Committee chaired by Dr. Jane Sullivan as a "Non-Scientist" member. Your appointment will begin January 4, 2019 and will end December 31, 2020.

As you know, this committee is responsible for the continuing review of overall University policy and standards in respect to the procurement, maintenance, and disposal of animals used in research and instruction and for related procedures. The committee keeps abreast of federal and state statutes regarding animal care and makes recommendations to the appropriate officials to ensure that the University's use of research animals is efficient, humane, and complies with all applicable laws and regulations.

Thank you for agreeing to accept this appointment.

Sincerely,



David M. Anderson, D.V.M.
Executive Director, Health Sciences Administration
Institutional Official

c: Dr. Jane Sullivan
Dr. Kim Stocking

Exhibit 3

December 9, 2020

Ken Gordon
Executive Director
Northwest Association for Biomedical Research
executivedirector@nwabr.org

Dear Ken,

Thank you for your service as a committee member on the IACUC. Based on Health Sciences Administration Committee Best Practices, committee membership is for a length of two years.

Your current term will end on December 31, 2020. We would like to extend your membership for another two years as a "Non-Scientist" member ending December 2022.

Thank you for your continued service to this important committee.

Sincerely,



Joe Giffels
Institutional Official
Associate Vice Provost for Research Administration & Integrity

c: Dr. Jane Sullivan
Dr. Kim Stocking

Exhibit 4



December 1, 2022

Ken Gordon
Executive Director Northwest Association for Biomedical Research
executivedirector@nwabr.org

RE: IACUC – Committee Membership Appointment - Extension

Dear Ken:

Thank you for your service as a committee member on the IACUC. Committee membership is for a length of two years.

Your current term will end on December 31, 2022. We would like to extend your membership for another two years as an IACUC member for the category “Non-Scientist” ending December 2024.

Thank you for your continued service to this important committee.

Sincerely,

Sally Thompson-Iritani, DVM/PhD, CPIA, CCFP
Institutional Official, Animal Care & Use Program
Assistant Vice Provost, Animal Operations
Clinical Associate Professor, DEOHS, SPH

c: Dr. Jane Sullivan
Dr. Aubrey Schoenleben
Dr. Jennifer Freeling Iwamoto

Exhibit 5



December 3, 2024

K.G.
Chief Executive Officer, Washington State Veterinary Medical Association
kengordon@wsvma.org

RE: IACUC – Committee Membership Appointment - Extension

Dear K.G.:

Thank you for your service as a committee member on the IACUC. Committee membership is for a length of two years.

Your current term will end on December 31, 2024. We would like to extend your membership for another two years as an IACUC member for the category “Non-Scientist” ending December 2026.

Thank you for your continued service to this important committee.

Sincerely,

Sally Thompson-Iritani, DVM/PhD, CPIA, CCFP
Institutional Official, Animal Care & Use Program
Assistant Vice Provost, Animal Operations
Clinical Associate Professor, DEOHS, SPH

c: Dr. Jane Sullivan
Dr. Aubrey Schoenleben
Dr. Jennifer Freeling Iwamoto

Exhibit 6



UNIVERSITY of WASHINGTON

HEALTH SCIENCES ADMINISTRATION

Office of the Executive Director

June 17, 2019

Michael Krasik
Unaffiliated IACUC Member

Dear Michael:

I am writing to thank you for agreeing to serve on the Institutional Animal Care and Use Committee chaired by Dr. Jane Sullivan as an "Unaffiliated" member, who is not affiliated with the University of Washington. Your appointment will begin June 17, 2019 and will end June 30, 2021.

As you know, this committee is responsible for the continuing review of overall University policy and standards in respect to the procurement, maintenance, and disposal of animals used in research and instruction and for related procedures. The committee keeps abreast of federal and state statutes regarding animal care and makes recommendations to the appropriate officials to ensure that the University's use of research animals is efficient, humane, and complies with all applicable laws and regulations.

Thank you for agreeing to accept this appointment.

Sincerely,

David M. Anderson, D.V.M.
Executive Director, Health Sciences Administration
Institutional Official

c: Dr. Jane Sullivan
Dr. Kim Stocking

Exhibit 7

June 1, 2021

Michael Krasik
Unaffiliated IACUC Member
uworama@uw.edu
motekinc@earthlink.net

Dear Michael,

Thank you for your service as a committee member on the IACUC. Based on Health Sciences Administration Committee Best Practices, committee membership is for a length of two years.

Your current term will end on June 30, 2021. We would like to extend your membership for another two years as an Unaffiliated Member ending June 2023.

Thank you for your continued service to this important committee.

Sincerely,



Joe Giffels
Institutional Official
Associate Vice Provost for Research Administration & Integrity

c: Dr. Jane Sullivan
Dr. Kim Stocking

Exhibit 8



June 1, 2023

Michael Krasik
Unaffiliated IACUC Member
uworama@uw.edu
motekinc@earthlink.net

RE: IACUC – Committee Membership Appointment - Extension

Dear Michael:

Thank you for your service as a committee member on the IACUC. Committee membership is for a length of two years.

Your current term will end on June 30, 2023. We would like to extend your membership for another two years as an IACUC member for the category “Unaffiliated” ending June 2025.

Thank you for your continued service to this important committee.

Sincerely,

Sally Thompson-Iritani, DVM/PhD, CPIA, CCFP
Institutional Official, Animal Care & Use Program
Assistant Vice Provost, Animal Operations
Clinical Associate Professor, DEOHS, SPH

c: Dr. Jane Sullivan
Dr. Aubrey Schoenleben
Dr. Jennifer Freeling Iwamoto

Exhibit 9



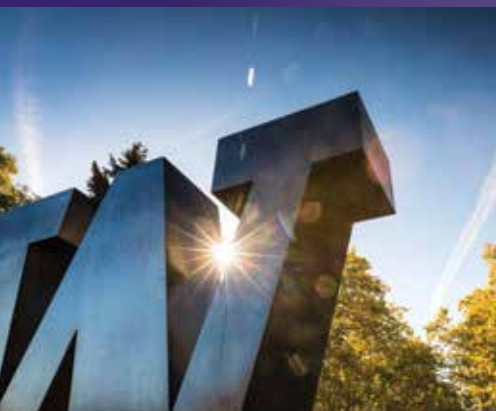
CREATING PATHWAYS FOR GLOBAL ACTION

THE JACKSON REPORT

UNIVERSITY *of* WASHINGTON

THE HENRY M. JACKSON SCHOOL OF INTERNATIONAL STUDIES

ANNUAL HIGHLIGHT OF ACTIVITIES 2018-2019



HONORING PLACE

The University of Washington acknowledges the Coast Salish peoples of this land, the land which touches the shared waters of all tribes and bands within the Suquamish, Tulalip and Muckleshoot nations.

JACKSON SCHOOL ADVISORY BOARD

David Alhadeff, Goldman Sachs

Keith Ferguson, University of Washington

Craig Gannett, Davis Wright Tremaine LLP
and chair of the Jackson School Advisory Board

William (Bill) Glassford, Commerce Bank, ZB, N.A.

Henry (Skip) Kotkins, Jr., Skyway Luggage Company

Donald Lorentz, (retired) Port of Seattle

William T. Robinson, William T. Robinson PLLC

Sara Sandford, Garvey Schubert Barer Law

Travis Sullivan, Boeing

David Tang, K&L Gates Law

Steve Wright, Rainier Heli International

List current as of October 1, 2019

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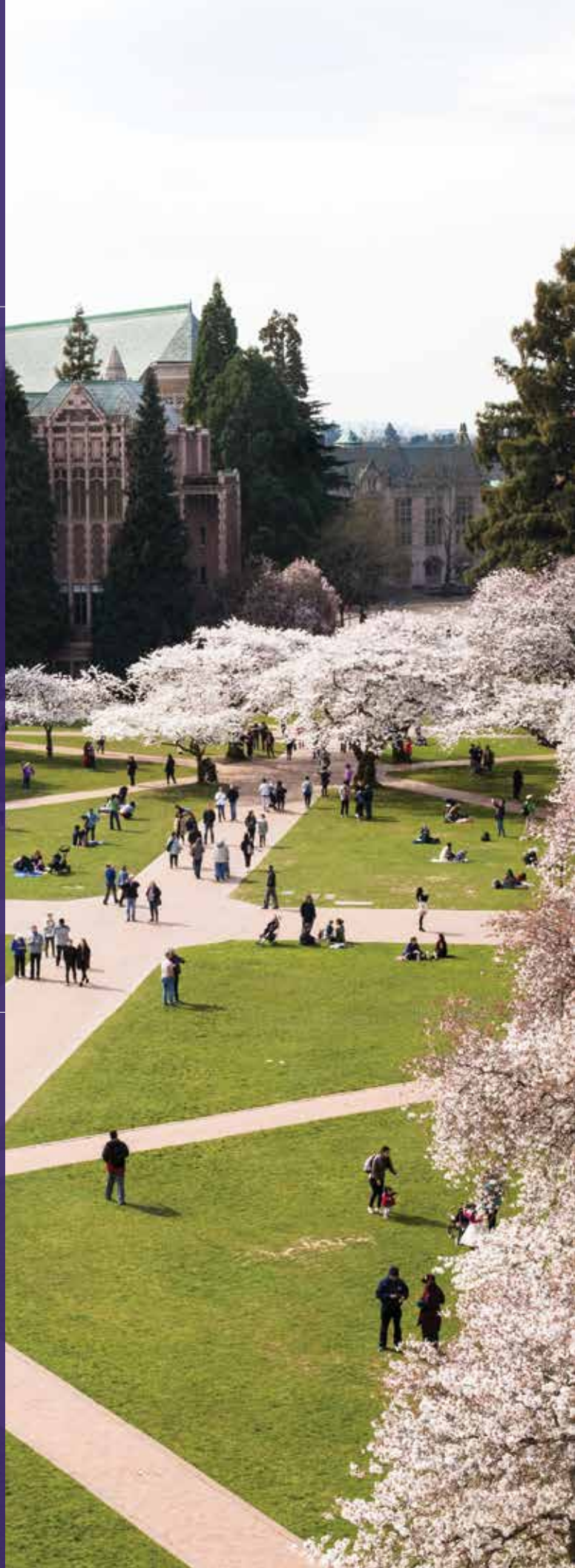
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BACK
INSIDE
COVER

List of Jackson School programs



MESSAGE FROM the DIRECTOR



REŞAT KAŞABA, NOVEMBER 2017. PHOTO CREDIT: COLETTE COSNER

It was 110 years ago when Rev. Herbert Gowen delivered the “The Inaugural Lecture to the Department of Oriental Subjects” on the topic of “The Significance of the Orient to the State.” We consider Rev. Gowen’s lecture the beginning of the formal study of international relations at the University of Washington. We have come a long way since 1909 in how we approach international studies. Compared to over a century ago, we are much more comprehensive in our conceptions, nuanced in our conclusions, and cognizant of the multiple perspectives and complex relationships that order, structure, and change our world.

However, one aspect of our approach to international studies remained constant throughout the intervening century. Just like our colleagues who taught and researched early in the twentieth century, we are committed to having an in-depth knowledge of histories, languages, and cultures of different regions and use this as the building bloc of our understanding of the world.

A second similarity between now and 1909 is that once again we find ourselves in a world that is full of uncertainties. Alliances and international institutions that defined the previous decades are fraying, big and small powers are competing with each other for global and regional supremacy, and with the growing urgency of issues such as international migration, and nationalist sentiments, the world seems always to be on the precipice of a major crisis or even a complete breakdown.

In the pages of this report you will find numerous examples of our programs, classes, faculty and students who are trying to make sense of a world that is in constant and unpredictable flux. We see it as our mission in the Jackson School not only to teach our students about the world but also create pathways for global action so that they become fully engaged citizens. In places like Ghana, Oman, Beijing and the Microsoft Campus, our students and alumni are making enormous contributions to their communities and to our world. I am deeply proud of all of them!

In preparing our students so that they can be effective agents of change, we work closely with our community. Private and public entities, for and non-profit organizations, our local and federal government, our elected agencies and our many other partners enable us to provide our students with the very best preparation for what comes after the Jackson School.

In addition to presenting the highlights of another very successful year in the Jackson School, this report also strives to be an expression of our gratitude for the hard work of our faculty, staff and students and for the continuing support and friendship of our friends.

Reşat Kaşaba

Stanley D. Golub Chair of International Studies
Director, Henry M. Jackson School of International Studies

Teaching for the Times

We give our students the tools to address some of the most vexing themes of our time, such as cybersecurity, international migration, Trump in the World, a New Cold War with China. We insist that our students know well at least one major world area outside the U.S. Knowing the world starts from knowing a specific place.

FAST FACTS 2018-2019



6,000+

**UW STUDENTS IN
JACKSON SCHOOL COURSES**



1-3

**GLOBAL INTERNSHIPS
DONE ON AVERAGE**



21

**CENTERS AND
PROGRAMS**

Policy in action:

AN UNDERGRAD COURSE FOR SKILLS AND IMPACT

A country is in the midst of a brutal conflict.

The capital city has become a battlefield, and residents are caught in the chaos. Food is scarce, and every bed in the understaffed hospital is full. Public utilities were cut off months ago, so there's no running water, electricity or garbage collection.

As a foreign aid worker, you're trying to get basic supplies to civilians. It's work that involves more than simple logistics: Will you need armed protection to reach people safely? If you do, will some groups see you as a threat? And should you even be doing this if the government in power doesn't want your country's help?

At the Henry M. Jackson School of International Studies, students grapple with questions like these as part of the Donald C. Hellmann Task Force Program. By giving undergraduates the chance to address real-world crises, Task Force — the capstone project for all international studies majors — immerses them in culture, politics, economics and human rights. It also creates a pipeline for the next generation of global leaders, which is more crucial now than ever.

"In five years, I'll be able to look back and say, 'I learned these skills from Task Force,'" says Maya Sullivan, who completed Task Force 2019.

"I just hope I do some good for the world."

TASK FORCE 2019

By the Numbers

- 142** Jackson School international studies **seniors** and a few **Departmental Honors Juniors**
- 11** **global challenges** analyzed and presented by the students
- 11** Jackson Faculty **instructors** who support the student-led research
- 11** **external guest evaluators** at the highest levels of government, military and non-profits
- 2** Task Force student groups based at the **UW Rome Center**
- 1** single high-energy, high-stakes **Evaluation Day** where students present their work

TASK FORCE 2019

External Evaluator Organizations:

- National Bureau of Asian Research
- NATO
- U.S. Trade Representative for Japan and China
- U.S. Department of Homeland Security
- Tony Blair Institute for Global Change
- I Corps, Joint Base Lewis McChord
- Creative Justice
- U.S. State Department
- Brookings Institution
- German Marshall Fund of the United States (GMF Europe)
- WestExec Advisors

Mid-career students consult SEATTLE-STYLE

A guiding principle of the M.A. in Applied International Studies mid-career professional program is its strong connections to the greater Seattle community and the internationally-focused companies and organizations that call this region home. This connectivity is reflected in the curriculum, where instructors representing the fields of technology, diplomacy and government teach alongside Jackson School faculty, and on the MAAIS Civic Council, whose members represent a true cross-section of the region's international affairs landscape.

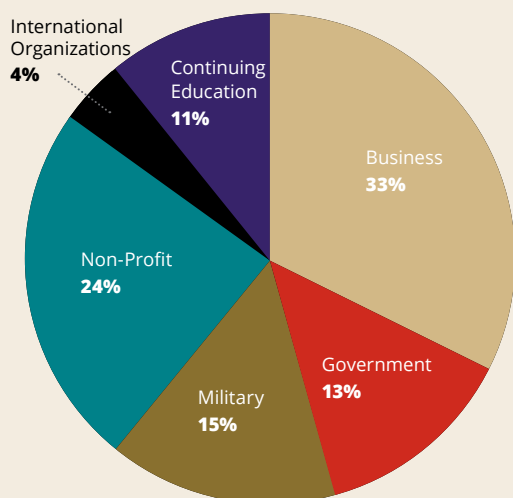
MAAIS students have numerous opportunities to interact with Civic Council members throughout the year, including panel discussions, networking events and one-on-one conversations. For those students graduating each year, a highlight is working with a Civic Council member as part of their capstone research projects.

2018-19 MAAIS CAPSTONE HIGHLIGHTS

As part of a broader OutRight Action International project to create a global snapshot of the nature and extent of state-sponsored digital censorship targeting LGBTIQ content and populations, MAAIS students developed four country case studies, highlighting the main justifications for censorship, the people targeted, and how censorship is affecting LGBTIQ movement-building nationally. Based on their findings, the team put forward both technical and advocacy recommendations aimed at fighting internet repression and curtailment of freedom of speech.

CLIENT: OUTRIGHT ACTION INTERNATIONAL

MAAIS Graduate Industries



"I WAS VERY IMPRESSED WITH THE FINAL REPORT AND WHAT THE TEAM WAS ABLE TO PRODUCE. WE HAVE SHARED THEIR REPORT WITH LAW-MAKERS AND SUBJECT MATTER EXPERTS IN THE REGIONS WITH VERY POSITIVE FEEDBACK."

NIRAV DESAI, CEO, MOONBEAM AND INNOVATION CO-CHAIR, PACIFIC NORTHWEST ECONOMIC REGION



PHOTO: MAAIS CAPSTONE DIGITAL CENSORSHIP TEAM, JULY 2019
PHOTO CREDIT: TOM COHEN

Students conducted a study of the regional economy in the U.S. and Canada to identify key innovation drivers, capabilities, gaps, and opportunities borne from collaboration. By analyzing a variety of data sets including government R&D spend and startup activity, and conducting extensive subject matter expert and influencer interviews, the team identified nascent clusters of economic activity that could be nurtured through public/private partnership.

CLIENTS: PACIFIC NORTHWEST ECONOMIC REGION (PNWER) AND MOONBEAM

MAAIS ALUMNI CONTRIBUTIONS TO THE GREATER SEATTLE AREA:

Now in its sixth year, MAAIS has close to 80 alumni, an estimated 65% of whom are living and working in the greater Seattle area for companies like Amazon, Boeing and Starbucks; for non-profits like International Rescue Committee, PATH and VillageReach; and for local, county and state government agencies.

Learn more:

jsis.washington.edu/maais

MISSION ENGAGEMENT for U.S. military officers

The U.S. Army War College has appointed two Asia-Pacific U.S. Army Military Fellows at the UW for 2019-2020. Hosted by the Jackson School, in partnership with UW Tacoma, the Fellows spend a year researching a policy issue on Asia and sharing their military expertise with UW students and faculty and the wider community.

UW'S ASIA-PACIFIC ARMY WAR COLLEGE FELLOWS 2019-2020:

Lieutenant Colonel Kukunaokala Mendoca,

UW Asia-Pacific National Guard Fellow, joins us from the Hawaii Army National Guard, where he recently served as branch chief of the Active Guard Reserve program managing the Army and Air Guard's full-time personnel. His 17-year military career includes various leadership and staff positions and three deployments to Iraq and Afghanistan. His research is focused on the National Guard's contributions to national security in the Asia Pacific region. He holds an M.A. in Organizational Management from Ashford University.



LIEUTENANT COLONEL
KUKUNAOKALA MENDOCA

Lieutenant Colonel Bryan Jones,

UW Asia-Pacific Army Fellow, brings over 25 years of experience in the Army and National Guard. He has held numerous aviation leadership and staff positions, from small teams to Battalion Command in the United States, Europe, Japan and South Korea. His research will focus on the territorial, economic and cultural impacts in the highly contested South China Sea. He holds an M.A. in Management and Leadership from Webster University.



LIEUTENANT COLONEL BRYAN JONES

Jackson School Diversity and Equity Committee

Over the past year, the Jackson School's Diversity and Equity Committee worked with the Office of Student Services on recruitment and retention, held a Diversity and Equity Open House for students, offered a Disability Allyship workshop, gave away six Diversity and Equity Undergraduate and Graduate Research and Travel Grants, and continued to require hiring committees to attend diversity training and potential candidates to provide diversity statements. To learn more, visit: jsis.washington.edu/about/diversity-equity/



Our Research Matters

Our students can engage in research on hot international topics and client-based, work-readiness opportunities. From climate change to human trafficking to the role of religion in international affairs, it is hard to think of a topic that is somehow not covered by our faculty.

FAST FACTS 2018-2019



39

LOCAL, NATIONAL AND GLOBAL
MEDIA OUTLETS PUBLISHED
OUR INSIGHTS



45

CORE FACULTY



38%

OF UW FULBRIGHT STUDENT
SCHOLAR AWARDS

JACKSON STUDENTS GIVE ACTIONABLE GLOBAL INSIGHTS and **GET JOBS**

Our Global Research Group connects the innovation mindset of top-achieving Jackson School students with private and public sector organizations seeking impactful and globally-focused analysis to support their strategic and operational objectives.

FALL 2018 - GRG DELIVERS DIGITAL DEMOCRACY INSIGHTS TO MICROSOFT

Nine undergraduate and graduate students provided in-depth investigations and in-person briefings on election security and major threat actors to Microsoft's Defending Democracy Team, Digital Diplomacy Program. Jessica Beyer, International Policy Institute senior fellow and lecturer at the Jackson School, led the project as faculty adviser for the eighth year in a row. A Jackson School doctoral student, Megan Ward, advised the team as the lead senior research fellow.

SPRING 2019 - GRG TACKLES USE OF DIGITAL EVIDENCE IN HUMAN RIGHTS CASES

Three undergraduate students presented research on the use of digital evidence for human rights cases in a project led by Jackson School Doctoral Student Megan Ward and Professor Sara Curran for Mark Ward, former Director of the U.S. Transition Team for Syria, U.S. Foreign Service.

WHERE HAVE SOME JACKSON SCHOOL GLOBAL RESEARCH GROUP 2018-2019 ALUMNI LANDED?

- A UW Mary Gates Endowment scholarship to do research inspired by GRG experience
- A Fulbright to do work on digital democracy and youth in Austria
- A Boren Scholarship to study in Latvia
- A risk internship at BECU
- Security Analyst at Accenture
- Management Auditor at King County Auditor's Office
- Professor, Korea Army Academy

SINCE PROFESSOR SARA CURRAN FOUNDED THE PROGRAM IN 2009,

over 150 of our students have delivered projects that crystallized complex data into actionable insights for a wide variety of organizations including Starbucks, Microsoft, the United Nations, Global Washington, Construction for Change and the Rohingya Project.

Jackson School GRG Co-Directors:

Jessica Beyer, Sara Curran and Stephen Meyers

Learn more: jsis.washington.edu/grg

Since 2013, 50% OF OUR CYBERSECURITY STUDENTS HAVE COME FROM DEMOGRAPHIC GROUPS that are underrepresented in the tech industry and over 1/3 of our students have gone on to work in technology-related jobs.





THANKS TO AN INTERNATIONAL POLICY INSTITUTE OPPORTUNITY GRANT, IN AUTUMN 2019 NIKO SWITEK (ABOVE RIGHT), DAAD VISITING PROFESSOR AT THE JACKSON SCHOOL AND POLITICAL SCIENCE DEPARTMENT AT THE UW, CONDUCTED INTERVIEWS IN BRUSSELS WITH REPRESENTATIVES OF EUROPEAN POLITICAL PARTIES, SUCH AS PAUL NOLAN (ABOVE LEFT), EUROPEAN GREEN PARTY, AS PART OF A RESEARCH PROJECT ON EUROPEAN UNION IDENTITY. PHOTO CREDIT: JOAN CARLES CLAVERIA

PRACTICAL PROGRAMS for EMERGING ISSUES in GLOBAL POLICYMAKING

Thanks in part to support from Carnegie Corporation of New York, the Jackson School's International Policy Institute this year launched additional bridging the gap approaches for our students, faculty and wider community of global practitioners.

Snapshot of example activities in 2018-2019:

WORKSHOPS

Cybersecurity and Technology Futures series featured experts from UW, Microsoft, Amazon and think tanks engaging in lively exchanges on AI, surveillance, privacy and other leading-edge topics with plenty of networking opportunities. Co-sponsored with UW's Information School and Women's Center

SCHOLARSHIP-TO-POLICY PROGRAM

A faculty-student experiential learning policy module in the Arctic Studies minor, from writing op-eds and policy briefs to climate exploration in Canada and Greenland to learning about Indigenous influence in international relations

CERTIFICATE COURSE

A new Certificate for Cross-Cultural Religious Literacy research and professional development program for diplomats, military chaplains and other global practitioners to teach skill sets at the intersection of religion & realpolitik

DISABILITY STUDIES INITIATIVE

A new Disability Inclusive Development Initiative that connects high-achieving graduate and undergraduate students with private and public sector organizations to advance the inclusion of persons with disabilities in mainstream international development and humanitarian work

GLOBAL RESEARCH FUNDS

Short-term grants that offer Jackson School faculty overseas or U.S.-based research on emerging global issues, with recent topics ranging from corporate-state relations in India to European Union identity to ocean sustainability to refugees to disability in the Global South

Jackson School International Policy Institute Initiative Leadership

Primary Investigator

*Reşat Kasaba, Director and Stanley D. Golub
Chair of International Studies*

The Arctic

*Nadine Fabbri, Managing Director, Canadian
Studies Center*

Michelle Koutnik, Earth and Space Sciences

Cybersecurity

Jessica Beyer, Lecturer and Research Scientist

*Sara Curran, Professor and Director of the
Center for Studies of Demography & Ecology*

Religion

*James Wellman, Professor and Chair,
Comparative Religion*

Disability Inclusive Initiative

*Stephen Meyers, Assistant Professor, Law,
Societies & Justice and Jackson School*

Learn more:

jsis.washington.edu/research/ipi

Off the bookshelf

"Bhakti and Power: Debating India's Religion of the Heart" (University of Washington Press, 2019) edited by John Stratton Hawley, **Christian Lee Novetzke**, and Swapna Sharma.

"Civilizing Disability Society: The UN Disability Convention and Grassroots Disabled Persons Organizations" (Cambridge University Press, Disability Law & Policy Series, September 2019) by **Stephen J. Meyers**.



Notable grants

Jessica Beyer, lecturer, research scientist and co-director of the Jackson School's Cybersecurity Initiative has been selected as an investigator in a \$721,104 National Science Foundation grant to research how to keep the "internet of things"- and institutional systems - safe and secure.

Tony Lucero, associate professor and associate director of the Jackson School, co-authored a successful grant application to the Andrew W. Mellon Foundation. Awarded in September 2019, the \$1.8 million grant supports new student and faculty initiatives coordinated by the UW Center for American Indian and Indigenous Studies.

New appointments

Daniel Hoffman joined the Jackson School in September 2019 as Chair and Professor of African Studies. A professor of anthropology and Bartley-Dobb Professor for the Study and Prevention of Violence, his research focuses on militarization in West Africa. Hoffman holds a Ph.D. in Cultural Anthropology from Duke University.

Hajin Jun joins the Jackson School faculty as the new James B. Palais Professor of Korean History. She received her doctorate in history from Stanford University, having written a dissertation on the impact of Protestant Christianity on Korean ritual culture during the early 20th century. She will begin teaching spring quarter 2020.

Lara Iglitzin, who just stepped down after serving as the Executive Director of the Henry M. Jackson Foundation for 25 years, has been named as Senior Fellow at the Jackson School starting in autumn 2019. Iglitzin has deep experience in mentoring, professionalization, and the non-profit space in the Pacific Northwest. She is also an expert on contemporary Russia and Human Rights.



DANIEL HOFFMAN



HAJIN JUN



LARA IGLITZIN



Retirement with legacy: UW's international studies visionary leader

On Oct. 3, 2019 the Jackson School honored Professor **Joel Migdal** on the occasion of his retirement after 39 years teaching at the Jackson School. The celebration included a daylong workshop featuring current and former students followed by a public lecture by Professor Migdal on "State and Society: Then and Now."

The day ended with a dinner and program that highlighted Professor Migdal's contributions to academia as well as his mentorship of students. During the celebration, Professor Migdal received a Mayor's Proclamation, signed by Seattle Mayor Jenny Durkan, naming Oct. 3 as Joel Migdal Day in honor of his achievements as a visionary leader in higher education.

Joel Migdal becomes a professor emeritus following his tenure as Robert F. Philip Professor of International Studies at the Jackson School. A recipient of numerous awards, Migdal holds the distinction at the UW as one of the few faculty ever to have received both the UW Distinguished Teaching Award and the Marsha L. Landolt Distinguished Graduate Mentor Award. We are also grateful to him for his work in building the International Studies program which offers one of the most popular majors in the College of Arts and Sciences.

Our Impact Travels

Our students leave us to become alumni all over the world. We see it as our duty to remain engaged with them and the wider community, where we discuss important global issues of our time, and from multiple perspectives. Our public events and partnerships in Washington state and beyond are a perfect example of what we see as one of our core missions.

FAST FACTS 2018-2019



57/13

57 ALUMNI MENTORS
IN 13 COUNTRIES/
AUTONOMOUS REGIONS



>200

PUBLIC EVENTS
HOSTED



17

CLASS OF 2019 IN
OVER 17 COUNTRIES/
AUTONOMOUS REGIONS

Students making a difference in the World



1 Francis Abugbilla // PH.D. CANDIDATE, INTERNATIONAL STUDIES // Recipient of the Marcy Migdal Fund for Educational Equality Scholarship 2019, Center for Global Studies and a Henry M. Jackson Foundation Doctoral Fellowship // Invited speaker to national conferences // Founder of a solar for education project in Ghana

2 Gabriel Collins // B.A. INTERNATIONAL STUDIES 2020 // Interned as a researcher in Washington D.C. for the Institute of International Finance as the 2019 recipient of the Donald C. and Margery S. Hellmann Scholar Award for Jackson School juniors who wish to pursue a career in international affairs

3 Sneha Indrajit // B.A. INTERNATIONAL STUDIES 2018 // Recipient of the prestigious Yenching Academy Award 2019-2020 for a master's degree that builds bridges between China and the rest of the world at Peking University in Yenching, China // Jackson School International Policy Institute Cybersecurity Fellow // Jackson School Global Research Group Consultant

4 Grace Sorensen // B.A. INTERNATIONAL STUDIES AND SPANISH, 2019 // Received the annual Jackson School Leadership Award 2019, a \$5,000 prize given by a Faculty Committee, for demonstrated leadership skills and academic achievement // UW Center for Human Rights Intern

"THE JACKSON SCHOOL HAS TAUGHT ME TO DEVELOP POLICY SOLUTIONS, CONFLICT RESOLUTION AND HUMAN RIGHTS ADVOCACY GOALS THAT TRANSCEND NATIONAL BORDERS, TO BE A GLOBAL CITIZEN."

GRACE SORENSEN DURING HER CONVOCATION SPEECH AS RECIPIENT OF THE JACKSON SCHOOL LEADERSHIP AWARD 2019

BY THE NUMBERS: STUDENT AWARD HIGHLIGHTS 2018-2019

- 6 FULBRIGHT SCHOLAR AWARDS** for teaching in Austria, India, Oman, Taiwan and Turkey
- 3 UW MARY GATES RESEARCH AWARDS**
- 2 UW HUSKY 100 LIST** for doing good in the world, locally
- 2 UW BONDERMAN TRAVEL FELLOWSHIPS** for exploring the world
- 1 NATIONAL DAVID L. BOREN FELLOWSHIP** for study in Latvia followed by a yearlong job in the federal government
- 1 YENCHING ACADEMY AWARD** for an interdisciplinary graduate degree at Peking University in China

Julia Yoon (B.A. International Studies 2017)

TITLE: Associate Security Engineer

EMPLOYER: Check Point Software Technologies LTD

LOCATION: Bellevue, Seattle

PHOTO: JULIA YOON

PHOTO CREDIT: FABRIZIA VOLLENWEIDER



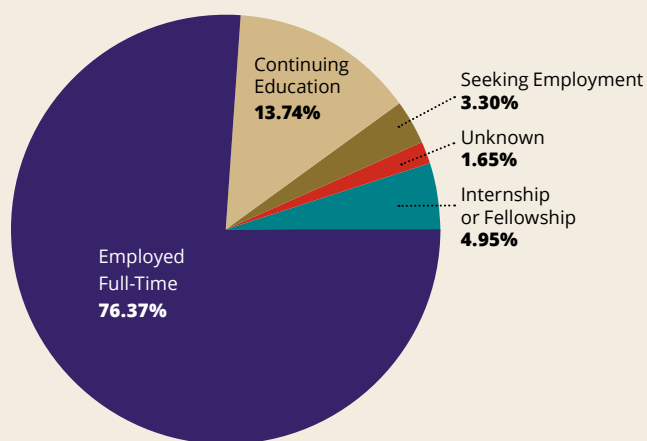
JACKSON ALUMNI take on the world

As geographic area and international issues experts, Jackson School alumni work in Seattle and other cities in the U.S. and abroad, making an impact that spans industries and sectors.

CLASS OF 2018 (Undergraduate and graduate)

95%

95% of the Class of 2018 was employed or pursuing further education within 6 months of graduation



*Based on latest available survey information

OF THOSE WHO ARE EMPLOYED, the breakdown by sector is:

Education 11.1%

Federal government 9.4%

For-Profit 48.5%

Foreign government 1.8%

Non-Profit 11.1%

State or local government 2.9%

Other 0.6%

Continuing education 14.6%

EXAMPLES OF OUR ALUMNI EMPLOYERS

within the last two years:

- U.S. Department of Justice
- China Ocean Institute
- Japan Exchange and Teaching Program
- U.S. Senate
- Tableau Software
- Deloitte Consulting
- Alaska Airlines
- The Boeing Company
- Microsoft
- Dataminr
- Amazon
- Fred Hutch Cancer Research Center
- Morgan Stanley
- PricewaterhouseCoopers
- The Stimson Center
- Smartsheet

BECOME A MENTOR

Calling Jackson School alumni: Join our mentoring team to share your experience and inspire a Jackson School undergrad! In 2018-2019, our mentors were based in 13 different countries/autonomous regions, from Denmark to Palestine to Korea to Nicaragua to Timor-Leste and the United Kingdom. Email Katherine Kim at kkim22@uw.edu

FOSTERING GLOBAL EDUCATION in Seattle and beyond

Our National Resource Centers provide critical global education resources for Washington and the world. Funded by the U.S. Department of Education Title VI Program, the Centers support area and international studies, language study, research and K-12 and community college teacher training for students, educators and the public.

The academic year 2018-2019 marked the start of a new four-year grant cycle, with \$13.4 million awarded in autumn 2018 to six centers at the Jackson School. The Jackson School has housed National Resource Centers since the federal program began in the late 1950s, making 2019 the 60th anniversary of their contributions to international education and understanding.

UW'S JACKSON SCHOOL NATIONAL RESOURCE CENTERS (2018-2022)

**CANADIAN STUDIES CENTER • CENTER FOR GLOBAL STUDIES •
EAST ASIA CENTER • MIDDLE EAST CENTER •
SOUTH ASIA CENTER • SOUTHEAST ASIA CENTER**

Example activities in 2018-2019:

- On behalf of the U.S. Department of Education and United States-India Education Foundation, a two-day orientation for 16 K-8 teachers for their Fulbright-Hays Seminars Abroad program in India
- A first major conference for UW's Taiwan Studies Program with speakers from the U.S., Taiwan, Japan, Singapore and elsewhere, sharing new research in global indigeneity, social movements, LGBTQ family relations, among others
- Support for a UW doctoral student in anthropology to study Inuktitut, a Canadian Indigenous language, to more closely collaborate with Inuit communities in the North
- A two-day Community College Master Teacher's Institute with teachers from WA state and Oregon on curriculum development for media literacy and "fake news"
- Training workshops for the Seattle Fire Department so these first responders can deliver culturally sensitive services to Seattle's Muslim communities
- Faculty member grant to digitize UW Libraries' collection of records from the end of Cambodia's Khmer Rouge period donated by photojournalist and UW alumna Elizabeth Becker

FOREIGN LANGUAGE AND AREA STUDIES FELLOWSHIPS AT THE UW

The National Resource Centers at the UW also offer academic year and summer Foreign Language and Area Studies (FLAS) fellowships in less-commonly taught languages of national priority.

FLAS AWARDS 2018-2019 (includes summer 2019):

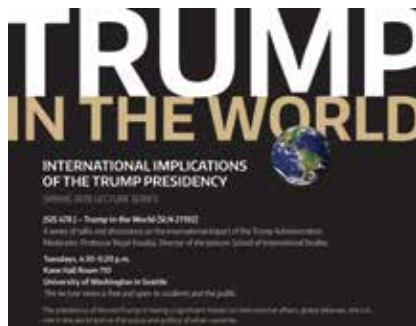
- 111 FLAS awards to UW students
- \$1.6 million in 24 languages in over 20 departments, colleges and schools at the UW

2019 SUMMER FLAS RECIPIENT (Vietnam)

Growing up as a Vietnamese immigrant to the U.S., Binh Truong (B.A. International Studies 2019) dreamed of using her Vietnamese language skills to foster intercultural understanding. She found that opportunity by spending the summer in Ho Chi Minh City as a UW Southeast Asia Center FLAS fellow. She hopes to bring her bilingual and bicultural perspective to the U.S. Foreign Service as a Public Diplomacy Officer. "The FLAS program is a valuable opportunity to gain a greater understanding of U.S.-Vietnamese relations in Vietnam, which I [have] never had a chance to do before," she says.

PHOTO: BINH TRUONG





CONFERENCE: HOW CAN WE RESTORE PUBLIC CONFIDENCE IN FOREIGN POLICY EXPERTS?

May 2, 2019 – Washington D.C.

Featuring a statement from WA Congressman Adam Smith and presentations by senior-level international affairs representatives from the State Department; American University; University of Maryland; George Washington University; UW Jackson School of International Studies; and, the Henry M. Jackson Foundation. In partnership with the Henry M. Jackson Foundation and Carnegie Corporation of New York. UW co-sponsors: Center for Global Studies; East Asia Center; South Asia Center; and, the Southeast Asia Center.

PANEL DISCUSSION: THE CARAVAN

November 5, 2018 – UW Jackson School

Featuring four Jackson School faculty and an Information School student on issues facing the migrant group from Central America heading north to the U.S. border. UW co-sponsors: Center for Human Rights; Latin American & Caribbean Studies; Center for Global Studies; and, Stroum Center for Jewish Studies.

REINVENTING GLOBALIZATION

Feb. 13, 2019 – UW Kane Hall

Featuring Dani Rodrik, Ford Foundation Professor of International Political Economy, Harvard University JFK School of Government, in partnership with the Henry M. Jackson Foundation. UW co-sponsors: Center for Human Rights; Center for Global Studies; Ellison Center for Russian, East European and Central Asian Studies; Japan Studies; South Asia Center; Southeast Asia Center; Foster School's Global Business Center and, Department of Economics.

TRUMP IN THE WORLD LECTURE SERIES

Spring 2019 – UW Kane Hall

A series of 10 talks on the international impact of the Trump Administration, moderated by Jackson School Director Reşat Kasaba with 10 lectures by Jackson School faculty.

CLIMATE CHANGE AND NATIONAL SECURITY

March 6, 2019 – UW HUB South Ballroom

Featuring Washington State Governor Jay Inslee; bi-partisan panelists from the American Security Project and UW Provost Mark Richards. In partnership with the Henry M. Jackson Foundation; World Affairs Council. UW co-sponsors: Center for Human Rights; Canadian Studies Center; Center for Global Studies; East Asia Center; South Asia Center; and, the Southeast Asia Center.

With thanks

We thank **Hidaat Ephrem**, Program Coordinator at the Jackson School's Office of Academic Services, who retired in June after 32 years at the UW. Her administrative skill set helped successfully support students, faculty and staff in their time at the UW, and the mission of international studies. With our deepest gratitude to Hidaat and best wishes in retirement!

In June, **Toni Read** retired after 17 years of service as the Jackson School's Business Office Manager. In her time working with three Jackson School directors, she made an invaluable contribution to international studies overseeing operations, from building safety to event support to hiring faculty and staff and more. We wish her all the best and will miss her football season Seahawks spirit!



Ilse Cirtautas, Professor Emerita and a Jackson School friend and supporter of the Ellison Center for Russian, East European and Central Asian Studies, passed away in July 2019 at the age of 92. A leader in Central Asian studies, Cirtautas worked tirelessly as a champion for the study of Central Asian languages and culture, leaving a lasting impact among her contemporaries and mentees in the University of Washington and Central Asian communities. She also served as Chair of Near Eastern Languages and Civilization at the UW. In 2009, she established the Ilse D. Cirtautas Fund in Central Asian Studies at the Jackson School, which has been instrumental in providing students with the opportunity to study and travel to Central Asian countries through the program.

If you would like to make a gift in honor of Ilse, please visit: giving.uw.edu/cirtautasfund



Ellis J. Goldberg, long-time Director of the Middle East Center, Professor Emeritus of Political Science, eminent scholar of the Modern Middle East, and inspiring teacher and colleague, passed away on September 20, 2019 at the age of 72. The originality of his research and quality of his leadership was recognized by the field through several awards and grants, including a John Simon Guggenheim Fellowship, Carnegie Scholar Award, Rockefeller Foundation Award, Earhart Foundation Award, U.S. Institute of Peace, Ford Foundation, National Science Foundation, Social Science Research Council, and four U.S. Department of Education National Resource Center grants. He earned a Ph.D. in Political Science from the University of California, Berkeley.

As the Director of the Middle East Center, Henry M. Jackson School of International Studies, for 16 years he led the Center as a prominent National Resource Center on the Middle East organizing conferences on Democratic Movements in the Middle East, Freedom of Expression in a Global Perspective, Medieval Islamic History and Institutions, The Arabian Peninsula and the Caspian Basin in Comparative Perspective. Beyond his academic role, as an administrator, he held the Middle East Center to the highest standards, advocating for staff and students and establishing policies that the Center continues to follow long after his retirement. If you would like to make a gift in honor of Ellis, please visit: giving.uw.edu/goldberg

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The Henry M. Jackson School of International Studies is truly grateful to its donors for their generous support.

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Why Sephardic Studies?

I was imbued with the traditions, language, and customs unique to Sephardic Jews throughout my childhood. However, as a grade school student at Seattle Hebrew Academy, I had to leave my Sephardic identity at home. All of my teachers were Ashkenazic, and the pronunciation, language and customs we were taught were exclusively Ashkenazic. In effect, I had to become two different Jewish people, one at school and one at home and synagogue.

This experience shaped my outlook on the need to enhance and preserve Sephardic culture as unique and important. Over the past seven years, along with my wife, Maureen, it has been our pleasure to support the UW's Sephardic Studies Program and to watch with pride as it has become an important part of the UW under the leadership of Devin Naar, who established and heads the program. The impact of the teaching and programs Devin has brought to the UW have made us the envy of other universities around the globe. I hope we can continue to grow and advance this wonderful program in the years to come. I will certainly do my part.

– **Joel Benoliel**, Chair, UW Board of Regents and member of the Sephardic Studies Founders' Circle

The UW Sephardic Studies Program is part of the Stroum Center for Jewish Studies, which is housed at the Henry M. Jackson School of International Studies.

OUR JACKSON SCHOOL OFFER

JACKSON SCHOOL CENTERS, PROGRAMS AND UNITS

African Studies Program
Arctic and International Relations
Canadian Studies Center*
Center for Global Studies*
Center for Human Rights
Center for Korea Studies
Center for West European Studies
China Studies Program
Comparative Religion
East Asia Center*
East Asia Resource Center
Ellison Center for Russian, East European and Central Asian Studies
European Union Center
Hellenic Studies Program
International Policy Institute
Japan Studies Program
Latin America and Caribbean Studies
Middle East Center*
South Asia Center*
Southeast Asia Center*
Stroum Center for Jewish Studies
– Israel Studies Program
– Sephardic Studies Program
Taiwan Studies Program

*U.S. Department of Education-funded National Resource Centers

JACKSON SCHOOL DEGREE PROGRAMS

Applied International Studies (M.A.)
Asian Studies (B.A.)
Canadian Studies (B.A.)
China Studies (M.A.)
Comparative Religion (B.A., M.A.)
European Studies (B.A.)
International Studies (General) (B.A., M.A., Ph.D.)
Japan Studies (M.A.)
Jewish Studies (B.A.)
Korea Studies (M.A.)
Latin America and Caribbean Studies (B.A.)
Middle East Studies (M.A.)
Russian, East European and Central Asian Studies (M.A.)
South Asian Studies (M.A.)
Southeast Asian Studies (M.A.)

EDITOR: Monique A. Thormann

OTHER CONTRIBUTORS: Jessica Beyer, Megan Bowman, Shannon Bush, Meg Cressey, Sara Curran, Dana O'Leary, Kristi Roundtree and Alison Wattles

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"THE VALUE OF THE [JACKSON SCHOOL] TASK FORCE EXPERIENCE IS THE WAY IT REPLICATES THE COMPLEX AND AMBIGUOUS POLICY-MAKING ENVIRONMENT IN A WAY THAT NO STRUCTURED SCHOOL ASSIGNMENT EVER COULD. IT FORCED ME AND MY TEAM TO GRAPPLE WITH THE REAL COMPLEXITIES OF POLICY WORK, PREPARING ME WELL FOR MY CURRENT ROLE ADVISING POLITICAL DECISION-MAKERS IN THE 'REAL WORLD'."

SARAH BOONE (B.A. INTERNATIONAL STUDIES; MINOR ENVIRONMENTAL STUDIES 2013),
ACTING MANAGER, FRESHWATER AND AGRICULTURE POLICY TEAM, WATER TASK FORCE,
MINISTRY FOR THE ENVIRONMENT, GOVERNMENT OF NEW ZEALAND

Exhibit 10

HillelUW

University of Washington



2020-2021

IMPACT REPORT

FRIENDS

Dear Friends,

Despite unprecedented challenges and Zoom fatigue over the past year, we are proud to share that Hillel UW is as strong as ever. We minimized pandemic-related disruptions, strengthened our core community, and maintained essential connections to Jewish knowledge and traditions for students and young adults in the Seattle community.

As a highly adaptive organization, Hillel was safely able to engage hundreds of Jewish undergraduate students, young adult Jconnectors, and the extended community. High Holiday services successfully took place online (Torah readers included!); “Shabbag Shalom” kits, including challah, grape juice, candles, and a comforting meal, went out to 40-50 students a week; and our Passover lunches, a beloved institution, became to-go meals that fed 480 people. In addition, our Senior Jewish Educator facilitated Jewish learning programs, and outdoor events like weekly Wellness Walks brought people together — with one another and with nature. These are just a few examples of how we nourished body and spirit throughout a year that threatened to undermine our mission to inspire students and young adults to explore, embrace, and celebrate Jewish life and identity.

As we optimistically prepare to reopen in the fall, we reflect on the past with gratitude and look to the future with hope. However the challenges won’t disappear when the doors open. We essentially will be welcoming two new classes — the incoming class and the sophomore class, whose first year was disrupted by Covid. We expect to be working overtime to get to know a large crop of new faces, which is all the more reason why we need to double down on programming and systems of support.

Your continued commitment keeps our ship afloat and helps steer it on a steady course. Thank you for all your support — past, present, and future. Know that it tangibly impacts the lives of today’s Jewish young adults and tomorrow’s Jewish community leaders. We could not do this without you!

We look forward to seeing you again soon at High Holiday Services, HillelFest 2022, and Passover lunches.

B’Shalom,



Alan Waldbaum
Board President
2019-2021



Amee Sherer
Greenstein Family
Executive Director



Elizabeth Siegel
Board President
2021-2023

IMPACT

900

Jewish young adults participated in undergraduate and Jconnect programs.*

200

of them participated in six or more programs.

30

students participated in two Jewish Learning Fellowship cohorts.

250

“Shabbag Shalom” Shabbat tote bags were distributed, used, and reused every Friday.

100

Jconnectors participated in the Friend Matching Program.

47

Jconnectors participated in our Zoom High Holiday programs (including two Torah readers).

15

hours of live-streamed, interactive High Holiday services.

135

trees planted through a partnership with several other Seattle non-profit organizations and the Big Bold Jewish Climate Fest.

60

screens were active at our “Zeder” (Zoom seder).

480

people enjoyed Kosher for Passover Lunches to Go.

\$365,000

raised at our virtual fundraising event.

UNDERGRADS

SHABBAT TO GO



Jewish Huskies turn to Hillel for community, connection, and soul-warming food every Friday night. So when the pandemic put a stop to this weekly occasion, what did we do? Shabbat dinners to go!

Starting in fall quarter 2020, every Friday 40-50 students stopped by Hillel to pick up a homemade kosher dinner. The meals came with a reusable canvas “Shabbag” with Shabbat candles, matches, individual bottles of grape juice, mini challahs, and a Shabbat thought. These weekly interactions gave our staff the rare opportunity for an in-person catch-up.

We can't wait until our first in-person, IN-Hillel Shabbat in October!

*Being able to put together and hand out Shabbags has been a really great way for me to meet new and returning students in person and help make those initial bonds with and between students. Shabbat dinners are so key and representative of Hillel UW; I'm happy that we are able to provide a weekly Shabbat experience in a safe and responsible way, and the students are so grateful that we have **kept it up!***

-Hunter Duryee, Director of Student Life

CLIMATE FEST

Over 50 undergrads participated this past year in events surrounding the Big Bold Jewish Climate Fest, a Seattle-based festival that reached 5,500 people through 165 events across the country. Under the leadership of our 2020-21 Senior Jewish Educator, Rabbi Josh Weisman, who convened a learning session around Jewish models for climate crisis leadership last fall, students were energized to plant trees at a public park and host an online program focused on the Puyallup Tribe's efforts to stop a fracked gas plant. The team completed its final project, a beach clean up at Golden Gardens, in the spring. By combining Torah, social action, support for student leadership, and outreach, we successfully provided an outlet for dozens of students to experience Jewish life, action, and learning in a difficult year.



PHYSICAL & EMOTIONAL WELLNESS



With the Hillel building closed last year, we worked hard to provide students with resources to support their mental and physical well-being.

In partnership with Jewish Family Service, our in-house licensed mental health professional, Sheri Davis, started full time in September 2020 and provided virtual individual counseling. This service was offered with no limit on the number of sessions. The counselor played a critical role in supporting students' mental health by providing a safe, confidential space to address issues around anxiety or depression, navigating interpersonal and family relationships, identity issues, academic and career concerns, as well as grief and loss.

Hillel staff and student leaders also offered various wellness programs to students, including weekly Wellness Walks, Matzah Ball Soup for the Soul—during which Sheri shared stress-reduction techniques—and a four-week Winterfest cohort, “Being Back at Home,” on coping strategies during the pandemic. With the reopening of the building, we are looking forward to hosting yoga classes, At-the-Well Rosh Hodesh women's groups, and additional in-person programs to support our community's overall well-being.

For more information about our wellness programs or if you know a student in need of counseling, please reach out to Sheri at counselor@hilleluw.org.

jconnectseattle

A Program of Hillel UW for Jewish 20-30 Somethings

SHABBAT MUST GO ON



Since forming 21 years ago as a way to connect post-college young adults to Judaism and each other, Jconnect has provided Shabbat services and dinner the second Friday of every month. The pandemic was not going to break the streak.

In order to continue this tradition, Jconnect moved Shabbat to Zoom and infused it with song from acclaimed local musician Chava Mirel. Chava joined Rabbi Josh Weisman, Hillel's Senior Jewish Educator, to lead selections from Kabbalat Shabbat. Jconnectors had the option to pick up dinner to go from Hillel or just join us online. Three times this year, we co-hosted our monthly Shabbat with OneTable, a national organization that empowers people to host Friday night Shabbat dinners in their own homes.

By the time summer rolled around, we were thankfully able to think about hosting Shabbat services and dinners in person again. On July 9th, Amee hosted an outdoor Shabbat at her home, and more than 40 Jconnectors attended. We are so looking forward to kicking off our new musical Friday night gatherings in person with Chava Mirel on October 8th. Jconnect Second Friday Shabbat will be the place to be for young adults on the second Friday of every month!

Check out our website, and let your young adult friends know about Jconnect's awesome Second Friday Shabbats at Hillel UW as well as an expanded partnership with OneTable.

TO MARKET, TO MARKET!

When Hanukkah came around, we offered Jconnectors an outdoor market stocked with holiday goodies so that they could "shop for free" for all their celebratory needs. At the Hanukkah Market, Jconnectors built goodie boxes with a menorah, candles, a dreidel, gelt, Hanukkah coloring pages, a spa face mask, tea, hot apple cider packets, Emergen-C packets, Hanukkah cupcakes from Trophy, and a Hillel UW mug. They could also purchase Hanukkah-themed masks. For Passover, more than 40 Jconnectors stopped by to get everything they needed, including matzah, wine, haggadot, seder plates, plastic frogs, Passover-themed socks (Pes-socks!), macaroons, matzah ball soup mixes, and recipes.



JUST FRIENDS



With young adults isolated from each other and their Jewish social networks during the pandemic, Jconnect created the Friend Matching Program with a simple goal: to match friends!

Jconnect Friend Matching went through three successful rounds and connected nearly 100 friends based on their responses to questions about what they like to do, where they work, and personal interests.

The idea came about when Hillel grad professionals were brainstorming ways to bring people together during the pandemic. "The idea of doing some sort of friend matching system kept coming up in the conversations," said interim Jconnect manager Nomi Mitchell. "I figured, why not?! If it doesn't work, no harm done. And it worked! Just based on the first round, there was clearly a desire and a need within the community."

The program played an important role in developing connections for Jconnectors who are new as well as those who have been around for a few years. "I just wanted to thank you for connecting me with my match," said Dean, who moved here this year. "I'm so thankful that you were able to make the introduction. It has, of course, been a rather peculiar time to move to Seattle, but having Jconnect has really been a great way to stay engaged and continue to build friendships despite the distanced, digital gatherings."

JEWISH LEARNING

INVESTING IN MEANINGFUL JEWISH EDUCATION

Three years ago, we joined Hillels across the US and the world by bringing on a Senior Jewish Educator (SJE). The SJE is a teacher, relationship builder, and community organizer who creates measurable differences in the lives of students. This invaluable addition supports both programming and administrative staff and creates an interlocking web of Jewish learning, Shabbat and holiday programming, social action, one-to-one outreach, engagement, mentorship, and pastoral care.

One of the most successful programs the SJE offers is the Jewish Learning Fellowship, an eight-week learning series that allows undergrad cohorts to explore various topics in an informal, open-ended format. "Especially amid the pandemic and everything else going on in the world, JLF was essential in making me feel like I have a supportive community around me," said one participant. "I was always looking forward to the meeting every time, because I knew that meant I got to talk to like-minded individuals about some really interesting concepts. I highly recommend JLF to anyone, regardless of how religious you are, because it allows you to connect to a larger Jewish community and enhances your individual connection to Judaism."

Moreover, the SJE is a rabbinic presence who plays an integral part in the lives of undergrads and Jconnectors alike by being a role model for Jewish life in a pluralistic context. The SJE leads Shabbat and holiday experiences by working with students to craft meaningful and accessible offerings informed by Jewish wisdom and tradition. For our students and Jconnectors, the SJE is their rabbi.

We are pleased to welcome Rabbi Lauren Kurland as our incoming SJE. Rabbi Kurland most recently served as director of student engagement at the Stroum Center for Jewish Studies at the UW. She is "excited to teach, mentor, partner with, and learn from students as we explore the lessons Jewish wisdom continues to offer us today."



THANK YOU!

Hillel at the University of Washington gratefully acknowledges the generosity of the following donors for their support during Hillel's 2021 Fiscal Year (July 1, 2020-June 30, 2021).

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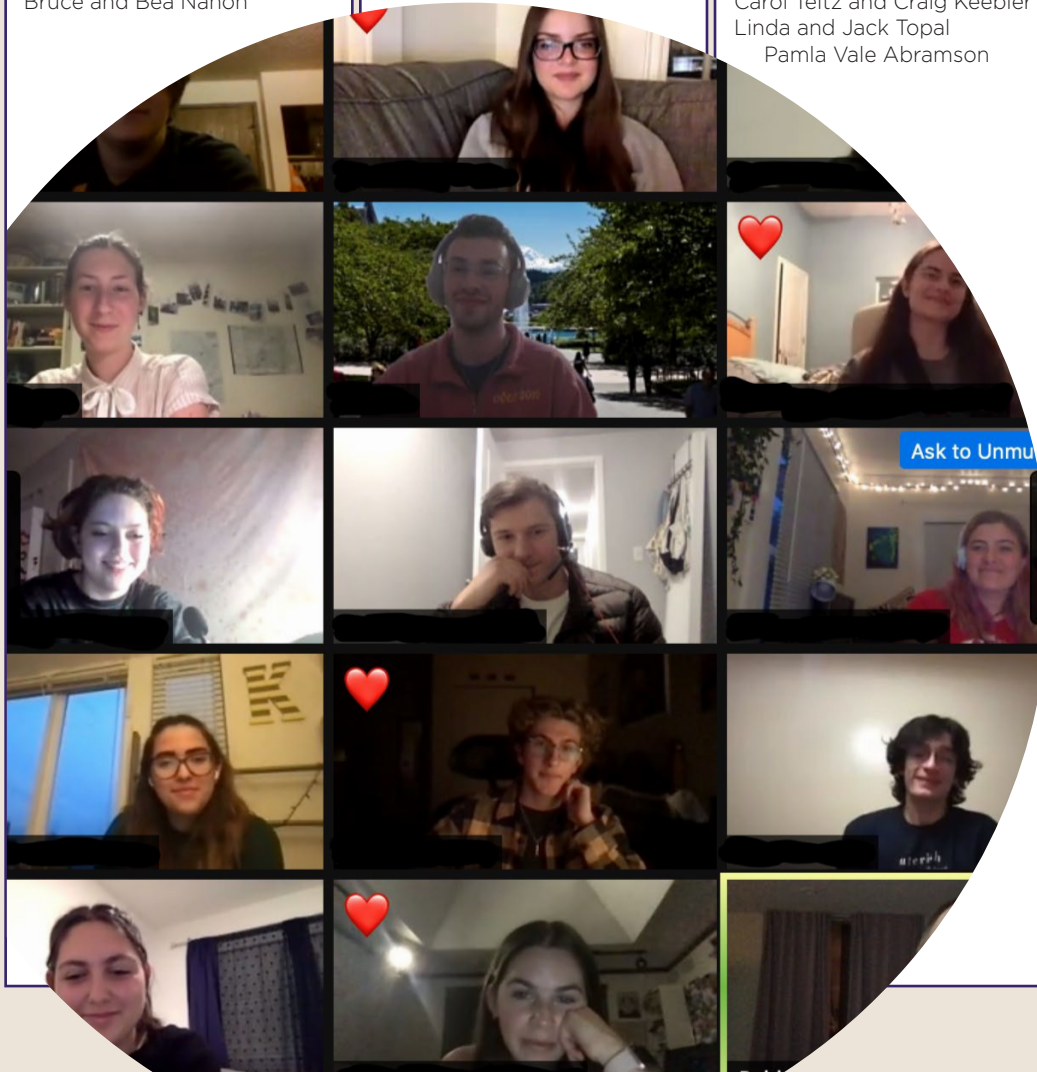
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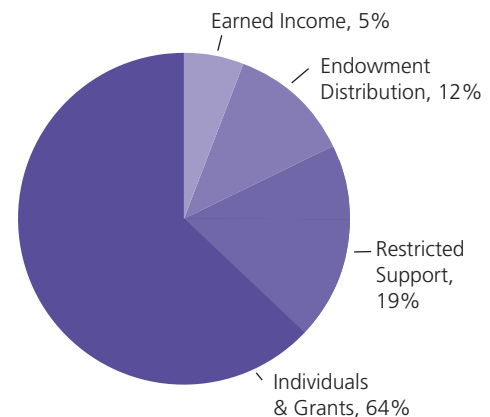
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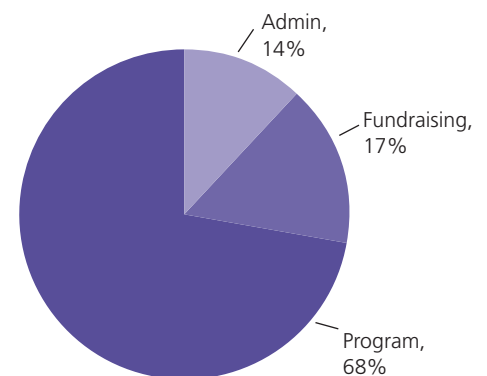
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To support our programs and to achieve our mission, Hillel UW depends on generous donations from community members like you, as well as support through Hillel International, local family foundations, donor-advised funds, and qualified charitable distributions from IRAs. Our audited Fiscal Year 2019-2020 operating budget was \$1,185,847.

SUPPORT AND REVENUE



EXPENSES



Our 2020-2021 Fiscal Year audit will be conducted during fall 2021. Gifts to Hillel UW are tax-deductible as provided by law. Our Federal Tax ID number is 91-6067231.

For a complete copy of our audited financial report, please contact Jonathan Greene at Jonathan@hilleluw.org.

LIFE AND LEGACY



"During our college years, Hillel UW welcomed us on Friday nights for a delicious free Shabbat dinner and was a comfortable place to hang out with our Jewish friends. Our daughter, Tammy, found the same community away from home at the University of Michigan Hillel. Our son, Robbie, was a fixture at Hillel UW in Israel advocacy and held a student leadership position on the Hillel

board. When away at school, it's natural to feel a range of emotions like pressure to assimilate and uncertainty how to handle anti-Semitism. Hillel reinforced the Jewish values instilled in us from a young age and helped us become confident leaders. As individuals and as a family, we embrace leadership roles partly because of the skills we developed at Hillel. Naturally, we want to ensure that Hillel UW is there for future generations of student leaders. That's why we included a LIFE & LEGACY™ gift to Hillel UW in our estate plans, and we encourage others to do the same."

-Julie & David Ellenhorn

To learn more about the Hillel UW LIFE & LEGACY™ program or to join our 53 Legacy Circle members, please contact Terri Green at Terri@hilleluw.org or visit our Planned Giving page using this QR code.





HOLD THE DATE
THURSDAY EVENING, FEBRUARY 10, 2022

HiLLeLfeST22

Join us at HillelFest 22, a fundraiser to make a difference in the lives of Seattle's Jewish undergraduates and young adults.

Virtual and in person details TBD.

HILLEL AT THE UNIVERSITY OF WASHINGTON
Karen Mayers Gamoran Family Center
4745 17th Ave. NE
Seattle, WA 98105

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Know a Jewish 20-30 something in Seattle looking for community? Let them know about Jconnect's monthly Shabbat dinners and happy hours. For details go to www.jconnectseattle.org

Know a Jewish undergrad in the Seattle area? Let them know Hillel's weekly Shabbat dinners are **FREE!** RSVP at www.hilleluw.org



Exhibit 11

STROUM CENTER FOR JEWISH STUDIES

IMPACT REPORT 2021-2022



**STROUM CENTER
FOR JEWISH STUDIES**

HENRY M. JACKSON SCHOOL OF INTERNATIONAL STUDIES

UNIVERSITY of WASHINGTON

W

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STROUM CENTER FOR JEWISH STUDIES, 2021-2022



1,769 people attended
18 online & in-person events

People from **23** countries
viewed educational lectures

62,000
times on YouTube



Nearly **103,000** people
from **203** countries
learned from educational
resources on our website



710 students
took **28** courses

LETTER FROM THE DIRECTOR

Dear UW and Stroum Center community,

This July marks the beginning of my five-year term as the Director of the Stroum Center for Jewish Studies. While it is a fraught and challenging time in the United States, I feel privileged to be part of the wider university community composed of faculty, staff, students, and you, all working to better our world.

I was born in Kibbutz Beit Hashita in north Israel, a place founded in the 1930s by my grandfather, among other refugees from the Pale of Settlement in the Russian Empire. At its peak, my kibbutz was the fourth largest in Israel, famous for its pickle production, its agricultural celebration of Jewish holidays, and its devotion to secular and socialist Zionism. Coming of age between rural and urban settings, as well as Israeli and American cultures, I learned how to shift perspectives in a deep way, which is a skill that I have endeavored to share with students.

The pandemic clarified for many of us what matters most, where we want to invest our energy, and how much our community ties matter for our health and well-being. As director of the Stroum Center, I am committed to honoring these lessons and finding new and fruitful ways for us to come together as a learning community.

While transitioning to online teaching was challenging, our faculty's public lectures on Zoom have reached more people than ever before. Our faculty have taught their hearts out in these past few years, and our students have recognized their efforts, nominating eleven of them as outstanding teachers in the 2021-2022 academic year!

These pandemic years have been trying for our students, both undergraduates and graduates, who strove to continue their education despite unprecedented challenges. Thanks to our community, we have been able to support our students through emergencies, research discoveries, and transitions into new careers.

The education of this generation of students — more multicultural, worldly, and diverse than any generation before it, coming from all over the state of Washington and around the globe, from every socioeconomic background and faith — is what brings all of us together, and their education will always remain at the forefront of what we do at the Stroum Center.

Three new faculty colleagues will join us in the coming year, making a total of thirty faculty members in Jewish Studies. Our Sephardic Studies Program will celebrate its tenth year in 2022-2023 with a wide range of public events, and our Israel Studies Program will continue to support high-quality research and public engagement.

I truly hope to see you at our events this year (both online and in person), and to connect with each of you who support our work, so that we can continue to explore how our mission at the Stroum Center can complement yours.

Thank you so much for your support of our work at the Stroum Center for Jewish Studies.

Sincerely,



Mika Ahuvia

Director, Stroum Center for Jewish Studies

Herbert L. & Lucia S. Pruzan Chair in Jewish Studies

Associate Professor, Jackson School of International Studies



NEW COMMUNITY LECTURE SERIES

THE HISTORY OF JEWS IN ARAB LANDS BEFORE 1900

What did it mean to be a Jewish minority in an Arab-Islamic society? How did Judaism shape Islam and vice versa? What is the future of Jewish-Arab relations?

Today, Jews and Arabs sometimes seem to be participants in a timeless conflict. But for centuries, over 90% of the world's Jews lived, worked, and thrived (or sometimes floundered) in communities across the Arab Near East.

In fall 2022, join us for the Jews of Arab Lands speaker series to explore fifteen hundred years of interactions between Jews and Arabs across four talks from scholars that will draw on their original research on this subject.

In the first talk, we will join the Jewish tribes of Arabia in their fraught but significant encounters with the prophetic claimant, Muhammad. Then, we will meet wealthy Jewish bankers petitioning the Muslim caliph at his court in the heart of high medieval Baghdad.

Subsequently, we will encounter everyday Jewish and Muslim laborers struggling for colonial favor in nineteenth-century French Algeria.

Finally, we will get to know some modern-day Near Eastern Jews in Israel as they remember the food, music and relationships that defined their ancestors' world in the shadow of the expulsion of hundreds of thousands of Jews from Arab lands.



*Faculty member
Brendan Goldman will
facilitate the series*

Learn more and register to attend:
jewishstudies.washington.edu/jews-arab-lands

*- Brendan Goldman, Affiliate faculty, Jackson School
of International Studies*

LECTURE TOPICS

- The Jewish Tribes of Arabia and Muhammad
- Jews and the Caliph in High Medieval Baghdad
- Jewish and Muslim Laborers in 19th-Century Algeria
- Modern Near Eastern Jews in Israel

Wednesdays, October 19 - November 9, 2022, on Zoom

Lecture descriptions, times, and registration:

[jewishstudies.washington.edu/
jews-arab-lands](https://jewishstudies.washington.edu/jews-arab-lands)



VOCALIST AND COMPOSER ANTHONY MORDECHAI TZVI RUSSELL

Trained as an operatic bass, **Anthony Mordechai Tzvi Russell** has turned his stunning voice and considerable talents as a composer, historian of music, and writer to the arrangement and performance of Yiddish songs in the past decade.

Russell's work with the traditional music of Ashkenazi Jews led him to the exploration of his own roots, resulting in "Convergence" (2018), a collaboration with the klezmer trio Veretski Pass.

A breathtaking album that explores the sounds of east European Jewish music and the music of Black America as a kind of translation of one musical tradition into and through the other, "Convergence" dwells on African Americans' and Ashkenazi Jews' often twinned histories of oppression, expressions of hope for a better future, and reliance on and dialogic engagement with divine authority.

Since 2018, Russell's work has focused on Yiddish art music; autobiographical explorations in music, essays, and poetry of his experience as a Black Jewish American; and performance in multiple contexts in the U.S. and internationally, including as part of the musical group Tsvey Brider (Two Brothers) with the accordionist Dmitri Gaskin.

Russell recently relocated from Massachusetts to Atlanta, GA, with his husband, a congregational rabbi.

- *Sasha Senderovich, Assistant Professor of Jewish Studies and Slavic Languages and Literatures*



Russell will deliver the 2023 Samuel and Althea Stroum Lectures in Jewish Studies at the University of Washington, including live musical performances, on **May 2 & May 4, 2023.**



SEPHARDIC STUDIES PROGRAM UPDATE

NEW AZOSE FUND FOR COMMUNITY ENGAGEMENT

This year, the Sephardic Studies Program unveiled the **Hazzan Isaac Azose Fund for Community Engagement in Sephardic Studies**. The fund – the first of its kind at the UW – was created in honor of hazzan emeritus Isaac Azose of Seattle's Congregation Ezra Bessaroth, and will support annual programming and digital projects related to Sephardic arts and culture.

The inaugural event supported by the fund was a spring 2022 scholarly panel discussion of the hit Netflix show "Kulüp," the first major television series to focus on Sephardic Jews in Turkey. The event also included an interview with show writer Rana Denizer.



Joel and Maureen Benoliel with Elisa and Isaac Azose

The fund was made possible in partnership with the Isaac Alhadeff Foundation, Joel and Maureen Benoliel, and other community leaders and local institutions.

NEWS HIGHLIGHTS

- The Sephardic Studies Program coordinated and funded the digitization of **La Vara**, New York's longest-running Ladino newspaper (1922-1948), now available online via the National Library of Israel's Historical Jewish Press website.
- Artifacts from the **Sephardic Studies Digital Collection** will be featured in forthcoming exhibitions by Australia's Melbourne Holocaust Museum (online) and at the Museum of Jewish Heritage (in person) in New York City.
- Isaac Alhadeff Professor in Sephardic Studies **Devin Naar** received a fellowship from the Yiddish Book Center to translate the first Ladino novella published in the United States.
- 2022 graduate fellow and Sephardic Digital Collection archivist **Lili Brown** accepted a position as Metadata Librarian for Hebraica and Judaica at Stanford University Libraries.
- 2019-2022 Sephardic Studies Assistant Director **Makena Mezistrano** will start a Ph.D. in history at Stanford University in autumn 2022, advised by historian Aron Rodrigue.



TRACING THE HISTORY OF AN AMERICAN DEVELOPMENT COMPANY IN MANDATORY PALESTINE

Most scholarly research on pre-1948 American Zionism focuses on either Hadassah, the women's Zionist auxiliary, or on the Zionist Organization of America. But neither group was the largest American organization operating in British Mandate Palestine in the early 20th century.

Rather, that distinction goes to a lesser-known organization called the Palestine Economic Corporation (PEC), an American for-profit development company that operated six major corporations in Palestine, granted loans to Jewish settlers, and contributed to major regional development projects such as the port of Haifa Bay.

What makes the PEC so interesting isn't just the large size of the organization, but its unusual mission: to utilize economic development to facilitate Jewish settlement in Palestine while remaining strictly "apolitical." To a modern audience, this mission seems to be a clear contradiction — the major goal of the Zionist movement in the 1920s and '30s was Jewish immigration to Palestine. How could an organization claim to be apolitical while contributing millions of dollars to that cause?

At the heart of my study is a group of American Jewish leaders in the 1920s and '30s, including Felix Warburg and Louis Marshall, who wanted to help their persecuted coreligionists leave Europe, but who also believed Zionism risked stoking further antisemitism.

They reasoned that the solution to this conundrum was to take an "apolitical" approach to Palestine: to

help Jews settle there without officially embracing the goals of the Zionist movement. As leaders from the business world, they were accustomed to imagining capitalism and economic development as separate from politics, and argued that as long as they focused on economic support in Palestine, they could remain separate from the Zionist movement.

However, they soon realized that this distinction was not as simple as they had imagined. Was it political to give a loan to an existing Zionist settlement for expansion? Was a policy of supporting exclusively Jewish labor a political act? How would the PEC respond when approached by Arabs who were looking for loans on the same terms as Jewish settlers?

My research aims to explore how the leaders of the PEC wrestled with these difficult questions, and how they came to terms with the difficulty of acting apolitically in the nascent Jewish State.

- Jake Beckert, Ph.D. student, History



2022 OUTSTANDING STUDENT

AUDEN FINCH

Auden Finch, a third-year comparative history of ideas major, is the 2022 recipient of the **Outstanding Student in Jewish Studies** award. The award was established in 2020 to recognize exceptional students for their engagement with Jewish studies, their academic excellence, and their citizenship in the campus community.

Stroum Center faculty who worked with Auden this year praised his keen insights, his strong motivation to learn independently, and his kindness as a classmate.

Faculty member Sasha Senderovich spoke to Auden's high degree of learning around Jewish and Yiddish literatures, much of which he acquired independently, and his strong motivation to learn Yiddish, which he began to study in 2021-2022 and continued to learn in a summer 2022 intensive at the YIVO Institute.

Next year, Auden will begin work on his honors thesis, which will focus on Moyshe Kulbak's Yiddish-language novel *The Zelmenyaners*, about a Jewish family in Soviet Belorussia.

Auden Finch (right) with mother Miriam Eve (left) at the Stroum Center's End-of-Year celebration



2022-2023 GRADUATE FELLOWS IN JEWISH STUDIES



Jacob Beckert, Leo and Mickey Sreebny Memorial Fellow

Project: "Arab Loans: American Jewish Capital and Racial Anxiety in Mandatory Palestine"



Aaron Carpenter, Pamela and Robert Center Fellow

Project: "Returning Loanwords: Using Fremdwörter to Bring Home What is Missing in National Narratives"



Ara Daglian, Robinovich Family Fellow

Project: "Armenian Intercommunal Relations in Jerusalem"



Elizabeth Férauge, Max Sarason Fellow

Project: "Jewish Ecofeminism"



Forrest Martin, Ina and Richard Willner Memorial Fellow

Project: "The Moral Intelligence of Animals in the Hebrew Bible and Early Jewish Literature"



Yasir Zaidan, Robinovich Family Fellow

Project: "Contested Waterfronts: Port Developments and Insecurity in the Red Sea"

2023 FINISH LINE FELLOW MEAGHAN GUTERMAN

REDISCOVERING YIDDISH THEATER MUSIC



Meaghan Guterman received the 2022-2023 **Finish Line Fellowship**, a \$24,000 grant with benefits that supports a late-stage doctoral candidate in completing their dissertation. This fellowship was made possible through the generosity of a local donor.

In the coming academic year, Guterman will complete her Doctor of Musical Arts dissertation, which examines the song structure, vocal style,

language, themes, and influences found in Yiddish theatrical music, looking at the works of composers including Avraham Goldfaden (1840-1908), Sholom Secunda (1894-1974) and Joseph Rumshinsky (1881-1956) in comparison with other theatrical music of the same period.

Meaghan Guterman is an accomplished vocalist who has performed locally in choral ensembles including the Mägi Ensemble, Chorosynthesis, and the Saint James Cathedral Choir, where she serves as a cantor and section leader. In spring 2022, she studied Yiddish through the YIVO Institute with the support of a Stroum Center opportunity grant.

NEW SEPHARDIC STUDIES FACULTY MEMBER

Canan Bolel is the new Assistant Professor in Jewish Cultures, Literature and Languages of the Eastern Mediterranean in the UW's Department of Middle Eastern Languages and Cultures, and will be the second dedicated faculty member in the Sephardic Studies Program.



Bolel is a two-time past graduate fellow in Jewish Studies at the UW, and completed her Ph.D. in Near and Middle East Studies at the University of Washington in spring 2022. An excerpt from her dissertation, "Constructions of Jewish Modernity and Marginality in Izmir, 1860-1907," won the 2022 national competition for best graduate student essay in Jewish studies sponsored by UC Irvine.

NEW BOOKS BY STROUM CENTER FACULTY

Israel by Alan Dowty,
Polity Press

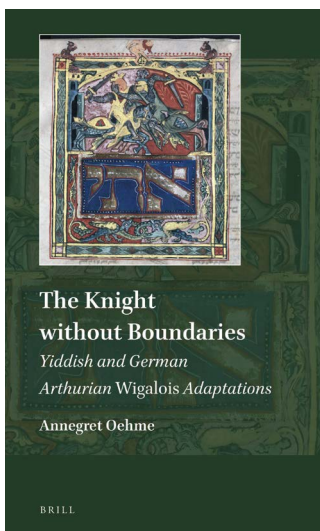
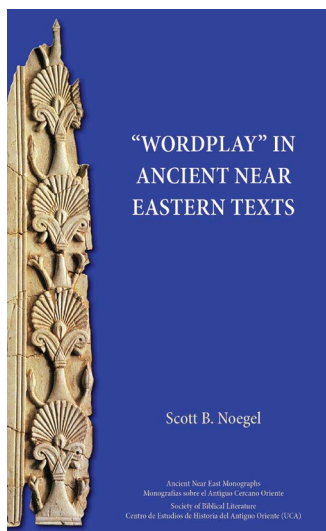
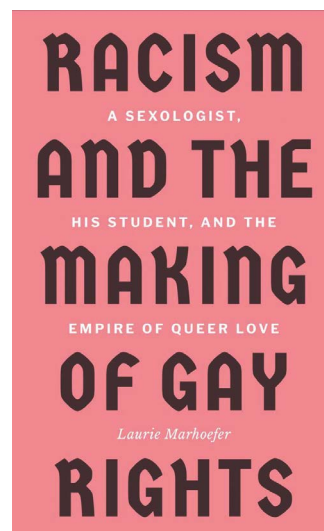
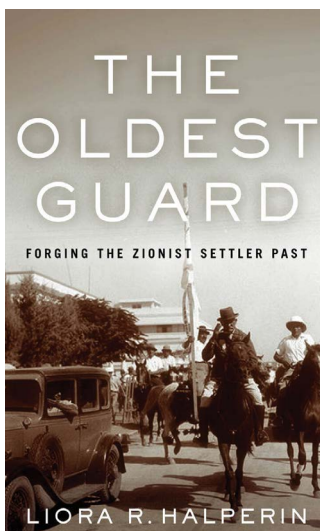
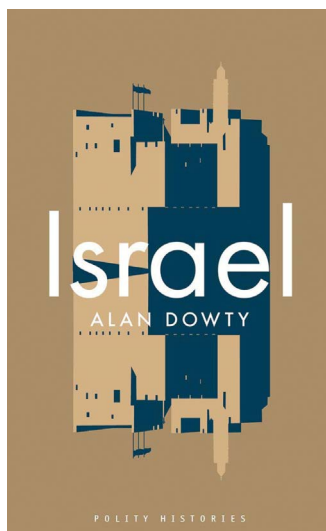
*The Oldest Guard: Forging
the Zionist Settler Past*
by Liora R. Halperin,
Stanford University Press

*Racism and the Making of
Gay Rights: A Sexologist, His
Student, and the Empire of
Queer Love*
by Laurie Marhoefer,
University of Toronto Press

*"Wordplay" in Ancient Near
Eastern Texts*
by Scott B. Noegel, Society
of Biblical Literature Press –
book publicly available online
through the SBL website

*The Knight Without Boundaries:
Yiddish and German Arthurian
Wigalois Adaptations*
by Annegret Oehme, Brill

How the Soviet Jew Was Made
by Sasha Senderovich,
Harvard University Press



2021-2022 FACULTY

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Nicolaas P. Barr

Smadar Ben-Natan

Daniel Bessner

Richard Block

Galya Diment

Alan Dowty

Kathie Friedman

Andrea Gevurtz Arai

Susan A. Glenn

Brendan Goldman

Ana Gómez-Bravo

Liora R. Halperin

Barbara Henry

Hadar Khazzam-Horovitz

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Devin E. Naar

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Annegret Oehme

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Noga Rotem

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Exhibit 12



UNIVERSITY of WASHINGTON

HEALTH SCIENCES ADMINISTRATION

Office of the Executive Director

September 5, 2019

Jacqui Bales

Jacqui.bales@gmail.com

RE: IACUC - Committee Unaffiliated Membership Appointment - *Extension*

Dear Jacqui:

Thank you for your service as a committee unaffiliated member on the IACUC. Based on Health Sciences Administration Committee Best Practices, committee membership is for a length of two years. Your two year membership ends effective September 30, 2019.

We would like to extend your unaffiliated membership for another two years effective immediately and ending September 2021.

Thank you for your continued service to this important committee.

Regards,

David M. Anderson, D.V.M.

Executive Director, Health Sciences Administration

Committee Sponsor

Cc: Dr. Jane Sullivan

Dr. Kim Stocking

Exhibit 13



UNIVERSITY of WASHINGTON

HEALTH SCIENCES ADMINISTRATION

Office of the Executive Director

April 9, 2019

Scott Haskell

srrhaskell@gmail.com

RE: IACUC - Committee Unaffiliated Membership Appointment - *Extension*

Dear Scott:

Thank you for your service as a committee member on the IACUC. Based on Health Sciences Administration Committee Best Practices, committee membership is for a length of two years. Your two year term will end in April 2019.

We would like to extend your unaffiliated membership for another two years effective immediately and ending April 2021.

Regards,

A handwritten signature in cursive script that reads "D. M. Anderson".

David M. Anderson, D.V.M.

Executive Director, Health Sciences Administration

Committee Sponsor

Cc: Dr. Jane Sullivan, IACUC Chair

Dr. Kim Stocking, OAW

Exhibit 14

University of Washington

D16-00292 (A3464-01)

Animal Welfare Assurance

Animal Welfare Assurance for Domestic Institutions

I, Joe Giffels, as named Institutional Official for animal care and use at University of Washington, provide assurance that this Institution will comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy).

I. Applicability of Assurance

This Assurance applies whenever this Institution conducts the following activities: all research, research training, experimentation, biological testing, and related activities involving live vertebrate animals currently supported by the PHS and NSF. We have no current funding supported by NASA. This Assurance covers only those facilities and components listed below.

A. The following are branches and components over which this Institution has legal authority, included are those that operate under a different name:

On-Campus components and facilities, Seattle WA:

1. The Warren G. Magnuson Health Sciences Center, which is comprised of five schools that utilize animals (Dentistry, Medicine, Nursing, Pharmacy and Public Health). Facilities include:
 - a. Health Sciences Building (HSB)
 - b. Center on Human Development and Disability (CHDD)
 - c. Animal Research Center Facility (ARCF)
2. The Washington National Primate Research Center (WaNPRC) located in HSB and ARCF
3. The College of Arts and Sciences. Facilities include:
 - a. Guthrie Hall
 - b. Hitchcock Hall
 - c. Kincaid Hall
 - d. Chemistry Library Building
 - e. Benson Hall
 - f. Life Sciences Building (LSB)
4. The College of Engineering. Facilities include:
 - a. Foege Building
5. The College of the Environment. Facilities include:
 - a. Portage Bay Building
 - b. Hitchcock Hall
 - c. Fisheries Teaching and Research Building

Off-Campus components and facilities that are located within one hour drive of Campus

1. Benjamin Hall Interdisciplinary Research Building, 616 NE Northlake Place, Seattle, WA
2. Brotman Building, 850 Republican Street, Seattle, WA
3. Harborview Medical Center 9th and Jefferson Building, 908 Jefferson, Seattle WA
4. Harborview Research and Training Building, 325 Ninth Avenue, Seattle, WA
5. Northlake Diesel Exposure Facility, 668 N. E. Northlake Way, Seattle WA
6. Roosevelt Building, 4225 Roosevelt Way, Seattle, WA
7. South Lake Union campus - SLU2 North and South Buildings, Brotman, SLU 3.1 and SLU 3.2 buildings, 850 Republican Street, Seattle, WA
8. The Washington National Primate Research Center (WaNPRC), Western Building, 3000 Western Ave., Seattle, WA

Off-Campus components and facilities that are located more than a one hour drive from campus.

The UW IACUC visits each facility within the six months prior to housing any animals and at least once every six months when animals are present.

Veterinary coverage provided from campus and as noted.

1. Friday Harbor Laboratories, 620 University Rd. Friday Harbor, San Juan Island, WA – aquatic research only (3 hours), UW veterinarian available by phone
2. Pack Forest, 9010 453rd St E, Eatonville, WA – tracking dogs (2 hours); local vet on call; staff members are also trained in basic emergency care.
3. The Washington National Primate Research Center (WaNPRC), Arizona Breeding Colony, 4202 N. Higley Rd., Box 20836, Mesa AZ – Multiple UW veterinarians on Site

B. The following are other institution(s), or branches and components of another institution:

1. Manchester Field Station, 7305 E. Beach Dr., Port Orchard, WA 98366

The IACUC will provide protocol review & approval, and oversight on the research being conducted at these locations. The UW IACUC visits each facility within the six months prior to housing any animals and at least once every six months when animals are present.

II. Institutional Commitment

- A. This Institution will comply with all applicable provisions of the [Animal Welfare Act](#) and other Federal statutes and regulations relating to animals.
- B. This Institution is guided by the "[U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training](#)."
- C. This Institution acknowledges and accepts responsibility for the care and use of animals involved in activities covered by this Assurance. As partial fulfillment of this responsibility, this Institution will ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with this Assurance, and other applicable laws and regulations pertaining to animal care and use.
- D. This Institution has established and will maintain a program for activities involving animals according to the *Guide for the Care and Use of Laboratory Animals* ([Guide](#)).
- E. This Institution agrees to ensure that all performance sites engaged in activities involving live vertebrate animals under consortium (subaward) or subcontract agreements have an Animal Welfare Assurance and that the activities have Institutional Animal Care and Use Committee (IACUC) approval.

III. Institutional Program for Animal Care and Use

A. The lines of authority and responsibility for administering the program and ensuring compliance with the PHS Policy are delineated in the attached organizational charts (Appendix A). As indicated, there are direct and open lines of communication between the IACUC and the Institutional Official (IO) and between the Veterinarian and the IO.

B. The qualifications, authority, and percent of time contributed by the veterinarian(s) who will participate in the program are as follows:

University Attending Veterinarian: Dr. Kim Stocking is the Attending Veterinarian and has direct program authority and responsibility for the Institution's animal care and use program including access to all animals.

Veterinarians	Responsibilities	Employed Full Time by DCM, % dedicated to program	Part Time, time dedicated to program	Education and Qualifications	Years of Experience
Kim Stocking	University Attending Vet, Director Office of Animal Welfare	100%, employed full time by UW		DVM, University of Illinois, 1986; Diplomate ACLAM	29
Thea Brabb	Chair, Department of Comparative Medicine	75%		DVM, University of Illinois, 1985; PhD, Molecular Biotechnology, University of Washington, 1999; Diplomate ACLAM	31
(b) (6)	Clinical	(b) (6)			
	Clinical				
	Animal facilities and operations, clinical				
	Rodent Health Monitoring (Quality Assurance), Pathology				
	Clinical				
	Clinical				
	Pathology				
	Clinical				

Veterinarians	Responsibilities	Full Time, % dedicated to program	Part Time, time dedicated to program	Education and Qualifications	Years of Experience
(b) (6)	Clinical	(b) (6)			
	Clinical				
	Investigator Training				
	Genetic Resources				
	Pathology				
	Assoc. Attending Vet, Clinical				
	Clinical				
	Clinical				

Veterinarians	Responsibilities	Full Time, % dedicated to program	Part Time, time dedicated to program	Education and Qualifications	Years of Experience
(b) (6)	Clinical	(b) (6)			
	Investigator Training				
	Clinical/ Anesthesia				
	Aquatic				
	Pathology				
	Clinical				
	Consultant- Avian				
	Consultant – Comparative Pathology of Bone				

Veterinarians	Responsibilities	Full Time, % dedicated to program	Part time	Education and Qualifications	Years of Experience
(b) (6)	Consultant - Pathology	(b) (6)			
	Consultant - Pathology				

Veterinarians – WaNPRC	Responsibilities	Full Time, % dedicated to program	Part Time, time dedicated to program	Education and Qualifications	Years of Experience
(b) (6)	Pathology	(b) (6)			
	Clinical				
	Clinical				
	Regulatory/ Clinical				

Veterinarians – WaNPRC	Responsibilities	Full Time, dedicated to program	Part Time, time dedicated to program	Education and Qualifications	Years of Experience
(b) (6)	Clinical	(b) (6)			
	Clinical				
	Clinical				
	Pathology				
	Clinical				
	Clinical				

C. The IACUC at this Institution is properly appointed according to PHS Policy IV.A.3.a. and is qualified through the experience and expertise of its members to oversee the Institution's animal care and use program and facilities. The IACUC consists of at least 5 members, and its membership meets the composition requirements of PHS Policy IV.A.3.b. Attached is a list of the chairperson and members of the IACUC and their names, degrees, profession, titles or specialties, and institutional affiliations. See Part VIII for list.

D. The IACUC will:

- 1) Review at least once every six months the Institution's program for humane care and use of animals, using the Guide as a basis for evaluation. The IACUC procedures for conducting semiannual program reviews are as follows:
 - Components of the Institutional Animal Care and Use Program are reviewed at a convened meeting at least once every six months.
 - The Committee uses the Guide and other pertinent resources, e.g., the PHS Policy, the Code of Federal Regulations (Animal Welfare) as a basis for the review.
 - To facilitate the evaluation, the Committee may use a checklist based on the Sample OLAW Program and Facility Review Checklist from the OLAW website and all components of the checklist are included in the review. The evaluation will include, but not necessarily be limited to, a review of the following:
 - a. Institutional and Individual Responsibilities
 - b. IACUC Membership and Functions;
 - c. IACUC Member Experience and Training
 - d. IACUC Records and Reporting Requirements;
 - e. Husbandry and Veterinary Care (all aspects);
 - f. Personnel Qualifications (Experience and Training);
 - g. Occupational Health and Safety;
 - h. Emergency and Disaster Planning.
 - i. Security (personnel and facility)
 - If program deficiencies are noted during the review, they are categorized as significant or minor and the Committee will develop a reasonable and specific plan and schedule for correcting each deficiency.
 - Subcommittees may be used to conduct all or part of the reviews. However, no member will be involuntarily excluded from participating in any portion of the reviews.
- 2) Inspect at least once every 6 months all of the Institution's animal facilities, including satellite facilities and animal surgical sites, using the *Guide* as a basis for evaluation. The IACUC procedures for conducting semiannual facility inspections are as follows:
 - For Facilities that House USDA-Regulated Species – At least once every six months at least two members of the IACUC inspect all of the institution's animal facilities [that house USDA-regulated species]—including animal surgery sites and animal study areas (An animal study area is any building, room, enclosure, or other containment outside of the core animal facility or centrally designated or managed area in which animals [USDA regulated species] are housed for more than 12 hours).
 - For Facilities that House only non-USDA Regulated Species – At least once every six months the IACUC inspects all of the institution's animal facilities— including animal surgery sites and satellite facilities (A satellite facility is any containment outside of the core facility or centrally designated or managed area in which animals are held for more than 24 hours).

- The Institutional Animal Care and Use Committee (IACUC) may, at its discretion, determine the best means of conducting an evaluation of the institution's programs and facilities. The IACUC may invite ad hoc consultants to assist in conducting the evaluation. However, the IACUC remains responsible for the evaluation and report.
 - The areas inspected (for USDA and non-USDA regulated species) include, but are not necessarily limited to the following: any and all buildings, rooms, areas, enclosures, or vehicles and equipment, including satellite facilities, used for animal confinement, transportation, maintenance, breeding, or experiments inclusive of surgical manipulation.
 - Procedural (non-housing) spaces where procedures on non-USDA regulated species do not involve surgical manipulation, or where only perfusion procedures are conducted may be inspected once a year if there have been no inspection findings in the previous two semi-annual inspections.
 - Subcommittees may be used for inspections. However, no IACUC member will be involuntary excluded from participating in any portion of the inspections.
 - If deficiencies are noted during the inspection, they will be categorized as significant or minor and the Committee will develop a reasonable and specific plan and schedule for correcting each deficiency. A significant deficiency is one that is or may be a threat to the health and safety of the animals or personnel.
- 3) Prepare reports of the IACUC evaluations according to PHS Policy IV.B.3. and submit the reports to the Institutional Official. The IACUC procedures for developing reports and submitting them to the Institutional Official are as follows:
- The semiannual program and facility reports are developed on an ongoing basis during an established six-month period. The report is finalized and reviewed by the IACUC at a convened meeting at the conclusion of that period. The final semiannual report is sent to the Institutional Official for review.
 - The reports contain a description of the nature and extent of the institution's adherence to the Guide and the PHS Policy.
 - IACUC approved departures from the provisions of the Guide and the PHS Policy will be identified by review of minutes of convened IACUC meetings and by IACUC protocol database reports. Departures will be described in the reports to the Institutional Official, including the reasons for each departure. If there are no departures, the report will so note.
 - Approved departures must be approved as part of a protocol, protocol amendment, or other written document, using either full committee review (FCR) or designated member review (DMR) as delineated below in Section III.D.6.
 - Departures from the provisions of the Guide that are not IACUC approved are considered deficiencies, reported to OLAW by the IO, and addressed as such, i.e., the IACUC will develop a reasonable plan and schedule for discontinuing the departure or for having the departure properly reviewed and approved.
 - The reports distinguish significant deficiencies from minor deficiencies. If program or facility deficiencies are noted, the reports will contain a reasonable and specific plan and schedule for correcting each deficiency.
 - If some or all of the institution's facilities are accredited by AAALAC International the reports will identify those facilities as such.
 - The draft report will be provided to the IACUC for review and revised as appropriate and specified by the IACUC members.

- The final reports are signed via email concurrence with image of the signature by a majority of the IACUC members and will include any minority opinions. If there are no minority opinions it will be noted in the report.
 - Following the completion of each six-month evaluation period, the completed reports are submitted to the Institutional Official in a timely manner.
 - Personnel of the University's Office of Animal Welfare (OAW) track scheduled correction dates and receive written notice of progress and completion from responsible parties (e.g., facility staff, PIs, etc.).
 - The IACUC is informed if there are deadlines that may not be met based on current progress. In such cases, the committee may approve extension of a correction deadline to a new date. However, failure to correct a significant deficiency by the scheduled correction date will be reported to OLAW and any other the applicable agencies—even if an extension is granted.
- 4) Review concerns involving the care and use of animals at the Institution. The IACUC procedures for reviewing concerns are as follows:
- Any individual may report animal welfare concerns to the Institutional Official, IACUC member, Institutional Veterinarian or Chairperson.
 - Our electronic IACUC management system is used to track concerns including semi-annual inspection findings, adverse events and protocol/policy non-compliances. There are several sources of these concerns: IACUC inspections, post-approval monitoring visits, reports from the Attending Veterinarian or OAW Director, and reports submitted by individuals.
 - Animal welfare concerns can be presented via several mechanisms. There is an anonymous email set up, a phone number for the Office of Animal Welfare, and a phone number for the University Compliance Hotline. All options for presenting concerns are posted in vivaria and all animal use spaces. In addition, they are posted on websites for the OAW, Department of Comparative Medicine and WaNPRC.
 - University of Washington Presidential Executive Order 53 on Animal Use as well as Washington State Whistleblower laws protect the concerned/reporting party from discrimination and reprisals.
 - All reported concerns are initially investigated by the OAW Director and all credible concerns will be brought to the attention of the full Committee.
 - If necessary, the IACUC Chair will convene a meeting to discuss, investigate, and address any reported concern.
 - Reported concerns and corrective actions (if any) are documented in the IACUC meeting minutes and included in the Semiannual Report to the Institutional Official.
- 5) Make written recommendations to the Institutional Official regarding any aspect of the Institution's animal program, facilities, or personnel training. The procedures for making recommendations to the Institutional Official are as follows:
- Recommendations regarding any aspects of the institution's animal program or facilities are discussed and developed by the Committee.
 - The Committee's recommendations are included in the IACUC meeting minutes or a report of the IACUC's evaluations or a separate letter. Such documents are reviewed and approved by the Committee and then submitted to the IO.

- 6) Review and approve, require modifications in (to secure approval), or withhold approval of PHS-supported activities related to the care and use of animals according to PHS Policy IV.C.1-3. The IACUC procedures for protocol review are as follows:

Submission, Pre-review, & Distribution:

The IACUC requires approval for all use of live vertebrate animals, including pilot and field studies. Project approvals are sought by submission of the completed application to the Office of Animal Welfare via an electronic IACUC (eIACUC) management system. The protocol is routed in the eIACUC system to the IACUC members as follows:

- The protocol is pre-reviewed by OAW staff and a veterinarian for completeness. If necessary, additional information is requested from the Principal Investigator, based on this initial review.
- After the pre-review, items are visible to IACUC members in the eIACUC system where every IACUC member can access them and post questions, comments, and/or request full-committee review (FCR).
- IACUC members are notified via email every weekday that protocols are ready for review in the eIACUC system. The deadline for requesting FCR is a minimum of three full business days from the notification.
- If FCR is requested, approval of those protocols may be granted only after review at a convened meeting of a quorum of the IACUC and with the approval vote of a majority of the quorum present.
- If FCR is not requested, then designated-member review (DMR) method is used for final disposition.

Designated-Member Review (DMR):

- If FCR is not requested, the IACUC Chair appoints at least one member of the IACUC, who is qualified to conduct the review, as the designated-member reviewer.
- Records of polling of members to obtain concurrence to use the DMR method, or concurrence by silent assent, and approval of protocols via DMR, are maintained and recorded in the eIACUC system.
- The designated reviewer(s) for a protocol may approve, require modifications in order to secure approval, or may request a full-committee review of the protocol.
- Other IACUC members may provide the designated reviewer(s) with comments and/or suggestions for the reviewer's consideration only. That is, concurrence to use the DMR method may not be conditional.
- If more than one designated reviewer is appointed then each must concur after all required modifications have been made to the protocol in the eIACUC system. That is, in order to approve, all reviewers must review an identical final protocol.
- If multiple designated reviewers are used their decision to approve the final revised protocol must be unanimous; if not, the protocol will be referred for FCR.
- The possible final outcomes of DMR are as follows: Protocol can be approved or sent for full-committee review.

Full-Committee Review (FCR):

- Protocols that require FCR are presented, discussed and voted on at a convened meeting of the IACUC.
- Meetings are generally conducted monthly and members may attend in person or via telecommunications (including videoconferencing). All use of telecommunications is in accordance with NIH Notice NOT-OD-06-052 of March 24th, 2006, entitled Guidance on Use of Telecommunications for IACUC Meetings under the PHS Policy on Humane Care and Use of Laboratory Animals.
- Documents are provided to all members in advance of the meeting via the eIACUC system.
- If a protocol is being reviewed at a convened meeting, then the protocol is presented to the IACUC and a motion is made and seconded for the approval of the protocol. Voting is performed by voice and hand raising and votes are tallied and the results presented back to the committee after they are counted.
- The protocol is approved if there is an approval vote by a majority of the quorum present.
- Review of Required Modifications Subsequent to FCR. The review of required modifications subsequent to FCR will be done in accordance with PHS Notice Number: NOT-OD-09-035, January 2009. When the IACUC requires modifications (to secure approval), of a protocol, such modifications are reviewed as follows:
 - a. FCR or DMR following all applicable procedures as delineated in the PHS Policy and elsewhere in Part III.D.6 of this Assurance.
 - OR**
 - b. DMR if approved unanimously by all members present at the meeting at which the required modifications are developed/delineated AND if all current and newly added IACUC members have previously agreed in writing via email affirmation that the quorum of members present at a convened meeting may decide by unanimous decision to use DMR subsequent to FCR when modification is needed to secure approval. However, any member of the IACUC may, at any time, request to see the revised protocol and/or request FCR of the protocol.
- Minor modifications of an administrative nature, i.e., typographical or grammatical errors, required signatures, etc. may be confirmed by IACUC administrative support personnel.
- The three possible outcomes are approved, require modifications (to secure approval), or withhold approval.

Special or Expedited Reviews:

- Expedited reviews are handled via our standard process with committee members given 3 full business to review and request FCR. If FCR is not requested, then the review is handled by DMR. If FCR is requested, then a meeting would be convened with a quorum of the IACUC present.

All Reviews (FCR and DMR):

- No member may participate in the IACUC review or approval of a project in which they have a conflicting interest (e.g., they are personally involved in the project), except to provide information requested by the IACUC.
- No member may contribute to a quorum for the IACUC review or approval of a project in which they have a conflicting interest (e.g., they are personally involved in the project). Before any vote on FCR, Office of Animal Welfare staff confirms that a quorum still exists when a member(s) recuses themselves.
- In order to approve proposed protocols or proposed significant changes in ongoing protocols, the IACUC will conduct a review (by FCR or DMR) of those components related to the care and use of animals and determine that the proposed protocols are in accordance with the PHS Policy. In

making this determination, the IACUC will confirm that the protocol will be conducted in accordance with the Animal Welfare Act insofar as it applies to the activity, and that the protocol is consistent with the Guide unless acceptable justification for a departure is presented. Further, the IACUC shall determine that the protocol conforms to the institution's PHS Assurance and meets the following requirements:

- a. Procedures with animals will avoid or minimize discomfort, distress, and pain to the animals, consistent with sound research design.
 - b. Procedures that may cause more than momentary or slight pain or distress to the animals will be performed with appropriate sedation, analgesia, or anesthesia, unless the procedure is justified for scientific reasons in writing by the investigator.
 - c. Animals that would otherwise experience severe or chronic pain or distress that cannot be relieved will be painlessly killed at the end of the procedure or, if appropriate, during the procedure.
 - d. The living conditions of animals will be appropriate for their species and contribute to their health and comfort.
 - e. The housing, feeding, and nonmedical care of the animals will be directed by a veterinarian or other scientist trained and experienced in the proper care, handling, and use of the species being maintained or studied.
 - f. Medical care for animals will be available and provided as necessary by qualified veterinarian.
 - g. Personnel conducting procedures on the species being maintained or studied will be appropriately qualified and trained in those procedures.
 - h. Methods of euthanasia used will be consistent with the current American Veterinary Medical Association (AVMA) Guidelines for the Euthanasia of Animals unless a deviation is justified for scientific reasons in writing by the investigator.
- All projects regardless of funding source must be found to be scientifically meritorious in order to be approved by the IACUC. This is most often established by review performed by an external funding agency. In cases such as pilot studies or internally funded studies that will not be reviewed for scientific merit by an outside funding agency, the project must be found to be scientifically meritorious by the PI's School or Department, or by the WaNPRC Research Advisory Committee.
 - The IACUC can designate any project for the University's Veterinary/Protocol Monitoring Program (i.e., a specific person, usually a veterinarian, is assigned to closely monitor the project). This designation is most often used for protocols with complicated veterinary issues or protocols that have the potential to cause more than minimal pain or distress to the animals.
- 7) Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding the use of animals in ongoing activities according to PHS Policy IV.C. The IACUC procedures for reviewing proposed significant changes in ongoing research projects are as follows:
- Approval of Significant Changes to protocols is required before they can be implemented.
 - Other than the specific exceptions delineated in OLAW Guidance, Notice NOTOD-14-126, August 26, 2014 and as delineated below and in IACUC approved policies, review and approval of significant changes will be handled in the same manner as new protocols. See Part III.D.6.above.
 - Examples of changes considered to be significant include, but are not limited to, changes:
 - a. in study objectives or overall aims;
 - b. in surgical procedures:
 - from not involving surgery to involving surgery;

- from non-survival surgery to survival surgery;
 - from minor surgery to major surgery;
 - from a single surgical procedure to multiple surgical procedures;
 - c. resulting in greater pain, distress, or degree of invasiveness from what was either specified or presumed to occur when the protocol was originally approved;
 - d. in housing and or use of animals in a location that is not part of the animal program overseen by the IACUC;
 - e. in species;
 - f. in Principal Investigator (PI);
 - g. that impact personnel safety;
 - h. in anesthetic agent(s) or the use or withholding of analgesics;
 - i. in the method of euthanasia;
 - j. in the duration, frequency, or number of procedures performed on an animal
 - k. in approximate number of animals used
- Review and approval of items a. – g. must be by FCR or DMR. See Part III.D.6.above.
 - Review and approval of items h. – j. may also be handled administratively in consultation with a University of Washington veterinarian who is authorized by the IACUC and as described in an IACUC approved written policy(ies) that is compliant with OLAW Guidance, Notice NOT-OD-14-126, August 26, 2014. Such policies will include specific evaluation criteria, e.g., published drug formularies, AVMA Guidelines for the Euthanasia of Animals, allowable blood draw data/charts, etc. Such policies will also address possible negative impacts on animal welfare.
 - Review and approval of item k. may also be handled administratively, but without requiring additional veterinary consultation, as described in IACUC approved written policies that are compliant with OLAW Guidance, Notice NOT-OD-14-126, August 26, 2014. Such policies will address the rationale for the original number of animals used, approved study objectives, the rationale for the additional animals, and possible negative impacts on animal welfare.
 - All such aforementioned policies related to administrative review will be adopted by formal action by the IACUC.
 - All authorizations of individuals by the IACUC to handle changes administratively will be specific (by name or position title and change(s) authorized to handle) and in writing.
 - All such aforementioned policies may be approved for a maximum of 36 months only. That is, all such policies expire no later than the three-year anniversary of the IACUC approval.
 - If the IACUC wishes to continue the procedures/policies and/or authorizations beyond the expiration date, prior to expiration of the policy, the existing or a new policy must be reviewed and adopted by formal action by the IACUC using FCR or DMR.
 - All approved changes will be documented in the eIACUC system under the associated protocol.

Veterinary Verification and Consultation

- The IACUC has authorized the specific University of Washington veterinarians to approve Significant Changes in accordance with IACUC policies. The VVC policy includes the following:
 1. Changes in anesthesia, analgesia, sedation, or experimental substances that do not result in greater pain, distress, or degree of invasiveness;
 2. Changes in euthanasia to any method approved by the AVMA Guidelines for Euthanasia of Animals; and
 3. Changes in duration, frequency, type or number of procedures performed on an animal that do not result in greater pain, distress or degree of invasiveness.
- The veterinarian reviewing and approving such changes will confirm that the requested change is in alignment with this policy and does not change any of the items a-g listed above, is in alignment with all relevant IACUC policies (e.g., Analgesia in Research Animals),

conforms with sound professional judgment, and should not require training that cannot be provided to the investigative group at or before implementation of the change. Furthermore, the veterinarian, for any reason, may refer any Significant Change request to the IACUC for approval as described in Section III.D.6.

- The Approved Significant Change will be incorporated into to the PI's animal use protocol.

Increase in Previously Approved Animal Numbers

- The IACUC has approved a policy to evaluate an increase in previously approved animals. A Significant Change in animal numbers can be reviewed and approved administratively by the OAW if:

1. The animals are being requested to replace animals that for a justified reason(s) could not be used and;
2. The number of additional animals is not more than 10% of the number of animals initially approved, or not more than one animal, in the case of an experiment for which fewer than 10 animals were initially approved.

- Requests for additional animals for a new experiment that is not described in the approved protocol cannot be handled administratively.
- If additional animals are needed due to unexpected morbidity or mortality associated with an IACUC-approved experiment, the adverse event(s) must be reported to the IACUC. In this case, an increase in animal numbers requires IACUC approval as described in Section III.D.6.

- 8) Notify investigators and the Institution in writing of its decision to approve or withhold approval of those activities related to the care and use of animals, or of modifications required to secure IACUC approval according to PHS Policy IV.C.4. The IACUC procedures to notify investigators and the Institution of its decisions regarding protocol review are as follows:

- If modifications are required to secure approval, the research group is notified of the required modifications by comments posted in the eIACUC system.
- Principal Investigators are notified of decisions regarding protocol review by email and posting in the eIACUC system.
- If approval is withheld, the investigator is notified of the decision by email and posting in the eIACUC system. The notification includes the reason(s) for the decision and informs the investigator that they may respond in writing or in person at a convened meeting of the IACUC.
- Decisions regarding protocol reviews are provided in the eIACUC system to the Committee and Institutional Official. A summary count of the protocols, amendments, annual renewals and VVCs is provided in the supporting documents for each IACUC meeting.

- 9) Conduct continuing review of each previously approved, ongoing activity covered by PHS Policy at appropriate intervals as determined by the IACUC, including a complete review at least once every 3 years according to PHS Policy IV.C.1.-5. The IACUC procedures for conducting continuing reviews are as follows:

- As part of the Office of Animal Welfare (OAW), individuals who serve as a Scientific Liaison work with PIs and their staff on an on-going basis. The liaison usually meets with the PI and their staff to review their protocol(s) and facilities, listen to any issues or concerns they may have, and recommend changes or make suggestions for improvement.

- The meeting is an opportunity to facilitate researchers' on-going and future needs.
- Between meetings, PIs and their staff are encouraged to contact their Scientific Liaison with questions or problems related to animal use. They can help with protocol changes, form submission, and pre-review of new or renewal protocols.
- The Scientific Liaison is also a source of information on changes to laws, regulations, policies, and training requirements.
- If a reportable non-compliance is discovered as a result of these interactions, the Scientific Liaison notifies the Director of OAW, who assists with follow-up, and assures reporting to the IACUC and appropriate agencies (e.g., OLAW and AAALAC).
- OAW liaisons conduct new grant-protocol congruency reviews and facilitate protocol revisions as needed to ensure all animal use described in a new grant is covered under the appropriate protocol.
- The University of Washington also utilizes the veterinary monitoring program for post-approval review. Projects are assigned to this program either by the IACUC, at the request of a particular IACUC member during review, or by the Attending Veterinarian. A veterinary monitor, who is often a veterinary resident, is assigned to the project to facilitate completion of the research and facilitate changes to the IACUC protocol if those are needed. The veterinary monitor reports the progress of each project monthly to the Attending Veterinarian and the Attending Veterinarian reports, in summary form, progress to the IACUC at IACUC meetings.
- In addition, housing and procedure locations are visited semi-annually and during that visit, IACUC members not only examine locations but also discuss with the research teams research methods, progress, and problems.
- Finally, administrative review by the IACUC of the WaNPRC and Veterinary Services occurs every six months. This review was designed as an additional method to facilitate ongoing IACUC oversight of animal use at the University. Veterinary staff, behavioral management staff, and reassignment personnel are all present to answer questions and present information regarding research projects and animal care.

Continuing / Periodic Protocol Review

- Three Year Renewals are required for all projects
- USDA Regulated Species – Periodic protocol reviews are required for USDA covered species and are conducted by a member or members of the IACUC at least once every 12 months.
- DoD funded research – Periodic protocol reviews are conducted by a member or members of the IACUC at least once every 12 months.
- Non-USDA Regulated Species – For protocols involving only non-USDA regulated species, periodic protocol reviews by the IACUC are done at least every three years (Triennial de novo review). Periodic continuing review may be done more frequently, e.g., annually or as required based on funding or sponsor requirements.
- Protocols are approved for a maximum of 36 months. That is, all protocols expire no later than the three-year anniversary of the initial IACUC approval.
- If activities will continue beyond the protocol expiration date, prior to expiration of the protocol, a complete Triennial Review must be submitted in the eIACUC system. This constitutes a de novo protocol and follows the submission, review and approval process as described in Paragraph III.D.6., above.

- The IACUC must approve the Triennial Review prior to the expiration of the extant protocol. If not, the protocol lapses and all animal work on it must cease until the Triennial review is approved.

10) Be authorized to suspend an activity involving animals according to PHS Policy IV.C.6. The IACUC procedures for suspending an ongoing activity are as follows:

- The UW IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted in accordance with applicable provisions of the Animal Welfare Act, the Guide, the institution's Assurance, or IV.C.1.a.-g. of the PHS Policy.
- The UW IACUC may suspend an activity only after review of the matter at a convened meeting of a quorum of the IACUC and with the suspension vote of a majority of the quorum present.
- If the UW IACUC suspends an activity involving animals, or if any other institutional intervention results in the temporary or permanent suspension of an activity due to noncompliance with the Policy, the Animal Welfare Act, the Guide, or the institution's Assurance, the Institutional Official in consultation with the IACUC shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation, in writing, to OLAW. Preliminary reports may be made verbally.

11) Approval of non-protocol items is by a majority of those voting at a meeting.

E. The risk-based occupational health and safety program for personnel working in laboratory animal facilities and personnel who have frequent contact with animals is as follows:

1. Overview:

- There are several entities involved in the coordination of the occupational health program:
 - a. The University's Environmental Health and Safety Department (EH&S) is responsible for the overall management of the Occupational Health and Safety Program for personnel involved in the care and/or use of laboratory animals.
 - b. The Office of Animal Welfare is the ultimate gate keeper for ensuring that the Occupational Health documents and training have been reviewed and approved prior to approval of the IACUC protocol.
 - c. The EH&S Department, administers UW Occupational Health and Safety Programs, and partners with UW Organizational Units to assist them in meeting the requirements. The goal of these programs is to identify, evaluate, and mitigate/control factors in the work environment that may cause illness or injury. These programs include but are not limited to the following:
 - i. Accident Prevention Program,
 - ii. Biological Safety Program,
 - iii. Bloodborne Pathogens Program,
 - iv. Chemical Safety Program,
 - v. Hearing Loss Prevention Program,
 - vi. Respiratory Protection Program,
 - vii. Radiation Safety Program, and the
 - viii. Occupational Health Program (including animal use medical screenings).

In addition to the EH&S Department, the UW Organizational Health and Safety Committees representing all UW departments meet monthly to review and follow-up on accident/incident reports and make recommendations for improving health and safety.

d. The Institutional Biosafety Committee (IBC) has the responsibility for independent review and approval of research involving biohazards, including recombinant/synthetic DNA.

e. Institutional Chemical and Physical Hazards in Research Safety Committee works with EHS to develop and implement best practices that support a culture of safety within laboratory environments including animal use areas.

- An EH&S Occupational Health Nurse is responsible for administering and managing the Occupational Health Programs and for coordinating with other EH&S sections to address specific occupational safety issues in the animal care and use environment. This involves coordination and consultation between veterinary staff, animal care staff, other EH&S technical experts (e.g., the biosafety officer, radiation safety officer, occupational hygienists), the WaNPRC Occupational Health and Biosafety Specialist, the IACUC, the Institutional Biosafety Committee, Employee Health medical providers, and numerous other University committees and departments.

2. Scope

- All individuals working with animals, or within animal housing or use areas, are included in the Animal Use Occupational Health and Safety Program. This includes employees as well as students, volunteers, and support services personnel (e.g., UW police, UW Facilities Services staff). Participation in this program is mandatory. All individuals are required to complete at least an initial Animal Use Medical Screening (AUMS) form. After that initial screening, they are offered follow-up AUMS health assessments, the frequency of which is based on the risks associated with their particular position with the option to decline that assessment. However, if they decline and this poses a risk to animals, or if there is significant risk to the employee as determined by EH&S, work with animals would be restricted. Non-University personnel (visitors, outside contractors, etc.) who enter the animal care and use area submit a shorter version of the AUMS form or provide documentation of enrollment in their home institution's occupational health and safety program.
- Most individuals enroll in the program by completing an AUMS form online. Employees of the Department of Comparative Medicine, the Washington National Primate Research Center, and some support services personnel enroll by completing an Employee Hazard Screen and an Animal Contact Health Questionnaire (AHA); the AHA is comparable to the AUMS used for research and other support staff (See Item 3 below).
- The assessment for employees of DCM and the WaNPRC also includes a medical monitoring program designed with their jobs and exposures in mind. Newly hired employees are given a post-offer, pre-employment, in person medical evaluation.
- All staff members involved in the husbandry and veterinary care of animals are re-evaluated by a health care professional on an annual basis.

3. Health Histories and Evaluations and Risk Assessments

- Each individual that will be potentially exposed to the animal care and use environment must be offered an animal use medical screening at least once every three years—or more frequently based on the nurse's discretion. The AUMS form asks about the nature of work in the animal care and use environment, the types of animals used, allergies, medical history, among other questions. The Occupational Health Nurse reviews the employee hazard screen, health history, and annual health assessment/update. After review, the nurse follows up with the individual as necessary to discuss the responses and work environment or to discuss the individual health assessment. The Occupational Health Nurse issues an AUMS clearance letter upon completion. The clearance status is communicated to the employee and the Office of Animal Welfare. Only persons who are cleared can be on an approved protocol, and allowed access into the animal areas.

- The above procedure regarding the collection, evaluation, and maintenance of personal medical information is Federal, State, and Locally, HIPAA compliant.
- A positive response for a health risk/condition on the AUMS form will trigger a notice to the nurse that a Consult is required. In this case the nurse talks by phone with the person identified as being at risk, for example if history of allergy of any kind, or for those with a chronic medical condition. On the phone the individual is educated on the risks associated with their duties and exposures; PPE requirements are also identified. At this time more information or referral to another specialist may occur (for example, to the respiratory protection administrator or Employee Health practitioner).
- Finally, all persons on the research protocols must review the Occupational Health Recommendations (OHR) that the nurse issues to the PI/group before the IACUC approval can occur or work can begin. The OHR is attached to the protocol which is maintained in the eIACUC system.

4. Hazard Identification and Risk Assessment

- A Hazard analysis process is in place to assist PIs in assessing the risks associated with their research. This includes a detailed review of research proposals, scheduled surveys of research laboratories, periodic walk-throughs and consultation by EH&S, OAW and veterinary staff, IACUC semi-annual site visits, review of design plans for new facilities and renovations and multiple mechanisms for reporting potential hazards and actual hazardous events including the Online Accident Reporting System.
- All animal use protocols are reviewed by EH&S. PIs proposing research that involves animals must provide in the protocol information on any potentially hazardous agents, medications, or procedures that will be used. In addition, a Biological Use Authorization Application must be submitted to EH&S when biohazards (e.g., pathogenic agents, recombinant/synthetic DNA, human and non-human primate tissues, body fluids and cell cultures, animals or wastes that potentially contain hazardous characteristics), will be used.
- The OHNs review all IACUC protocol submissions including new protocols, 3- year renewals, and requests for changes, in order to assess for zoonotic, chemical, biological/infectious, radiation, and physical hazards inherent in the proposed research. Review includes consideration of routes of exposure, communicability, toxicity, metabolic products, dose-response relationships and other factors. The OHNs provide recommendations for immunizations, medical surveillance, post-exposure evaluation guidelines, training, and personal protective equipment (PPE) and controls, based upon their review and evaluation of the research. These recommendations are titled Occupational Health Recommendations (OHR). The OHR is attached to the protocol which is maintained in eIACUC. It is the PI's responsibility to provide this information to his or her staff and to ensure compliance with the recommendations. The Radiation Safety Office addresses radiation use, by an established training and record- keeping process.
- Review of biohazards by the Institutional Biosafety Committee is performed as required according to NIH Guidelines. Following approval by the IBC, a Biological Use Authorization (BUA) letter describes the level of containment required, laboratory spaces approved for the work, and additional procedures and/or precautions required in order to conduct the work. The BUA letter is provided to the PI with a copy to the IACUC support office (Office of Animal Welfare) and animal care staff, which is maintained in eIACUC.
- The IACUC does not approve the IACUC protocol until all reviews by the EH&S Department are complete and OHRs and BUA, if applicable, are issued.

5. Procedures in Place to Alleviate Hazards and Minimize Risks.

Personnel Training

- Researchers and all animal use personnel are required to have training in occupational health issues pertinent to working with animals. This training is provided, in part, in the web-based laws

and regulations module. This training is required prior to IACUC approval to work with animals and the training must be updated every 5 years. Occupational Health training is also included in the AUTS species-specific classes and animal facility orientations. Training on location specific hazards is the responsibility of the Principal Investigator or supervisor (in the case of DCM or WaNPRC staff).

- Researchers and all those working in the laboratory receive information directly from the EH&S OHN that is tailored to their study-specific needs. Topics covered include: hazards working with a specific animal species; ergonomic issues; noise hazards; allergy prevention, and if it applies, field work issues. WaNPRC personnel receive initial in-person primate center specific biosafety orientation. Bloodborne pathogens is required annually, UW general biosafety every 3 years, managing laboratory chemicals every 3 years, and cage washer egress annually. DCM Animal Care Technicians receive training specific to their needs in working with multiple species. A biosafety officer and an OH nurse provide yearly refreshers to DCM staff. Training in the use of hazardous agents is provided and tailored to the specific type of hazardous agent being used. Special training is available for workers in ABSL-3 areas, personnel working with bloodborne pathogens including HIV and HCV, personnel exposed to radiation and chemical hazards, and those working with non-human primates who may harbor Macacine herpesvirus 1 (MCHV-1, or B virus).

- EH&S also provides training programs in Biological, Radiation, and Chemical Safety, including Bloodborne Pathogen protection, general biosafety training, Compressed Gas Safety, Laboratory Safety, Managing Laboratory Chemicals, and Radiation Safety. A certification of attendance is provided for personnel attending these programs. University Safety Manuals that provide requirements and information on the safe and proper use of hazards including recombinant DNA, Radiation, and Chemicals are available to all departments on line.

- DCM, WaNPRC and laboratory supervisors have overall responsibility to ensure that their personnel are properly trained, protected, monitored and that they are following proper practices for the specific duties, location and species they are working with. Training and oversight of the husbandry practices are the responsibility of each animal facility supervisor. Each PI has the responsibility to ensure proper training and oversight of the research personnel assigned to his/her project. Training is provided through orientations, hands-on classes, and web-based training sessions. The basic training includes:

- a. occupational health training
- b. use of personal protective equipment and clothing
- c. exposure or accident reporting
- d. species specific handling
- e. animal health observations and sick animal reporting
- f. reporting animal escapes

Personal Hygiene

- DCM: All animal care personnel working with rodents in ABSL- 1 rooms wear personal protective equipment (PPE), which includes, facility shoes and/or booties (depending on the facility), facility scrubs and/or isolation gowns (depending on the facility), gloves, water resistant sleeves (in most cases, not required if using gowns or lab coats), and hair bonnets. N95 respirators are used on a voluntary basis (requires enrollment in the voluntary respiratory protection program). Depending on the hazard involved and the risk assessment, additional or alternative personal protective clothing may be utilized. In ABSL-2 rooms PPE is similar, but specifically dictated by the agents being used. PPE requirements within the SLU 3.1 BSL3/ABSL3 Facility include facility-dedicated scrubs, socks, and shoes; water-resistant coveralls; two pairs of gloves; and a PAPR. Facility-dedicated undergarments are provided when work with specific infectious agents is conducted. Animal care personnel working in the dirty side of the cage washroom wear water resistant footwear, chemical resistant aprons and gloves, and splash protection for the face and eyes. Due to aerosol generating activities, such as dumping dirty cages and use of the Garb-el, personnel working in the dirty washroom are enrolled in the

University's Mandatory Respirator Program. Depending on the facility, hearing protection is worn in both the clean and dirty washroom per EH&S guidelines.

- The PPE required for research personnel entering DCM managed animal rooms is the same as for animal care personnel, except in some facilities where they may wear a disposable gown or reusable lab coat over street clothes, instead of scrubs. Most PPE is disposable. Laundry of scrubs, lab coats, towels and miscellaneous supplies is done by a contracted laundry service, or in a few cases, by animal facility staff. SLU 3.1 BSL3/ABSL3 scrubs and socks are autoclaved and then laundered by a contracted laundry service. When facility-dedicated undergarments are utilized, they are autoclaved and then laundered by DCM personnel.
- Lab-Managed Facilities: All lab-managed facility animal care personnel are required to wear personal protective equipment (PPE), which minimally includes a lab coat and gloves. Additional PPE may be required as determined by EH&S based on personal medical history or the research being carried out.
- WaNPRC: Animal care, veterinary, surgery, pathology and research support staff are provided scrubs. All personnel entering facilities housing NHPs must wear personal protective equipment and clothing (PPE), including gloves, mask, mucous membrane protection for the face, hair covering, dedicated long sleeve overgarments (coveralls, gowns, or lab coats), and shoe covers or work boots. Depending on the hazard involved and the risk assessment, additional or alternative personal protective clothing may be utilized. Waterproof gowns, in addition to eye protection, face mask, double gloves, hair covers and waterproof shoe covers are required in necropsy. In the dirty cage-wash areas, boots and double gloves are worn in addition to standard PPE. Goggles are used for eye protection. Most of these items are disposable but those that are laundered are laundered in-house or by a contracted laundry service, who has been advised of the risks and uses universal precautions when handling soiled garments. The Occupational Health and Biosafety Coordinator works with Colony Management staff to assure that items are disposed of according to waste disposal guidelines as outlined by Environmental Health and Safety at the UW.

Standard Operating Procedures

- DCM and WaNPRC staff and veterinarians consult with the EH&S Occupational Health and Biosafety specialists to develop policies and procedures for projects involving hazardous agents. Staff also meet regularly with EH&S staff to facilitate appropriate procedures. Preparation includes the development (with recurring review) of Standard Operating Procedures (SOPs) that govern animal transport, decontamination, infectious waste treatment, and PPE. Certain biological or chemical agents, or potential endemic zoonotic diseases, may necessitate the development of additional SOPs. Personnel are trained on the hazards, and PPE is evaluated and revised as needed to ensure appropriate protection. In addition, the PI develops a specific biosafety manual with input from the DCM or WANPRC staff and the Biosafety Officer. This biosafety manual is reviewed and must be approved by the Biosafety Officer before work can begin. Animal handling and procedures unique to the SLU 3.1 BSL3/ABSL3 Facility are detailed in the facility's operations manual.

Facilities, Equipment and Monitoring

- A combination of facility design, required protocols and the use of safety equipment, including personal protective equipment, assure containment of hazardous agents within the study environment. The aforementioned biological use authorization (BUA) process allows for a risk assessment of the work to be done with the specific agent/material, to determine the appropriate containment level. The Occupational Health Review of IACUC protocols screens for other hazards including chemical, radiation and zoonotic, and specific recommendations are made to researchers and research support staff based on the hazards and their use.
- Standard practices and techniques are used to control hazards based on the containment level. Based on the biological risk assessment of biological agents, research is assigned a particular containment level in accordance with applicable federal regulations and guidance. Containment

levels prescribe laboratory facility design (secondary barriers), standard microbiological practices, special practices (ABSL-2, ABSL-2 with -3 Practices, and ABSL-3), and safety equipment (which consists of primary barriers and personal protective equipment). The University has ABSL-1 through ABSL-3 containment laboratories. A PI is approved to perform their research at a particular containment level. Biosafety Officers meet with the PI and their staff to validate that the laboratory facility meets requirements, and they review the laboratory practices, special practices, and safety equipment to ensure they are appropriate for the containment level prescribed. All requirements must be met prior to obtaining approval and issuance of the BUA letter.

- The EH&S Department staff work with the DCM staff (e.g., managers, supervisors) to establish and maintain ABSL-2 and ABSL-3 spaces. The EH&S staff members meet regularly with the ABSL-3 supervisor and the ABSL-3 manager/director to discuss issues, concerns and research projects.
- Secondary containment - The protection of the environment external to the facility from hazardous materials is provided by a combination of facility design and operational practices. Negative airflow and waste handling protocols are examples of containment routinely used at the University.
- The University's BSL-3 and ABSL-3 laboratories are validated annually by an outside contractor. This involves evaluating the facility and testing the HVAC system under failure scenarios to ensure these laboratory facilities are functioning as stated in the CDC/NIH "Biosafety in Microbiological and Biomedical Laboratories" for ABSL-3 criteria. The contractor also reviews the biosafety manuals for these laboratories. Deficiencies must be corrected before validation can be issued.

6. Immunizations.

- Each research protocol is evaluated by the EH&S occupational health medical providers in coordination with biosafety staff and the Institutional Biosafety Committee to determine vaccination requirements for personnel.
- The immunization requirements are agent specific and communicated to the PI and animal care facility managers via the EH&S department's Occupational Health Recommendations Letter and the Biological Use Authorization Letter to review with personnel.
- Occupational Health runs an annual immunization compliance report prior to scheduling of annual health assessments (AHA) with animal care staff. Employees are notified of upcoming immunization requirements and can complete them at the AHA appointment.
- A current tetanus vaccination is recommended for all personnel who work in the animal care and use environment, and is provided to those who have this vaccine as part of their medical surveillance program (animal technicians and veterinarians, for example). Researchers, support staff, visitors, and all others are advised about the recommendation through the AUMS letter.

7. Precautions taken during pregnancy, illness or decreased immunocompetence.

- The PI is responsible for providing training to address health risks in the workplace. This language and the points that follow are communicated via the Occupational Health Recommendations (OHR) letter.
 - a. The PI must inform both male and female employees about the reproductive and teratogenic risks when there is a potential for exposure to hazardous agents in the work area. Persons who have questions or concerns about their reproductive or obstetric health risks should talk with their healthcare provider or with the UW Employee Health Center (EHC) prior to working with potentially hazardous agents.

- b. Pregnant women and women who are considering becoming pregnant should be aware of the risks associated with biological, chemical, radiological, and other hazardous agents during pregnancy. EH&S provides individuals with pertinent information via a document entitled EH&S Guidance About Workplace Hazards Impacting Reproduction and Development and other references that are available through the University website.
 - c. The PI must inform employees that immunocompromised individuals may be at increased risk of illness, or may experience more severe illness should an exposure incident occur when working with hazardous agents.
- Those who are pregnant or planning a pregnancy, or who have immunocompromised or other medical conditions (discovered through AUMS or in-person at EHC) will be counseled and referred as necessary to the appropriate healthcare resource.
 - Medical restrictions due to pregnancy and certain medical conditions may be formally handled as a disability accommodation. More often the employee is reassigned (if husbandry staff person) or the researcher may have others in the lab perform the hazardous duties. The EH&S and Employee Health assists by working with the employees and supervisors to help address the additional safety considerations in the workplace. Coordination occurs between the healthcare provider or Employee Health and the PI/lab supervisor.

8. Special precautions for personnel working with nonhuman primates

- All new WaNPRC staff are provided with orientation and training on ABSL-2 practices, which covers the most common NHP zoonoses (for example, McHV-1, Shigella, Salmonella, Campylobacter, Giardia, Cryptosporidium). Training includes handouts as reference documents.
- Access to all NHP vivaria is restricted to trained personnel, and PPE is required to be worn within the vivaria and removed on exit. Used PPE is treated as biohazardous waste.
- All NHP that are received into the WaNPRC are maintained in isolation until completion of a minimum of three negative TB tests at two-week intervals. Thereafter all NHP are TB tested at six-month intervals. If an animal shows a grade 3 or higher reaction on TB testing, the holding room is placed under isolation, and additional diagnostics are performed.
- NHP are tested for McHV-1 antibodies every six months, but all NHP are considered a risk regardless of antibody status.
- Personnel are instructed to notify their supervisors of potential or known exposures and of suspected health hazards and illnesses.
- Anyone who works with NHPs, enters NHP housing areas or handles biologic samples (blood and tissues) from macaques has access to and has been instructed in the use of bite/scratch kits. NHP are chemically restrained for most procedures to decrease the risk of exposure.
- Injuries associated with macaques, their tissues or body fluids, or caging and equipment with which the animals have had direct contact are evaluated and appropriate post exposure treatment and follow-up is provided by an Employee Health Center.

9. Availability and procedures for treatment of bites, scratches, illness or injury.

- Within Department of Comparative Medicine and Washington National Primate Research Center managed animal facilities, Exposure Response posters are posted which describe appropriate first aid for a specific route of exposure as well as how and where to obtain health care during business and non-business hours in the event of bites, scratches, illness, or injury. This poster is also given to PIs to post in their lab managed spaces where animal work occurs.

- Personnel who experience animal bites and scratches are required to wash the affected area for 15 minutes with warm water and sudsing soap. They then inform the supervisor and seek medical care via the Employee Health Center or the University's Emergency Department.
- The Employee Health Center coordinates with the emergency departments to provide medical protocol for specific areas of research and for medical care for incidents involving non-human primates. These procedures are located in several areas including the EH&S Exposure Response Poster, the Biosafety Manual, and in department specific SOPs and documents.

10. Procedures/program for reporting and tracking injuries and illnesses.

- All work-related injuries or illnesses are to be reported as soon as possible to the supervisor and then to the EH&S department via the University's Online Accident Reporting System (OARS).
- The University also encourages the reporting of near miss events.
- Injuries and illnesses are investigated by the supervisor, EH&S, and the University Health and Safety Committees, depending on the nature of the incident. Some incidents also require reporting to other agencies.
- The EH&S Department tracks and provides summaries on the nature of injuries and illnesses at the University. This information is presented to the health and safety committees. OSHA 300 logs are maintained on the University's EH&S website.

F. The total gross number of square feet in each animal facility (including each satellite facility), the species of animals housed there and the average daily inventory of animals, by species, in each facility is provided in the attached Facility and Species Inventory table. See Part X.

G. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is as follows:

1. IACUC Members:

- IACUC member training includes the following:
 - a. A one-on-one meeting with OAW staff to review the requirements and commitment of IACUC involvement.
 - b. A one-on-one meeting with the OAW Director to review regulations, general information on how our IACUC functions, and IACUC member expectations.
 - c. On-line IACUC member module that reviews laws and regulations applicable to the institution.
 - d. Monthly IACUC meetings include a training item on the agenda at the end of each meeting. Topics vary and include: regulatory updates, protocol review updates such as new database and how to work in it, and any other hot topics that need regular review or discussion.
- The assurance document is available on a secure IACUC SharePoint site for all IACUC members. This site also includes links to IACUC approved policies and the following reference materials.
 - a. The PHS Policy for the Humane Care and Use of Laboratory Animals;
 - b. The National Research Council (NRC) Guide for the Care and Use of Laboratory Animals;
 - c. The ARENA/OLAW IACUC Guidebook;
 - d. The current AVMA Guidelines for the Euthanasia of Animals;
 - e. UW IACUC Site Visit Guidance and Checklist;

- f. OLAW web site, including FAQs and Policies;
- g. Animal Welfare Act

- IACUC members are encouraged to attend IACUC conferences and training opportunities, (e.g., IACUC 101, IACUC 102, IACUC Advanced, PRIM&R/ARENA IACUC meeting, Northwest Association for Biomedical Research (NWABR) annual IACUC conference). Conference fees are paid for by the UW.

2. Animal Care and Use Personnel

- The assurance document is stored on a secure SharePoint site that requires an ID login for personnel involved in animal care and/or use to review.
- The IACUC provides oversight of the training program by verifying and confirming that all personnel have documented training for the procedures that they are listed to perform on a protocol. This information is documented in the eIACUC (research personnel) and internal file share for DCM or the WaNPRC (animal care and veterinary staff).
- The IACUC reviews and approves training requirements as proposed by the training staff and based on institutional needs. Effectiveness is evaluated by examinations, certifications, and analysis of non-compliance trends, post approval monitoring and tracking the frequency of the requests for retraining.
- Types of training include:
 - a. Facility Orientations;
 - b. EH&S and Occupational Safety Training and Orientations;
 - c. Departmental SOPs;
 - d. Animal Care and Records and Sick Animal Recognition – Required for lab managed spaces;
 - e. Online Species Specific Training Courses
 - f. Hands-on Species Specific Training Courses
 - g. Surgical web courses and hands-on sessions
 - h. Anesthesia Certification
 - i. Study Specific Training
 - j. Law and Regulations Course – The University requires completion on this on-line course with required exam prior to inclusion on an IACUC protocol. To be approved to perform live vertebrate or cephalopod research personnel must take this course within the last 5 years. This requirement applies to personnel working at all facilities (WaNPRC, DCM, lab-managed), at field stations or other field locations, on any UW IACUC protocol. The requirement also applies to WaNPRC and DCM animal technicians.
 - k. The training covers many topics, including those specifically required by 9CFR, Part 2, Subpart C, section 2.32(c), #s 2, 4, and 5(i-iv). Chapters include, among others:
 - i. “Alternatives” - This chapter provides training required by 9CFR, Part 2, Subpart C, section 2.32(c), #2 and #5ii. It also provides links to numerous web sites for help with alternatives and database searches. In particular the chapter covers the 3 R’s as described by Russell and Burch: Replacement - replacing animals with non-animal alternatives or less sentient species; Reduction - limiting or minimizing the number of animals used; Refinement - limiting or minimizing animal pain and distress.
 - ii. “Avoiding Unnecessary Duplication” - This chapter provides information and a link to a web site for additional information and help on this topic. (9CFR, Part 2, Subpart C, section 2.32(c), #5iii).
 - iii. “Misuse/Mistreatment of Animals, or Non- Compliance” - This chapter provides training on how to report deficiencies in animal care and treatment, and on the rights of persons making reports. (9CFR, Part 2, Subpart C, section 2.32(c), #4)
 - iv. “Federal Mandates” - This chapter provides information on the Animal Welfare Act and PHS Policy, including links to web sites for further information. (9CFR, Part 2, Subpart C, section 2.32(c), #5i and #5iv).

IV. Institutional Program Evaluation and Accreditation

A. All of this Institution's programs and facilities (including satellite facilities) for activities involving animals have been evaluated by the IACUC within the past 6 months and will be reevaluated by the IACUC at least once every 6 months according to PHS Policy IV.B.1.-2. Reports have been and will continue to be prepared according to PHS Policy IV.B.3. All IACUC semiannual reports will include a description of the nature and extent of this Institution's adherence to the PHS Policy and the *Guide*. Any departures from the *Guide* will be identified specifically and reasons for each departure will be stated. Reports will distinguish significant deficiencies from minor deficiencies. Where program or facility deficiencies are noted, reports will contain a reasonable and specific plan and schedule for correcting each deficiency. Semiannual reports of the IACUC's evaluations will be submitted to the Institutional Official. Semiannual reports of IACUC evaluations will be maintained by this Institution and made available to the OLAW upon request.

B. This Institution is Category 1 — accredited by the [Association for Assessment and Accreditation of Laboratory Animal Care International \(AAALAC\)](#). As noted above, reports of the IACUC's semiannual evaluations (program reviews and facility inspections) will be made available upon request.

V. Recordkeeping Requirements

- A. This Institution will maintain for at least 3 years:
 - 1. A copy of this Assurance and any modifications made to it, as approved by the PHS
 - 2. Minutes of IACUC meetings, including records of attendance, activities of the committee, and committee deliberations
 - 3. Records of applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was granted or withheld
 - 4. Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to the Institutional Official, Joe Giffels.
 - 5. Records of accrediting body determinations
- B. This Institution will maintain records that relate directly to applications, proposals, and proposed changes in ongoing activities reviewed and approved by the IACUC for the duration of the activity and for an additional 3 years after completion of the activity.
- C. All records shall be accessible for inspection and copying by authorized OLAW or other PHS representatives at reasonable times and in a reasonable manner.

VI. Reporting Requirements

- A. The Institutional reporting period is October 1 – September 30. The IACUC, through the Institutional Official, will submit an annual report to OLAW by December 1 of each year. The annual report will include:
 - 1. Any change in the accreditation status of the Institution (e.g., if the Institution obtains accreditation by AAALAC or AAALAC accreditation is revoked)
 - 2. Any change in the description of the Institution's program for animal care and use as described in this Assurance
 - 3. Any change in the IACUC membership
 - 4. Notification of the dates that the IACUC conducted its semiannual evaluations of the Institution's program and facilities (including satellite facilities) and submitted the evaluations to the Institutional Official, Joe Giffels.

- 5. Any minority views filed by members of the IACUC
- B. The IACUC, through the Institutional Official, will promptly provide OLAW with a full explanation of the circumstances and actions taken with respect to:
 - 1. Any serious or continuing noncompliance with the PHS Policy
 - 2. Any serious deviations from the provisions of the *Guide*
 - 3. Any suspension of an activity by the IACUC
- C. Reports filed under VI.A. and VI.B. above should include any minority views filed by members of the IACUC.

VII. Institutional Endorsement and PHS Approval

A. Authorized Institutional Official	
Name: Joe Giffels, MAS	
Title: Associate Vice Provost,	
Name of Institution: University of Washington	
Address: Research Administration and Integrity 4000 15 th Avenue NE Box 351202 Seattle, WA 98195	
Phone: (b) (6)	Fax:
E-mail: jgiffels@uw.edu	
Acting officially in an authorized capacity on behalf of this Institution and with an understanding of the Institution's responsibilities under this Assurance, I assure the humane care and use of animals as specified above.	
Signature: (b) (6)	Date: 12/23/2020

B. PHS Approving Official (to be completed by OLAW)	
 Name/Title: Jane J. Na / Director, Division of Assurances Office of Laboratory Animal Welfare (OLAW) National Institutes of Health 6700B Rockledge Drive, Suite 2500 MSC 6910 Bethesda, MD USA 20892-6910	
Jane J. Na -S Digitally signed by Jane J. Na -S Date: 2020.12.29 10:02:16 -05'00'	
Signature:	Date: December 29, 2020
Assurance Number: D16-00292 (A3464-01)	
Effective Date: December 29, 2020	Expiration Date: December 31, 2024

VIII. Membership of the IACUC

Date: 12/22/2020			
Name of Institution: University of Washington			
Assurance Number: D16-00292			
IACUC Chairperson			
Name*: Dr. Jane Sullivan			
Title*: Associate Professor, Physiology and Biophysics			Degree/Credentials*: PhD
Address*: (street, city, state, zip code) P.O. Box 357290 Seattle, WA 98195			
E-mail*: jmsull@uw.edu			
Phone*: (b) (6)		Fax*: (b) (6)	
IACUC Roster			
Name of Member/ Code	Degree/ Credentials	Position Title	PHS Policy Membership Requirements
(b) (6)			Veterinarian
			Scientist
			Veterinarian
			Member
			Scientist
			Scientist
			Unaffiliated
			Scientist
			Member
			Veterinarian
			(b) (6)
Attending Veterinarian			
Member			
Unaffiliated			
Kim Stocking	DVM, DACLAM	Attending Veterinarian, Director	Veterinarian

(b) (6)			Scientist
			Unaffiliated
Alternate IACUC Roster			
Name of Member/ Code**	Degree/ Credentials	Position Title***	PHS Policy Membership Requirements****
(b) (6)			Alternate for Veterinarian
			Alternate for Veterinarian
			Alternate for Member
			Alternate for Non-Scientist
			Alternate for Veterinarian
			Alternate for Veterinarian
			Alternate for Veterinarian
			Alternate for Member
			Alternate for Member
			Alternate for Member
			Alternate for Veterinarian
			Alternate for Member
			Alternate for Scientist
			Alternate for Veterinarian
			Alternate for Scientist
			Alternate for Veterinarian

IX. Other Key Contacts (optional)

If there are other individuals within the Institution who may be contacted regarding this Assurance, please provide information below.

Contact #1	
Name: Kim Stocking, DVM, DACLAM	
Title: Director, Office of Animal Welfare and Attending Veterinarian	
Phone: (b) (6)	E-mail: kstock@uw.edu
Contact #2	
Name:	
Title:	
Phone:	E-mail:

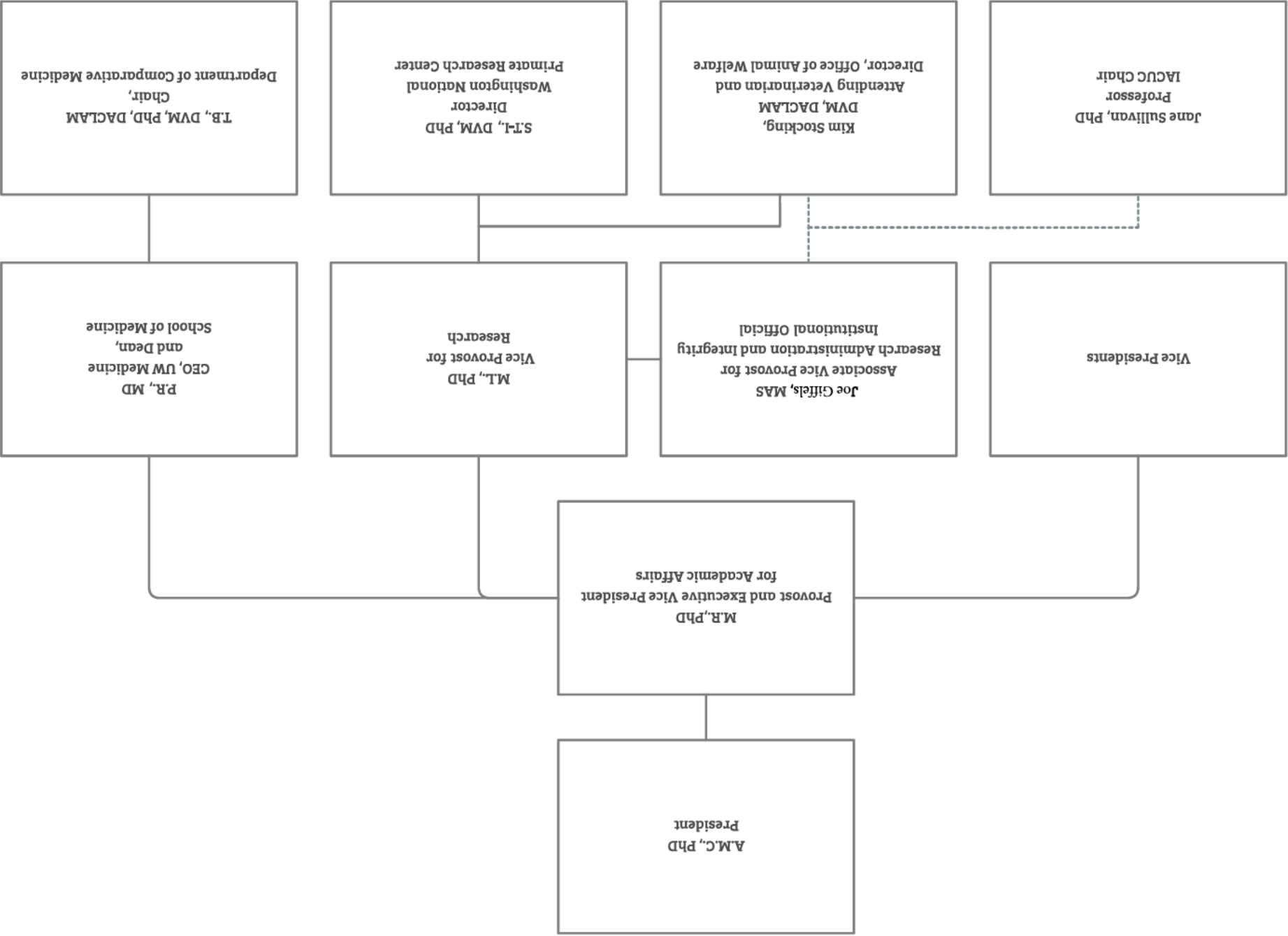
X. Facility and Species Inventory

Date: 12/22/20			
Name of Institution: University of Washington			
Assurance Number: D16-00292			
Laboratory, Unit, or Building*	Gross Square Feet [<i>include service areas</i>]	Species Housed [<i>use common names, e.g., mouse, rat, rhesus, baboon, zebrafish, African clawed frog</i>]	Approximate Average Daily Inventory
(b) (4)	86,000	Dogs	12
		Ferrets	0
		Gerbils	8
		Mice	10,054
		Rats	114
		Pigs	1
		Rabbits	79
		Sheep	1
		<i>M. fascicularis</i>	16
		<i>M. mulatta</i>	81
		<i>M. nemestrina</i>	102
	22,924		
		Frogs	20
		Mice	1,415
		Rats	8
	2,592	<i>M. nemestrina</i>	9
	18,932	Mice	3,133
		Rats	107
	39,290	<i>M. fascicularis</i>	0
		<i>M. mulatta</i>	82
		<i>M. nemestrina</i>	36
		<i>S. sciureus</i>	13
	8,355	<i>M. fascicularis</i>	0
		<i>M. mulatta</i>	13
		<i>M. nemestrina</i>	35
	10,025	Mice	1,031
		Rats	173
	10,711	Zebrafish	17,420
		Frogs	12
		Mice	9
		Rats	12
	14,254	Mice	6,633
		Rats	34
		Birds	0
	624	Mice	34
	3,252	Finches	48
		Mice	0
		Rats	0
		Zebrafish	6540
	592	Fish	0

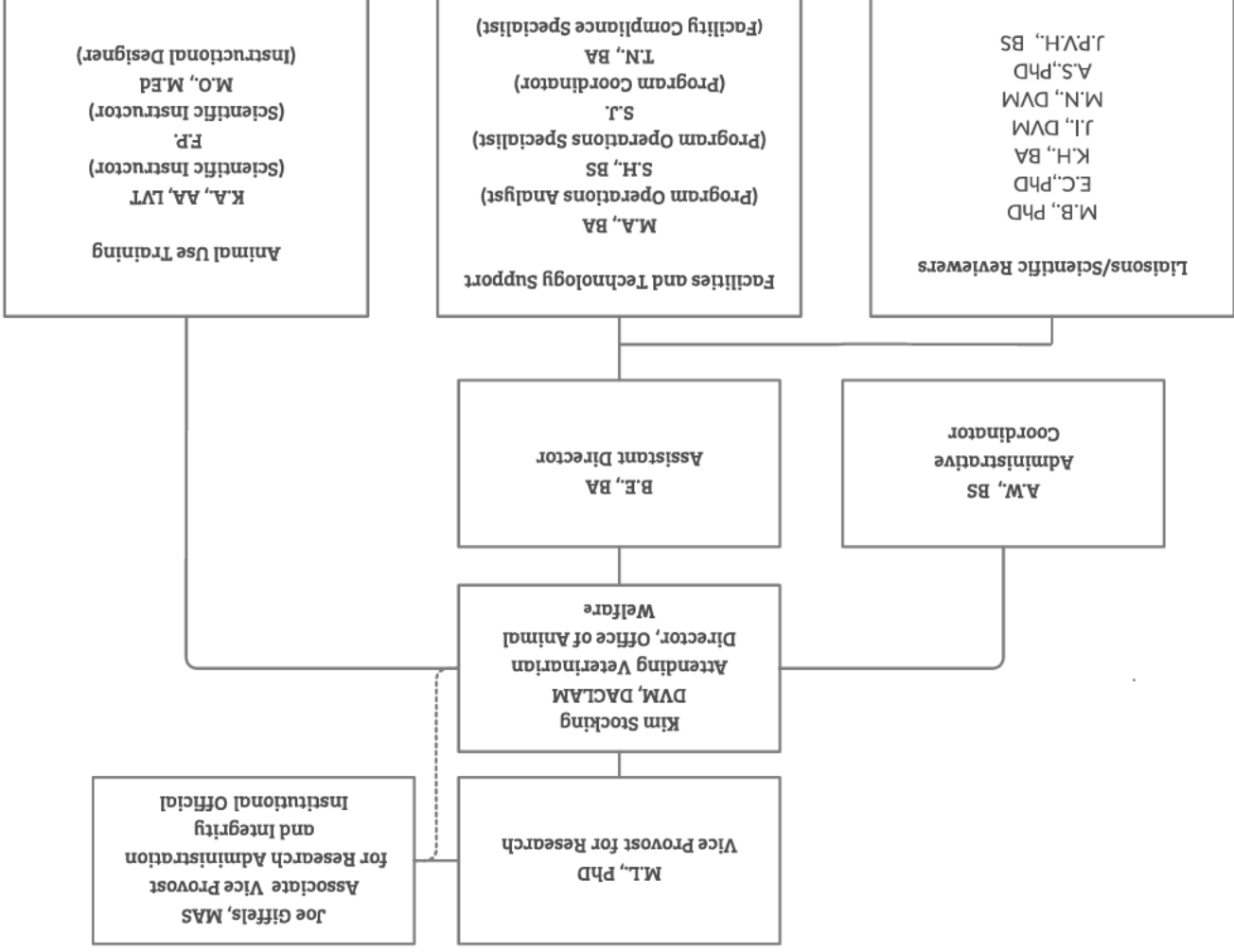
(b) (4)	4,879	Fish	0
	1,875	Mice	172
		Rats	29
	3,780	Birds	257
		Zebrafish	18 Tanks
		Octopuses	0
	201	Mice	49
	1,333	Mice	606
	146	Zebrafish	2,950
	17,917	Mice	7,091
		Pigs	2
		Rabbits	24
		Rats	107
	1,015	Zebrafish	11550
	22,250	Mice	16,630
		Rats	12
	2,223	Mice	22
	190	Mice	132
		Rats	6
	22,513	<i>M. mulatta</i>	0
		<i>M. nemestrina</i>	177
	2,120	Dogs (members of research team)	4
	12,917	Fish	variable
		Octopuses	0
	18,533	<i>M. nemestrina</i>	520

*Institutions may identify animal areas (buildings/rooms) by a number or symbol in this submission to OLAW. However, the name and location must be provided to OLAW upon request.

UW Organizational Chart

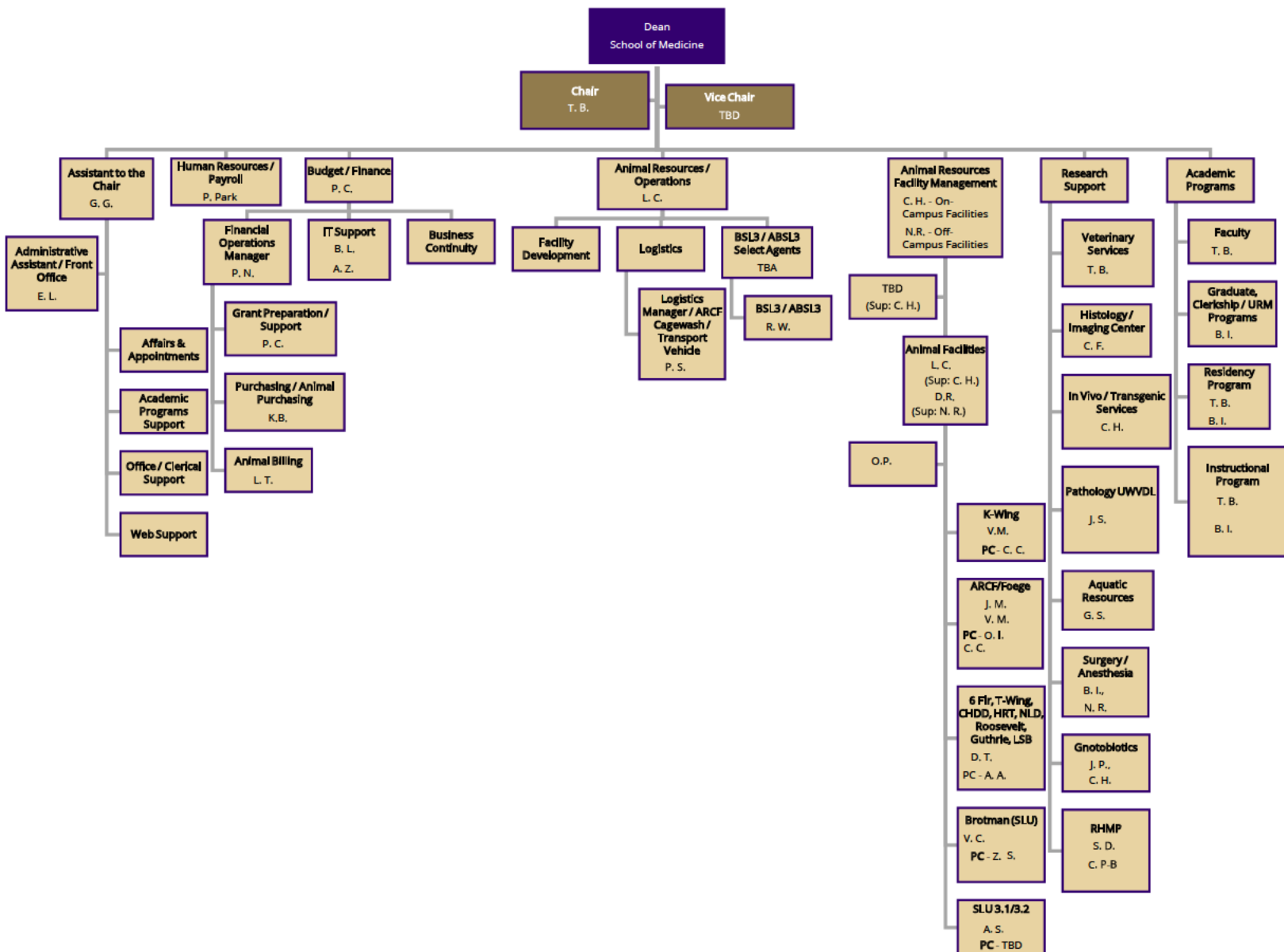


OAW Organizational Chart



Department of Comparative Medicine

Organizational Chart



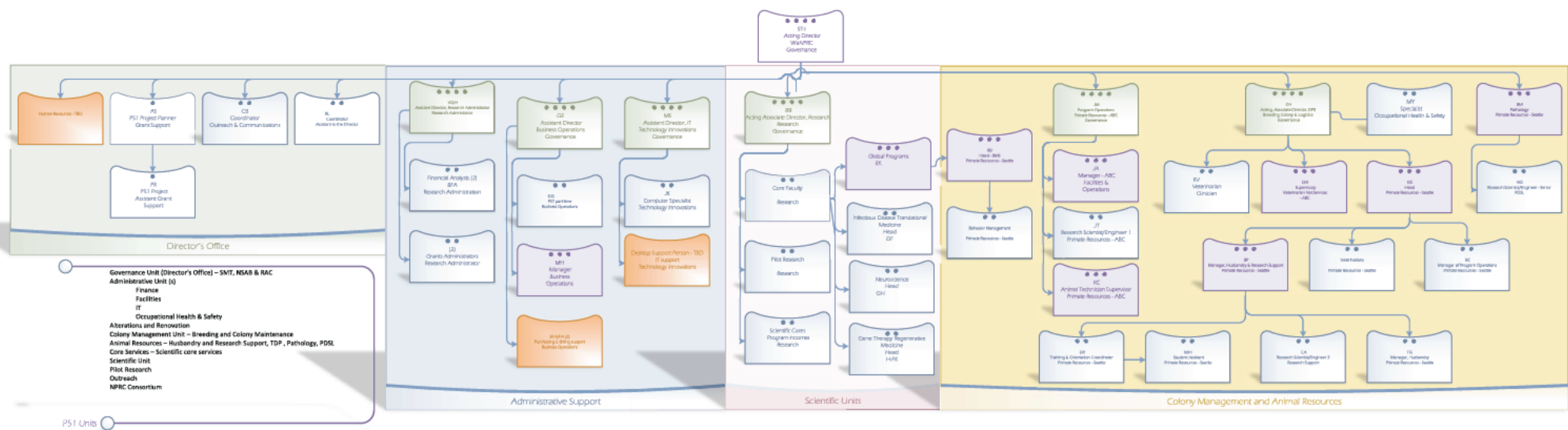


Exhibit 15

University of Washington

#D16-00292 (A3464-01)

Animal Welfare Assurance for Domestic Institutions

I, Sally Thompson-Iritani, as named Institutional Official for animal care and use at the University of Washington (UW), provide assurance that this Institution will comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (Policy).

I. Applicability of Assurance

This Assurance applies whenever this Institution conducts the following activities: all research, research training, experimentation, biological testing, and related activities involving live vertebrate animals supported by the PHS, HHS, NSF, and NASA. This Assurance covers only those facilities and components listed below.

A. The following are branches and components over which this Institution has legal authority, included are those that operate under a different name:

On-campus components and facilities located on main campus (Seattle, WA):

1. The Warren G. Magnuson Health Sciences Center, which is comprised of five schools that utilize animals (Dentistry, Medicine, Nursing, Pharmacy, Public Health). Facilities include:

(b) (4)

2. The _____ Health Sciences Center (WanPRC)

3. The _____ facilities include:

(b) (4)

4. The _____ include:

(b) (4)

5. The College of the Environment. Facilities include:

(b) (4)

within one hour drive of main

(b) (4)

Off-campus components and facilities that are located more than one hour drive of main campus:

(b) (4)

B. The following are other institution(s), or branches and components of another institution:

1. Mongolian University of Life Sciences, Ulaanbaatar, Mongolia (Note: This organization is considered a component of this Assurance for the purposes of the National Institute of Allergy and Infectious Disease field project titled, "Disease Transmission Along Complex Human-Animal Networks: A Novel Method for Improving Zoonotic Disease Modeling," associated with grant 1R01AI184331-01 only.)

II. Institutional Commitment

- A. This Institution will comply with all applicable provisions of the Animal Welfare Act and other Federal statutes and regulations relating to animals.
- B. This Institution is guided by the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training."
- C. This Institution acknowledges and accepts responsibility for the care and use of animals involved in activities covered by this Assurance. As partial fulfillment of this responsibility, this Institution will ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with this Assurance, and other applicable laws and regulations pertaining to animal care and use.
- D. This Institution has established and will maintain a program for activities involving animals according to the *Guide for the Care and Use of Laboratory Animals (Guide)*.
- E. This Institution agrees to ensure that all performance sites engaged in activities involving live vertebrate animals under consortium (subaward) or subcontract agreements have an Animal Welfare Assurance and that the activities have Institutional Animal Care and Use Committee (IACUC) approval.

III. Institutional Program for Animal Care and Use

- A. The lines of authority and responsibility for administering the program and ensuring compliance with the PHS Policy are delineated in the attached organizational chart (Appendix A). As indicated, there are direct and open lines of communication between the IACUC and the Institutional Official (IO), and between the Attending Veterinarian (AV) and the IO.
- B. The qualifications, authority, and percent of time contributed by the veterinarian(s) who will participate in the program are outlined in the tables below. The institution listed under the "Education & Qualifications" column represent the AVMA-accredited veterinary school attended by that individual. The UW's AV is Dr. Christina Cruzen. Dr. Cruzen has direct program authority and responsibility for the Institution's animal care and use program including access to all animals.

Attending Veterinarian

Name	Responsibility	% Dedicated to Program	Education & Qualifications	Years of Experience
Christina Cruzen	Attending Veterinarian	100%, employed full time by UW	DVM, DACLAM University of Wisconsin, Madison	20

D

		% Dedicated to Program	Education & Qualifications	Years of Experience
(b) (6)		15%	DVM, PhD Oregon State University	8
		25%	DVM Washington State University	7
		5%	DVM, PhD, DACLAM University of Illinois	34
		As needed	DVM, DABVP Washington State University	29
		95%	DVM, MS, DACLAM VA-MD College of Veterinary Medicine	24
		10%	DVM, ScD Iowa State University	24
		95%	VMD, PhD, DACLAM University of Pennsylvania	22
		55%	DVM, PhD Washington State University	35
		80%	DVM, DACVP Kansas State University	8
		As needed	DVM, MS, DACLAM University of Wisconsin, Madison	26
		25%	DVM, MS University of California, Davis	16
		4%	DVM, MS, DACLAM Washington State University	37
		39%	DVM University of Florida College of Veterinary Medicine	3
		75%	DVM University of Prince Edward Island	1
		50%	DVM, DACLAM Western University of Health Sciences	9

(b) (6)	As needed	DVM, DACLAM University of Illinois	37
	75%	DVM University of Georgia	3
	30%	MV, DVM, OHC, PhD University of California, Davis	36
	95%	DVM, MS, DACLAM Western University of Health Sciences	13
	75%	DVM Western University of Health Sciences	1
	95%	DVM, MS, AFS/FHS Louisiana State University	27
	85%	DVM, MS, DACVIP/ACVP VA-MD College of Veterinary Medicine	23
	75%	DVM University of California, Davis	3
	75%	DVM, MS University of Pennsylvania	1

W

		% Dedicated to Program	Education & Qualifications	Years of Experience
(b) (6)	100%	DVM, DACVP University of North Carolina	32	
	100%	DVM, DACLAM University of California, Davis	8	
	100%	DVM Tufts University	4	
	100%	DVM, DACVP University of California, Davis	39	
	100%	DVM, DACLAM Oklahoma State University	9	
	100%	DVM Auburn University	1	
	40%	DVM Midwestern University	6	
	As needed	DVM*	--	

the individual's qualifications and experience are
proprate fit for program needs.

C. The IACUC at this Institution is properly appointed according to PHS Policy IV.A.3.a. and is qualified through the experience and expertise of its members to oversee the Institution's animal care and use program and facilities. The IACUC consists of at least 5 members, and its membership meets the composition requirements of PHS Policy IV.A.3.b. See Part VIII for a list of the chairperson and members of the IACUC and their names, degrees, profession, titles or specialties, and institutional affiliations.

D. The IACUC will:

- 1) Review at least once every 6 months the Institution's program for humane care and use of animals, using the *Guide* as a basis for evaluation. The IACUC procedures for conducting semiannual program reviews are as follows:
 - Components of the institutional animal care and use program are reviewed at a convened meeting at least once every 6 months.
 - The evaluation will include, but not necessarily be limited to, a review of the following areas:
 - Institutional and individual responsibilities
 - IACUC membership and functions
 - IACUC member experience and training
 - IACUC records and reporting requirements
 - Husbandry and veterinary care
 - Personnel qualifications and training
 - Occupational health and safety
 - Emergency and disaster planning
 - Security (personnel and facility)
 - Investigating and reporting animal welfare concerns
 - The IACUC may, at its discretion, determine the best means for evaluating the institution's program, such as utilizing a checklist (e.g., the OLAW Program and Facility Review Checklist).
 - All IACUC members are invited to participate in the semiannual program review. Subcommittees may be used to conduct all or part of the review. No IACUC member will be involuntarily excluded from participating in any portion of the review.
 - If program deficiencies are noted during the review, they are categorized as significant or minor, and the IACUC will develop a reasonable and specific plan and schedule for correcting each deficiency.
 - A significant deficiency is defined as one that is or may be a threat to the health and safety of the animals or personnel.
- 2) Inspect at least once every 6 months all of the Institution's animal facilities, including satellite facilities and animal surgical sites, using the *Guide* as a basis for evaluation. The IACUC procedures for conducting semiannual facility inspections are as follows:
 - Housing spaces:
 - All spaces where animals are housed are inspected at least once every 6 months.
 - Housing space is defined as any area where an animal is held for more than 12 hours for USDA-regulated species, and any area where an animal is held for more than 24 hours for all other species.
 - At least two members of the IACUC will perform inspections of spaces that house USDA-regulated species.

- Procedure/use spaces:
 - Other than the exception noted below, all spaces utilized for the following purposes are inspected at least once every 6 months: animal breeding, confinement, maintenance, non-survival surgery, survival surgery, transportation, or other experimental procedures.
 - A procedure space may be inspected only once a year if it meets all of the following criteria:
 - Used for euthanasia or acute non-survival surgery (e.g., cardiac perfusion, cardiac excision) only,
 - Used for non-USDA regulated species, AND
 - There have been no findings in the previous two semi-annual inspections
 - At least two members of the IACUC will perform inspections of spaces that are utilized for USDA-regulated species.
 - The IACUC may, at its discretion, determine the best means of evaluating the institution's facilities, such as utilizing a checklist.
 - All IACUC members are invited to participate in the semiannual facility inspections. Subcommittees may be used to conduct all or part of the inspection. No IACUC member will be involuntarily excluded from participating in any portion of the inspection.
 - The IACUC may invite ad hoc consultants to assist in conducting the evaluation. However, the IACUC remains responsible for the evaluation and report.
 - If deficiencies are noted during the inspection, they are categorized as significant or minor, and the IACUC will develop a reasonable and specific plan and schedule for correcting each deficiency.
 - A significant deficiency is defined as one that is or may be a threat to the health and safety of the animals or personnel.
- 3) Prepare reports of the IACUC evaluations according to PHS Policy IV.B.3. and submit the reports to the IO. The IACUC procedures for developing reports and submitting them to the Institutional Official are as follows:

Semi-Annual Report to the IO

- The semi-annual program and facility reports are developed on an ongoing basis during an established 6-month cycle (typically January – June and July – December).
- The semi-annual report will contain:
 - A description of the nature and extent of the institution's adherence to the *Guide* and the PHS Policy, including all identified deficiencies. Deficiencies will be categorized as significant or minor as described in Sections III.D.1 and III.D.2 and will contain a reasonable and specific plan and schedule for correction.
 - IACUC-approved departures from the provisions of the *Guide* and the PHS Policy, including the reason(s) for each departure. If there are no departures, the report will so note.
 - Identify which of the institution's facilities are accredited by AAALAC International.
 - Minority opinions. If there are no minority opinions, the report will so note.

- The Office of Animal Welfare (OAW) assists the IACUC in developing a draft of the semi-annual report. The draft report is provided to the IACUC for review and revised as appropriate based on IACUC member feedback.
- The final semi-annual report is signed by a majority of the IACUC members, and then sent to the IO for review in a timely manner. IACUC member signatures may be obtained electronically (e.g., via email, Docusign, or similar software).

Identification & Approval of Departures

- OAW tracks IACUC-approved departures from the provisions of the *Guide* and the PHS Policy in its electronic protocol management system. Departures may also be documented in IACUC meeting minutes.
- Departures must be approved by the IACUC as part of a protocol, protocol amendment, or other written document, using Full Committee Review (FCR) or Designated Member Review (DMR) as described in Section III.D.6.
- Departures that are not approved by the IACUC are considered deficiencies and are reported to OLAW through the IO. In such cases, the IACUC will develop a reasonable plan and schedule for discontinuing the departure. If the departure is needed, it will be reviewed and approved by the IACUC prior to re-implementation.

Identification & Correction of Deficiencies

- OAW tracks identified program and facility deficiencies, including scheduled correction dates, and receives written notice of progress completion from responsible parties (e.g., facility staff, researchers).
- The IACUC is informed if there are deadlines that may not be met based on current progress. In such cases, the IACUC may approve an extension of the correction deadline to a new date. Failure to correct deficiencies in a timely manner will be reported to OLAW and any other agencies, as applicable.

4) Review concerns involving the care and use of animals at the Institution. The IACUC procedures for reviewing concerns are as follows:

- Animal welfare concerns may be reported to the AV, IACUC, IO, or OAW directly, confidentially, and/or anonymously, and without fear of reprisal. Multiple mechanisms for reporting concerns are available, including phone numbers for OAW and the University's compliance hotline, email, and an online form.
- University of Washington policy and Washington state laws protect the concerned/reporting party from discrimination and reprisals.
- The importance of and how to report concerns is included in required training for all individuals working with animals, and signage is posted in animal use spaces. Concern reporting options are also included on institutional websites.
- All concerns are evaluated promptly, and any required investigation occurs in a timely manner. The manner and extent of the investigation is determined on a case-by-case basis and may include discussions with the individual(s) involved, evaluation of impacted animals, and review of related records.
- Investigations are typically conducted by a veterinarian, OAW staff, and/or an IACUC subcommittee. The individuals involved vary based on the needs of the situation.
- At a minimum, the IO, AV, IACUC Chair, and OAW Directors are informed of substantiated concerns and the resolution. When deemed appropriate, substantiated

concerns are also communicated to the IACUC at a convened meeting, through the semi-annual program review, or through a protocol attachment (e.g., mortality report). If the resolution includes suspension of an ongoing activity, the process outlined in Section III.D.10 of this Assurance will be followed.

- 5) Make written recommendations to the IO regarding any aspect of the Institution's animal program, facilities, or personnel training. The procedures for making recommendations to the IO are as follows:

Recommendations regarding any aspect of the animal program, facilities, or personnel training are discussed and developed by the IACUC, typically at a convened monthly meeting. These recommendations are then communicated to the IO through a report of the committee's evaluation and/or a separate letter. Such documents are reviewed and approved by the IACUC prior to sending to the IO.

The IO is kept informed of current trends and areas of concern through regular (e.g., weekly) meetings with animal program leadership, including the IACUC Chair. Additionally, any urgent matters are promptly brought to the IO's attention outside of these regular meetings to ensure timely resolution and oversight.

- 6) Review and approve, require modifications in (to secure approval), or withhold approval of PHS-supported activities related to the care and use of animals according to PHS Policy IV.C.1-3. The IACUC procedures for protocol review are as follows:

The IACUC requires approval for all use of live vertebrate and cephalopod animals, including pilot and field studies. Protocols are submitted to the IACUC for review through an electronic protocol management system. OAW manages and facilitates the protocol review process. Protocol pre-review and IACUC review are conducted as follows:

Pre-review

- OAW administrative staff review protocol submissions for training and certifications and note any personnel with expired or missing training. If training requirements are not met prior to IACUC approval, personnel are removed from the protocol.
- An OAW Scientific Reviewer then conducts a pre-review, working with the research group to ensure the protocol items are complete, comprehensive, and in alignment with IACUC policies, PHS Policy, the *Guide*, and the Animal Welfare Act and Regulations, as applicable. The protocol is then sent for veterinary pre-review.
- Veterinary pre-review focuses on all aspects involving pain and distress including but not limited to evaluation of substance administration procedures, surgery, post-procedure monitoring, and euthanasia.
- Communication between pre-reviewers and the research group continues until pre-review is considered complete by the OAW reviewer, veterinarian, and the research group.
- Following completion of pre-review, protocol items are routed either to the IACUC for review, or to a veterinarian for Veterinary Verification and Consultation (VVC; see Section III.D.7 for additional details).

IACUC Review

- Protocol items are batched and sent for IACUC review each business day. All IACUC members are notified via email when protocol items are available for review.
- All IACUC members can access protocol items in the electronic protocol management system and can post questions, comments, and/or request full committee review (FCR).

- During IACUC review, members confirm that the protocol includes all required components and that it is in accordance with the *Guide*, PHS Policy, Animal Welfare Act, IACUC policies, and this Assurance, as applicable. Specifically:
 - Procedures with animals will avoid or minimize discomfort, distress, and pain to the animals, consistent with sound research design.
 - Procedures that may cause more than momentary or slight pain or distress to the animals will be performed with appropriate sedation, analgesia, or anesthesia, unless the procedure is justified for scientific reasons in writing by the investigator.
 - Animals that would otherwise experience severe or chronic pain or distress that cannot be relieved will be painlessly killed at the end of the procedure or, if appropriate, during the procedure.
 - The living conditions of animals will be appropriate for their species and contribute to their health and comfort.
 - The housing, feeding, and nonmedical care of the animals will be directed by a veterinarian or other scientist trained and experienced in the proper care, handling, and use of the species being maintained or studied.
 - Medical care for animals will be available and provided as necessary by a qualified veterinarian.
 - Personnel conducting procedures on the species being maintained or studied will be appropriately qualified and trained in those procedures.
 - Methods of euthanasia used will be consistent with the current American Veterinary Medical Association (AVMA) Guidelines for Euthanasia of Animals unless a deviation is justified for scientific reasons in writing by the investigator.
 - An acceptable justification has been provided for any described deviations from the *Guide*.
- IACUC members have a minimum of 3 business days to review protocol items and request FCR.
- If FCR is requested, approval of those protocols may be granted only after review at a convened meeting of a quorum of the IACUC and with the approval vote of a majority of the quorum present. The FCR process is as follows:
 - Protocols are presented, discussed, and voted on at a convened meeting of the IACUC. Documents are provided to all members in advance of the meeting via the electronic protocol management system.
 - Meetings are generally conducted monthly, and members may attend in person or virtually using a video conferencing platform such as Zoom. All use of telecommunications is in accordance with OLAW Notice NOT-OD-06-052 entitled "Guidance on Use of Telecommunications for IACUC Meetings under the PHS Policy on Humane Care and Use of Laboratory Animals" (March 24, 2006).
 - The IACUC may recommend approval, require modifications in order to secure approval, or withhold approval of a protocol item.

- When the IACUC requires modifications to secure approval, such modifications are reviewed as follows:
 1. Via FCR, following all applicable procedures delineated in the PHS Policy and elsewhere in Section III.D.6 of this Assurance.

OR

2. Via DMR, if the following conditions are met: (1) the motion is approved unanimously by all members present at the meeting at which the required modifications are developed/delineated AND (2) all current and newly added IACUC members have previously agreed in writing to a standard process in which the quorum of members present at a convened meeting may decide by unanimous decision to use DMR subsequent to FCR when modification is needed to secure approval. However, any member of the IACUC may, at any time, request to see the revised protocol and/or request FCR of the protocol. The DMR process will follow all applicable procedures delineated in the PHS Policy and elsewhere in Section III.D.6 of this Assurance.
- To action the protocol, a member will make a motion, the motion is seconded by another member of the committee, followed by additional discussion and a vote.
 - Voting is performed by voice and hand raising, and votes are tallied to determine if the motion passed.
 - A motion passes if a majority of the quorum present votes for the motion.
 - Minor modifications of an administrative nature (e.g., typographical or grammatical errors, required signatures, etc.) may be confirmed by administrative support personnel.
- If FCR is not requested, the designated member review (DMR) process is used for final disposition. The DMR process is as follows:
 - The IACUC Chair appoints at least one member of the IACUC who is qualified to conduct the review as the designated member reviewer.
 - Records of polling of members to obtain concurrence to use the DMR method, or concurrence by silent assent, and approval of protocol via DMR, are maintained in the electronic protocol management system.
 - The DMR(s) may recommend approval, require modifications in order to secure approval, or call for FCR of the protocol item.
 - Other IACUC members may provide the DMR(s) with comments and/or suggestions for the reviewer's consideration only. Concurrence to use the DMR method may not be conditional.
 - If more than one designated member reviewer is appointed, then:
 - The reviewers must review an identical version of the protocol.
 - If modifications are requested by any one of the reviewers, the other reviewers must be aware of and agree to the modifications.
 - The reviewers must be unanimous in any decision; if not, the protocol will be referred for FCR.
 - For both FCR and DMR, the IACUC's final determination of a protocol item is documented in the electronic protocol management system.

- Expedited reviews are handled using the standard processes described above. IACUC members are given 3 full business days to review a protocol item and request FCR. If FCR is requested, then a meeting is convened with a quorum of the IACUC present.

Scientific Merit Review

- All projects regardless of funding source must be found to be scientifically meritorious in order to be approved by the IACUC.
- Scientific merit is most often established through review by an external funding agency.
- In cases such as pilot studies or internally funded studies that will not be reviewed by an external funding agency, the project must be found to be scientifically meritorious by the PI's school or department, the WaNPRC Research Advisory Committee, or other appropriate body.
- Completion of a scientific merit review is documented within the electronic protocol management system.

Conflict of Interest

- No member may participate in the IACUC review or approval of a project in which they have a conflicting interest (e.g., they are personally involved in the project), except to provide information requested by the committee.
- No member may contribute to a quorum for the IACUC review or approval of a protocol in which they have a conflicting interest (e.g., they are personally involved in the project). Before any vote on FCR, it is confirmed that a quorum still exists when a member(s) recuses themselves.

- 7) Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding the use of animals in ongoing activities according to PHS Policy IV.C. The IACUC procedures for reviewing proposed significant changes in ongoing research projects are as follows:

The IACUC has approved a policy outlining categories of IACUC protocol amendments. Each amendment or change will be assessed on a case-by-case basis, using the criteria below, to determine the appropriate category for approval or veterinary verification. All changes must be incorporated into the IACUC protocol. The category of review is also documented in the electronic protocol management system. All changes to the protocol must be approved or verified by a veterinarian, as applicable, before they can be implemented.

A. Full Committee Review (FCR) or Designated Member Review (DMR)

An amendment that meets the definition of a significant change, as defined in OLAW Notice NOT-OD-14-126 entitled "Guidance on Significant Changes to Animal Activities" (August 26, 2014), must be reviewed and approved using the standard approval methods as described in Section III.D.6. This includes any proposed modification of an IACUC-approved protocol that results in any of the following:

1. Change in study objectives or overall aims;
2. Change in surgical procedures:
 - From not involving surgery to involving surgery;
 - From non-survival to survival surgery;
 - From minor surgery to major surgery;
 - From a single surgical procedure to multiple surgical procedures

3. Change resulting in greater pain, distress, or degree of invasiveness from what was either specified or presumed to occur when the protocol was originally reviewed;
4. Change in euthanasia to a method not approved by the AVMA;
5. Change in housing or use of animals in a location that is not part of the animal program overseen by the IACUC;
6. Change in species;
7. Change in Principal Investigator;
8. Change in animal numbers outside of conditions specified in an IACUC-reviewed and approved policy (see Section C below), or due to morbidity or mortality not described in the IACUC-approved protocol, or due to the addition of a new experiment or experimental group; and
9. Change that impacts personnel safety

B. Veterinarian Verification and Consultation (VVC)

Amendments that meet the definition of a significant change that may be reviewed by the AV or other veterinarian(s) designated by the AV include:

1. Changes in anesthesia, analgesia, sedation, or experimental substance that do not result in greater pain, distress, or degree of invasiveness;
 2. Changes in euthanasia to any method approved in the AVMA Guidelines for Euthanasia of Animals;
 3. Changes in duration, frequency, and/or number of procedures performed on an animal that do not result in greater pain, distress, or degree of invasiveness; and
 4. Changes in route or volume of administration that do not result in greater pain, distress, or degree of invasiveness.
- The veterinarian reviewing the change will confirm that the requested change is in alignment with relevant IACUC policies and reference documents (e.g., Review and Approval of Protocol Amendments and Use of VVC, Analgesia in Research Animals, approved drug formularies), conforms to sound professional judgement, and does not require training that cannot be provided to the research group at or before implementation of the change.
 - Documentation of which veterinarians are authorized to conduct VVC is maintained within the electronic protocol management system.
 - The veterinarian, for any reason, may refer any amendment to the IACUC for review by DMR or FCR as described in Section III.D.6.

C. Administrative Changes

- An amendment to increase animal numbers may be approved administratively by OAW staff without additional consultation or notification so long as the request is in alignment with an IACUC-reviewed and approved policy that is compliant with OLAW Guidance, NOT-OD-14-126.
- Other minor changes (e.g., correction of typographical errors, update of contact information, changes in protocol personnel other than the PI) may be handled administratively by OAW staff so long as the request is in alignment with OLAW Guidance, NOT-OD-14-126.

8) Notify investigators and the Institution in writing of its decision to approve or withhold approval of those activities related to the care and use of animals, or of modifications required to secure IACUC approval according to PHS Policy IV.C.4. The IACUC procedures to notify investigators and the Institution of its decisions regarding protocol review are as follows:

- Investigators are notified in writing, via the electronic protocol management system, of the IACUC's decision to approve or withhold approval of a protocol item, or if modifications are required to secure approval.
- If approval is withheld, the written notification includes the reason(s) for the decision and provides the investigator an opportunity to respond in person or in writing.
- All decisions regarding protocol items are accessible to the IACUC and the IO in the electronic protocol management system. A high-level summary of protocol items reviewed is also provided to the committee at each monthly meeting.

9) Conduct continuing review of each previously approved, ongoing activity covered by PHS Policy at appropriate intervals as determined by the IACUC, including a complete review at least once every 3 years according to PHS Policy IV.C.1.-5. The IACUC procedures for conducting continuing reviews are as follows:

Continuing/Periodic Protocol Review

- All protocols are approved for a maximum of 36 months.
- If activities will continue beyond the initial approval period, prior to the expiration of the protocol, a complete triennial review must be submitted in the electronic protocol management system. This constitutes a de novo protocol and follows the submission, review, and approval processes described in Section III.D.6.
- The triennial review must be approved prior to the expiration of the extant protocol. If not, the protocol lapses and all animal work must cease until the triennial review is approved.
- The triennial review requests information on unexpected adverse events, morbidity, and/or mortality along with an explanation of the cause and measures taken to prevent future occurrences.
- Continuing review also occurs when the IACUC reviews amendments to protocols as described in Section III.D.7. In addition, IACUC members may request *ad hoc* review of a protocol.

Post-Approval Monitoring

The UW's post-approval monitoring program is multi-faceted, with components of both active and passive monitoring. These include administrative review, semi-annual facility inspections, as well as procedural observation. Review occurs in both a targeted and random manner. Specifically:

- Every PI is assigned an OAW Liaison. The Liaisons meet with PIs and their staff on a regular basis to provide support with protocol changes. During these meetings, Liaisons work to develop a good rapport with researchers, encouraging PIs and their staff to contact their Liaison with any questions or concerns related to their IACUC protocol or the UW animal use program. Liaisons also meet proactively with all new PIs, and on a targeted basis with established investigators, prioritizing highly active groups or those with a history of previous concerns. All of these meetings are an opportunity for Liaisons to review the PI's IACUC protocol(s) or proposed changes, assist with resolving any issues or concerns, make suggestions for improvement, and provide relevant programmatic or regulatory updates. If a reportable non-compliance

is discovered as a result of these interactions, the Liaison notifies the OAW Director(s) and AV for follow-up and reporting to the IACUC and appropriate oversight bodies.

- The UW utilizes a Veterinary Protocol Monitoring Program. Protocols may be assigned to this program by the IACUC or by the AV. A veterinary monitor, typically a veterinary resident, is assigned to the group to facilitate the research, often observing and refining procedures and helping to update the IACUC protocol, if needed. The veterinary monitor reports progress on each protocol monthly to the AV and the AV reports to the IACUC at convened meetings.
- The AV meets monthly with all veterinary staff to review morbidity and mortality reports from the previous month. Reports of unexpected morbidity/mortality or reportable events are followed up on as needed, and then communicated to the IACUC at a convened meeting, through the semi-annual program review, and/or through a protocol attachment (e.g., mortality report).
- The IACUC inspects all animal housing and use spaces during semi-annual inspections. As part of these inspections, they review experiment related documentation (e.g., surgery and post-operative monitoring records, food and fluid regulation logs), and discuss research methods, progress, and concerns with the research group.
- The IACUC conducts semi-annual administrative reviews with the Department of Comparative Medicine (DCM) and WaNPRC. These include review of clinical and research related documentation, discussion of clinical or research related illnesses or events, review of reassignments for non-human primates, and review of other administrative aspects of the animal care and use program. Veterinary, husbandry, behavioral management, operations and other personnel present information and answer IACUC questions related to research and animal care.
- Facility and husbandry staff also play an important role in the post-approval monitoring program. Animal technicians monitor all animals daily. If any issues are observed, it is escalated to the appropriate party for resolution (e.g., facility supervisor, veterinary staff). If a reportable non-compliance is discovered as a result of these observations, the OAW Directors and AV are notified for follow-up as needed.

10) Be authorized to suspend an activity involving animals according to PHS Policy IV.C.6. The IACUC procedures for suspending an ongoing activity are as follows:

- The IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted in accordance with applicable provisions of the Animal Welfare Act, the *Guide*, this Assurance, or Sections IV.C.1.a-g of the PHS Policy.
- The IACUC may suspend an activity only after review of the matter at a convened meeting of a quorum of the IACUC and with the suspension vote of a majority of the quorum present.
- If the IACUC suspends an activity involving animals due to non-compliance with the Animal Welfare Act, the *Guide*, this Assurance, or the PHS Policy, the Institutional Official in consultation with the IACUC shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation, in writing, to OLAW. Preliminary reports may be made verbally.

- E. The risk-based occupational health and safety program for personnel working in laboratory animal facilities and personnel who have frequent contact with animals is as follows:

Overview

- The UW's Environmental Health and Safety Department (EH&S) is responsible for the Occupational Health and Safety Program (OHSP) related to animal care and use, and partners with UW organizational units to provide a safe and healthy place for employment, research, and teaching. The goal of these programs is to identify, evaluate, and mitigate/control factors in the work environment that may cause illness or injury. The OHSP includes programs for:
 - Accident prevention
 - Biological safety
 - Bloodborne pathogen safety
 - Chemical safety
 - Hearing loss prevention
 - Respiratory protection
 - Radiation safety
 - Occupational health, including animal use medical screenings (AUMS)
- EH&S is an interdisciplinary department of health and safety professionals with specialties in biological, chemical, and radiation safety, industrial hygiene, and occupational and infectious disease medicine, among other things. Staff include skilled professionals with experience in administering their respective programs in an animal care and use setting. Many hold advanced degrees (e.g., PhD, MD) and/or professional certifications, such as Registered Biosafety Professional, Certified Industrial Hygienists, and Certified Occupational Health Nurse.
- The EH&S Research and Occupational Section is the primary section with oversight for these programs and works with other EH&S sections and staff with responsibilities for occupational health and safety in the animal care and use environment. The EH&S department's technical sections are Research & Occupational Safety, Radiation Safety, Occupational Safety and Health, Campus Preventative Health, and Environmental Programs. The descriptions of the EH&S technical sections can be found on the [EH&S website](#).
- The Employee Health Center (EHC) provides clinical services, including medical evaluations and counseling, immunization administration, follow-up care after an injury or exposure, and maintains employee medical records.
- The Department of Environmental & Occupational Health Sciences has established the Healthy Animal Worker Clinic (HAWC). The HAWC program provides specialized services for individuals working with animals and animal products who may have concerns about exposures to allergens, chemicals, infectious agents, compassion fatigue, and injury risks through their work.

Medical Evaluation and Medical Prevention for Personnel

- All individuals entering or working in an animal care and use environment must be enrolled in the Animal Use Medical Screening (AUMS) program. This includes research personnel, administrative and facilities services employees, IACUC members, students, visiting scientists, and volunteers.
- Individuals complete an online screening process. Phone consultation with an occupational health nurse (OHN) may also be required depending on the individual's health status or the nature of the work they will perform.
- Individuals must complete an initial AUMS. Upon completion of the initial screening, the OHN issues a clearance letter that includes standard health hazard communication information, such as the [Laboratory Animal Allergies \(LAA\) online information sheet](#).

- Follow up on AUMS is offered via completion of an online form. The frequency of subsequent health assessments is based on the risks associated with an individual's work activities, but is offered at least triennially. Individuals with no health concerns have the option to decline follow-up assessment.
- Veterinary and husbandry staff have increased risk of exposure to hazards due to their job classifications and fulfill their requirement for the AUMS program through an annual consultation with an OHN or clinical practitioner for the Annual Health Assessment (AHA). During this meeting, the OHN reviews health information relevant to workers in animal areas.
- Clearance status is communicated to the employee and to OAW. Only individuals with AUMS or AHA clearance can be approved to work with animals on an IACUC protocol.
- Visitors that enter animal spaces, such as delivery drivers and service technicians, are screened based on a risk assessment conducted by the UW group or employee that is sponsoring or responsible for their visit. EH&S provides consultation for this process, as needed. In general, most are not subject to screening, but are provided with information about the lab animal environment by the department giving them access (e.g., the LAA information sheet). Housekeeping staff only service areas are external to animal use areas and therefore are not required to participate in the OHSP and complete the AUMS form.
- A current tetanus vaccination is recommended for all personnel who work in animal care and use environments. Tetanus vaccination is available to employees as part of their medical surveillance program.
- Other vaccination requirements are determined based on the risks associated with an individual's work activities (e.g., work with a particular species or agent). Vaccinations are available through the EHC or UW Medical Center.

Hazard Identification and Risk Assessment

- All animal research protocols are evaluated by EH&S.
- All protocols are reviewed by an OHN to identify potential hazards or occupational health concerns. The occupational health nurse provides a written occupational health recommendation (OHR) to the PI for each IACUC protocol. Recommendations include the following categories of information:
 - Animal zoonoses, allergies, and physical hazards
 - Hazard awareness training requirements, including particularly hazardous agents
 - Preventative measures (e.g., PPE, sharps safety)
 - Monitoring of personal health and reporting of symptoms
 - Post exposure plans
- Each project involving biohazards (e.g., pathogenic agents, recombinant/synthetic DNA) also has an associated Biological Use Authorization (BUA) application. The protocol and BUA are reviewed by a Biosafety Officer. If the work involves recombinant organisms, select agents, or (b) (4) containment, the BUA application undergoes review by the Institutional Biosafety Committee. The BUA approval letter describes the level of containment required, laboratory spaces approved for work, and additional precautions and/or procedures required to conduct the work.
- Protocols involving physical hazards or highly dangerous/toxic substances including drugs, nanomaterials, carcinogens, or reproductive toxins are reviewed by an industrial hygienist (IH). Depending on the nature of the hazard, IH review may include development of lab-specific SOPs, on-site evaluation of controls, and/or additional training.

- Protocols involving radioactive materials or non-ionizing radiation are reviewed by a health physicist (HP) to ensure appropriate engineering and administrative controls are present. If radioactive materials are being used, the HP also ensures that the required Radiation Use Authorization and Radiation Safety Committee review has been completed, where applicable.
- The OHR and BUA approval letter, if applicable, are available to the research team within the electronic protocol management system.
- OAW is kept informed of the status of EH&S review(s). Approval of the IACUC protocol is not finalized (i.e., work may not begin) until all reviews by EH&S are complete, and OHRs and BUA, if applicable, are issued.
- Outside of protocol review, EH&S is available as needed for evaluation of risks and hazards, and to assist in the development of appropriate controls.

Personnel Training Regarding Occupational Health and Safety

- Researchers and all animal use personnel must have training on occupational health issues related to working with animals. This training is provided in part in the online laws and regulations training module required prior to IACUC-approval to work with animals and must be updated every 5 years.
- Occupational health information is provided in the Center for Laboratory Animal Training Resources (CLATR) species-specific, hands-on classes, animal facility orientations, and SPF online class (rodents).
- Training on location for specific hazards is the responsibility of the PIs for research staff, or supervisors for DCM and WaNPRC staff. Additional training is required for work with specific hazards, as indicated in the appropriate chemical, biological, or radiological manuals or policies or through consultation with EH&S.
- Research personnel are provided information about allergen exposures through the AUMS process. Information regarding zoonoses is specified by the OHN in the OHR letter provided for each protocol.
- General details surrounding other physical hazards present in labs are also covered in the lab-specific training and Chemical Hygiene Plan.
- EH&S provides additional training for personnel on proper practices and personnel protection. These training programs are offered as in-person sessions, online courses, or both. Topics include, but are not limited to:
 - Biological safety
 - Blood borne pathogens
 - Compressed gas safety
 - First aid and CPR certification
 - Hazard communication
 - Radiation safety training
 - Respiratory protection and fit-testing
 - Shipping and transporting hazardous materials
- EH&S works with DCM and WaNPRC to provide training for animal care staff who work in (b) (4) containment areas. Topics covered include biological hazards, ergonomics, physical stress, noise hazards, allergy prevention, zoonosis, and compassion fatigue. Additional training and SOP review is also conducted. Many of these courses/documents have occupational health and safety elements.

Personal Protective Equipment (PPE)

- In vivaria, the PPE required for use by animal care and research personnel varies by facility. Items required in all areas include, at minimum:
 - Facility scrubs, re-useable scrub jackets, and/or disposable gowns
 - Gloves
 - Hair bonnet
 - Masks (surgical, KN95, or N95) when working with mammals
- In lab-managed areas, minimum PPE includes gloves and a lab coat.
- All personnel working with NHPs wear, at minimum, head cover, mask, face shield or goggles, scrubs with lab coat or coveralls over street clothes, shoe covers or facility shoes, and double gloves.
- All personnel working in (b) (4) areas wear facility-dedicated scrubs, socks, shoes, water-resistant coveralls and disposable outer waterproof gown, two pairs of gloves, and a PAPR.
- Respirator use is required if there may be inhalation exposure to respiratory hazards. EH&S assists individuals as needed in the selection and proper use of equipment most appropriate for their needs.
- In all areas and situations, additional or alternate PPE may be required based on risk assessment.

Personal Hygiene

- No PPE or facility-dedicated clothing is permitted in public areas.
- Protective clothing worn in areas or rooms where hazardous agents are used must be removed when leaving these areas. Immediately upon leaving hazardous areas, staff are instructed to wash hands using chemical foam hand sanitizers or hand washing stations.
- Prior to leaving a facility, personnel are instructed to remove PPE and any facility-dedicated clothing and wash their hands. Personnel are encouraged to shower at the end of the workday.
- Changing rooms and hand wash facilities for animal care or research personnel are provided in all vivaria. Showers are available in several vivaria.
- All UW facilities are smoke-free environments. Eating and drinking are not permitted in the animal facilities or lab-managed spaces except in designated break rooms.

Response, Reporting, and Tracking of Injuries or Illness

- Personnel are instructed to notify their supervisors of potential or known exposures and of suspected health hazards and illnesses.
- Exposure response posters are posted in animal use spaces. Posters describe:
 - Appropriate first aid for a specific route of exposure
 - How and where to obtain health care during business and non-business hours
- Individuals who experience animal bites or scratches are required to wash the affected area for 15 minutes with warm water and sudsing soap, and then seek medical care via the EHC or an emergency department. For other work-related injuries or illnesses, any immediate first aid/medical care measures are completed and the individual is then routed to the nearest emergency department or similar for additional care as appropriate.

- All work-related injuries or illnesses are to be reported as soon as possible to the supervisor and EH&S via the University's Online Accident Reporting Systems (OARS). The university also encourages the reporting of near miss events.
- EH&S follows up on reported incidents and reviews personnel health status, evaluates root and contributing causes, risk assessment and mitigation options for procedures and practices to prevent future incidents. The specific EH&S follow up is dependent on the nature of the incident.
- Incidents are also reviewed and discussed at the UW health and safety committees and are reported to state and regional regulatory bodies as appropriate.
- There are 10 health and safety committees across the UW. Every employee/unit is represented by one of these committees. Each committee meets monthly to discuss health and safety related topics and concerns from their departments. The committees provide an avenue for identification, discussion, and resolution of health and safety hazards brought to their attention by anyone who has concerns.
- EH&S also tracks incident trends and provides summaries on the nature of injuries and illness at the University to the health and safety committees. OSHA 3000 logs are maintained on the EH&S website.

Special Precautions and Considerations

- Personnel Working with Nonhuman Primates (NHPs)
 - All personnel working with NHPs receive new employee orientation and training from the supervisor, the Occupational Health and Biosafety Specialist (OHBS), and clinical staff at the EHC regarding the hazards of working with NHPs. Topics include common zoonotic diseases (e.g., MCHV-1, Shigella, Salmonella), NHP behavior, PPE, and procedures in case of an accident or exposure. Training is provided through group discussion, classroom training, video presentations, written materials, and one-on-one training. SOPs regarding occupational health are reviewed annually.
 - Access to all NHP vivaria is restricted to trained personnel, and PPE, as described above, must be worn within the vivaria and removed on exit. Used PPE is treated as biohazardous waste.
 - Persons who enter the WaNPRC must receive TB screening and have verified measles immunity or immunizations. TB screening can include skin or blood testing, and must be performed annually.
 - All personnel who enter NHP areas are trained in what constitutes a potential NHP exposure. Bite/scratch kits are provided at every handwashing sink throughout the NHP vivaria and in laboratories used to process NHP samples. The kits include a surgical scrub brush, eye rinse solution, instructions for use, and contact numbers. They also contain a form addressing potential health concerns, which is taken to the medical facility with the exposed individual.
 - Injuries associated with NHPs, their tissues or body fluids, or caging and equipment with which the animals have had direct contact are evaluated and appropriate post-exposure treatment and follow up is provided by the EHC or the UW emergency room.
 - The WaNPRC contracts some occupational health services with Concentra, Inc. specifically for the Arizona breeding colony due to the need for local, in-person services, including TB testing. The UW EHC contributes to the coordination of care as necessary, including ensuring the clinic used for post-exposure care has the correct follow-up protocols, and has access to Concentra encounter records for WaNPRC employees.

- Personnel Working in the (b) (4) Facility
 - Employees who work in (b) (4) areas are enrolled in a medical surveillance program that includes initial and annual medical evaluations, which includes a physical exam.
 - Prior to entry into the (b) (4) facility, all employees and visitors must be enrolled in the UW Respirator Program, which include completing annual medical screening for respiratory use.
 - Access to the facility is restricted to trained personnel, and PPE, as described above, must be worn within the facility and removed on exit.
 - Hand washing is required prior to exiting the facility. Based on the infectious agents used in the facility, personnel may also be required to shower before exiting.
 - All visitors are escorted into the facility by an authorized facility user, and receive annual visitor training detailing health-related issues.
 - During Pregnancy, Illness, or Decreased Immunocompetence
 - The PI must inform both male and female employees about reproductive and teratogenic risks when there is a potential for exposure to hazardous agents in the work area.
 - Individuals are encouraged to talk with their healthcare provider or the EHC if they have questions or concerns about their reproductive or obstetric health risks prior to working with potentially hazardous agents.
 - Pregnant individuals or those considering becoming pregnant should be aware of the risks associated with biological, chemical, radiological, and other hazardous agents during pregnancy. EH&S provides individuals with pertinent information via a document entitled "EH&S Reproductive Hazard Guidelines" and other references that are available through the University website.
 - The PI must inform employees that immunocompromised individuals may be at increased risk of illness, or may experience more severe illness should an exposure incident occur when working with hazardous agents.
 - Individuals who are pregnant, planning to become pregnant, immunocompromised, or have other medical conditions (discovered through AUMS or in-person at EHC) will be counseled and referred as necessary to the appropriate health care resources.
 - Medical restrictions due to pregnancy or other medical conditions may be formally handled as a disability accommodation. EH&S and EHC are available to assist employees and supervisors in addressing safety considerations in the workplace.
- F. The total gross number of square feet in each animal facility (including each satellite facility), the species of animals housed there and the average daily inventory of animals, by species, in each facility is provided in the attached Facility and Species Inventory table. See Part X.
- G. The training or instruction available to scientists, animal technicians, and other personnel involved in animal care, treatment, or use is as follows:

Training Requirements

The Center for Laboratory Animal Training (CLATR) has developed a robust training program utilizing a combination of online learning modules, in-person didactic opportunities, and hands-

on laboratory sessions to create a structured training plan provided in collaboration with veterinary services, individuals approved as trainers, occupational health and safety staff, and research staff.

All individuals working with animals and all IACUC members must complete an occupational health screen, as described in Section III.E, and the UW Animal Use Laws and Regulations online course. This online course includes topics such as:

- laws and regulations supporting animal research
- the role of the IACUC
- justification of animal numbers
- minimization of the number of animals required to obtain valid results
- minimizing painful or distressful procedures
- occupational health, including compassion fatigue
- mechanisms for reporting concerns

Additional training requirements and opportunities for continuing education are described below.

Research Team

- Specific training requirements for research team members are dependent on the nature of the work performed and include the following topics: species-specific handling, facility orientation, PPE, experimental techniques such as blood collection, euthanasia, anesthesia, and aseptic surgery. Completion of these training requirements are facilitated by CLATR, WaNPRC, and/or the research team.
- Additional protocol-specific training is available upon request. If CLATR staff do not have the expertise for a given procedure/technique, CLATR staff will help locate individuals with the proper expertise and facilitate training through these experts. Veterinary services may also request researchers receive additional training or re-training on colony surveillance.
- A number of optional online training modules are available to all research staff on demand through CLATR. Topics for these modules include how to perform IP or SQ injections, checking food and water levels for rodents, post-procedural care, and refined mouse handling.
- OAW publishes a monthly newsletter that highlights reminders or changes to processes or policies that researchers need to know, and hosts webinars from professional organizations such as OLAW, NABR, and AALAE several times a year that researchers are invited to join.

Veterinary Staff

- All veterinarians are expected to maintain a veterinary license and are required to meet state requirements to maintain licensure.
- Veterinary staff are encouraged and supported to attend a minimum of one conference per year. Additional onsite CE opportunities include weekly clinical rounds (attended by both veterinarians and veterinary technicians), weekly CMED courses attended by veterinary residents (often provided by DCM/WaNPRC veterinarians) as part of required course credit for clerkship, masters, and residency programs, and access to webinars presented by professional organizations such as NABR, OLAW, USDA, and NPRCs.

Animal Care Staff

- All animal care staff must meet the minimum qualifications required by the state of Washington. Positions range from Animal Technician (AT) I to Program Support Supervisor II. Requirements, including minimum education and/or experience, increase for each successive position.

- AALAS certification is not a requirement but is preferred for advancement. There is opportunity and encouragement to obtain AALAS certification for all animal care staff. Study materials are available upon request. DCM and WaNPRC reimburse personnel for exam fees of the exams that they pass.
- DCM utilizes CLATR for initial staff training and WaNPRC has a dedicated animal care trainer who coordinates tailored training opportunities based on responsibilities. In DCM and WaNPRC, training includes function-based SOPs for husbandry procedures, environmental enrichment, health and safety, use of electronic animal records, and a variety of technical procedures.

IACUC Members

- New members meet with the IACUC Chair and an OAW Director. All new member training is overseen by OAW. Online and in-person training is provided on the role and functions of the IACUC, the facility inspection process, and IACUC practices and expectations. Also included is an introduction to the use of the electronic protocol management system to review protocol items, perform DMR, and view IACUC meeting agendas and minutes.
- IACUC members are required to complete the online UW Laws and Regulations training and AUMS. In addition, they are required to complete:
 - Essentials for IACUC Members: This online course provides additional details regarding laws, regulations, and policies as they relate to service as an IACUC member. Chapter topics include responsibilities and authority of the IACUC, types of protocol reviews, documentation of IACUC actions, and investigation of animal welfare concerns.
 - IACUC Site Visits: This interactive online course gives members a deeper understanding of the regulatory requirements for an IACUC site visit and what to look for and consider when performing a facility inspection.
- IACUC members have access to a secure internal website which contains links to relevant documents including this Assurance, the *Guide*, PHS Policy, Animal Welfare Act and Regulations, IACUC policies, IACUC semi-annual reports, and meeting minutes.
- IACUC members are provided updates on laws and regulations at convened meetings, as needed, and training topics are on the agenda for most monthly meetings.
- IACUC members are invited and encouraged to attend IACUC conferences and training opportunities (e.g., IACUC 101, PRIM&R, local IACUC conferences, seminars and webinars on topics of interest, such as experimental design and statistics, assessing animal welfare, and positive reinforcement training). Conference and registration fees are paid for by the UW.

IACUC Oversight of Training

- The IACUC provides oversight of the training program by verifying and confirming that all personnel have documented training for the procedures that they are listed to perform on a protocol. This information is documented in the electronic protocol management system.
- The IACUC reviews and approves training requirements through review and approval of relevant policies.
- Effectiveness of training is evaluated by examinations, certifications, and analysis of non-compliance trends, post-approval monitoring, and tracking the frequency of the requests for re-training.

IV. Institutional Program Evaluation and Accreditation

- A. All of this Institution's programs and facilities (including satellite facilities) for activities involving animals have been evaluated by the IACUC within the past 6 months and will be reevaluated by the IACUC at least once every 6 months according to PHS Policy IV.B.1.-2. Reports have been and will continue to be prepared according to PHS Policy IV.B.3. All IACUC semiannual reports will include a description of the nature and extent of this Institution's adherence to the PHS Policy and the *Guide*. Any departures from the *Guide* will be identified specifically and reasons for each departure will be stated. Reports will distinguish significant deficiencies from minor deficiencies. Where program or facility deficiencies are noted, reports will contain a reasonable and specific plan and schedule for correcting each deficiency. Semiannual reports of the IACUC's evaluations will be submitted to the Institutional Official. Semiannual reports of IACUC evaluations will be maintained by this Institution and made available to the OLAW upon request.

- (1) This Institution is Category 1 — accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC). As noted above, reports of the IACUC's semiannual evaluations (program reviews and facility inspections) will be made available upon request.

V. Recordkeeping Requirements

- A. This Institution will maintain for at least 3 years:
1. A copy of this Assurance and any modifications made to it, as approved by the PHS
 2. Minutes of IACUC meetings, including records of attendance, activities of the committee, and committee deliberations
 3. Records of applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was granted or withheld
 4. Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to the Institutional Official, Sally Thompson-Iritani.
 5. Records of accrediting body determinations
- B. This Institution will maintain records that relate directly to applications, proposals, and proposed changes in ongoing activities reviewed and approved by the IACUC for the duration of the activity and for an additional 3 years after completion of the activity.
- C. All records shall be accessible for inspection and copying by authorized OLAW or other PHS representatives at reasonable times and in a reasonable manner.

VI. Reporting Requirements

- A. The Institutional reporting period is the federal fiscal year (October 1 – September 30). The IACUC, through the Institutional Official, will submit an annual report to OLAW after September 30, but on or before December 1 of each year. The annual report will include:
1. Any change in the accreditation status of the Institution (e.g., if the Institution obtains accreditation by AAALAC or AAALAC accreditation is revoked)
 2. Any change in the description of the Institution's program for animal care and use as described in this Assurance
 3. Any change in the IACUC membership
 4. Notification of the dates that the IACUC conducted its semiannual evaluations of the Institution's program and facilities (including satellite facilities) and submitted the evaluations to the Institutional Official, Sally Thompson-Iritani.
 5. Any minority views filed by members of the IACUC

- B. The IACUC, through the Institutional Official, will promptly provide OLAW with a full explanation of the circumstances and actions taken with respect to:
 - 1. Any serious or continuing noncompliance with the PHS Policy
 - 2. Any serious deviations from the provisions of the *Guide*
 - 3. Any suspension of an activity by the IACUC
- C. Reports filed under VI.A. and VI.B. above should include any minority views filed by members of the IACUC.

IV. Institutional Endorsement and PHS Approval

A. Authorized Institutional Official	
Name: Sally Thompson-Iritani, DVM/PhD, CPIA, CCFP	
Title: Assistant Vice Provost, Animal Care, Outreach & 3Rs	
Name of Institution: University of Washington	
Address: <i>(street, city, state, country, postal code)</i>	
4000 15 th Avenue NE (b) (4) Seattle, WA 98195	
(b) (6)	Fax: N/A
E-mail: sti2@uw.edu	
Acting officially in an authorized capacity on behalf of this Institution and with an understanding of the Institution's responsibilities under this Assurance, I assure the humane care and use of animals as specified above.	
Signature: (b) (6) 4DCAD326EC45418...	Date: 6/19/2025

B. PHS Approving Official <i>(to be completed by OLAW)</i>	
Name/Title: Temeri Wilder-Kofie, DVM, MPH, DACLAM Animal Welfare Program Specialist Office of Laboratory Animal Welfare (OLAW) National Institutes of Health 6700 B Rockledge Drive Suite 2500, MSC 6910 Bethesda, MD USA 20892-6910 (FedEx Zip Code 20817) Phone: +1 (301) 496-7163	
Signature: Temeri D. Wilder-kofie - S	Digitally signed by Temeri D. Wilder-kofie - S Date: 2025.06.20 10:21:21 -04'00' Date: June 20, 2025
Assurance Number: D16-00292 (A3464-01)	
Effective Date: June 20, 2025	Expiration Date: December 31, 2028

V. Membership of the IACUC

Date: March 2025			
Name of Institution: University of Washington			
Assurance Number: D16-00292 (A3464-01)			
IACUC Chairperson			
Name*: Jane Sullivan			
Title*: Associate Professor, Physiology and Biophysics		Degree/Credentials*: PhD	
Address*: (street, city, state, zip code)			
1070 NE Pacific Street (b) (4) Seattle, WA 98195			
E-mail*: jmsull@uw.edu			
(b) (6)		Fax*: N/A	
IACUC Roster			
		Position Title***	PHS Policy Membership Requirements****
(b) (6)		Veterinarian (non-UW institution)	Veterinarian
		Professor	Scientist
		Professor	Scientist
		Retired administrator; background in finance and law.	Non-Scientist
		Attending Veterinarian	Attending Veterinarian
(b) (6)		Associate Professor	Scientist
		Research Scientist	Scientist
		Behavioral Management Services Manager	Member
		Professor	Scientist
		Occupational Health & Safety Specialist	Member
		Director	IACUC Vice-Chair, Member
		Review Scientist	Member
		Associate Professor	IACUC Chair, Scientist
(b) (6)		Executive Director at non-profit; background in organizational	Non-Scientist

(b) (6)	development and management	
	Technology Operations Lead	Nonaffiliated
	Veterinarian	Veterinarian
	Review Scientist	Member
	Business Owner	Nonaffiliated
	Veterinarian	Veterinarian
	Associate Professor	Scientist
(b) (6)	Veterinarian	Alternate for Veterinarian
	Director	Alternate for Member
	Research Scientist	Alternate for Member
	Web Information Specialist	Alternate for Non-Scientist
	Professor	Alternate for Scientist
	Occupational Health Nurse	Alternate for Member
	Facilities Manager (non-UW institution)	Alternate for Member
	Veterinarian	Alternate for Veterinarian
	Veterinarian	Alternate for Veterinarian
	Review Scientist	Alternate for Member
	Veterinarian	Alternate for Veterinarian
	Research Assistant Professor	Alternate for Scientist
	Assistant Professor	Alternate for Scientist
	Adjunct Professor (non-UW institution)	Alternate for Nonaffiliated
	Review Scientist	Alternate for Member

animal user.

*

** Names of members, other than the chairperson and veterinarian, may be represented by a number or symbol in this submission to OLAW. Sufficient information to determine that all appointees are appropriately qualified must be provided and the identity of each member must be readily ascertainable by the institution and available to authorized OLAW or other PHS representatives upon request.

*** List specific position titles for all members, including nonaffiliated (e.g., banker, teacher, volunteer fireman; not "community member" or "retired").

**** PHS Policy Membership Requirements:

Veterinarian veterinarian with training or experience in laboratory animal science and medicine or in the use of the species at the institution, who has direct or

delegated program authority and responsibility for activities involving animals at the institution.

Scientist practicing scientist experienced in research involving animals.

Nonscientist member whose primary concerns are in a nonscientific area (e.g., ethicist, lawyer, member of the clergy).

Nonaffiliated individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution. This member is expected to represent general community interests in the proper care and use of animals and should not be a laboratory animal user. A consulting veterinarian may not be considered nonaffiliated.

[Note: all members must be appointed by the CEO (or individual with specific written delegation to appoint members) and must be voting members. Non-voting members and alternate members must be so identified.]

VI. Other Key Contacts (optional)

(b) (6)		
Title:		
Phone:	E-mail:	

X. Facility and Species Inventory

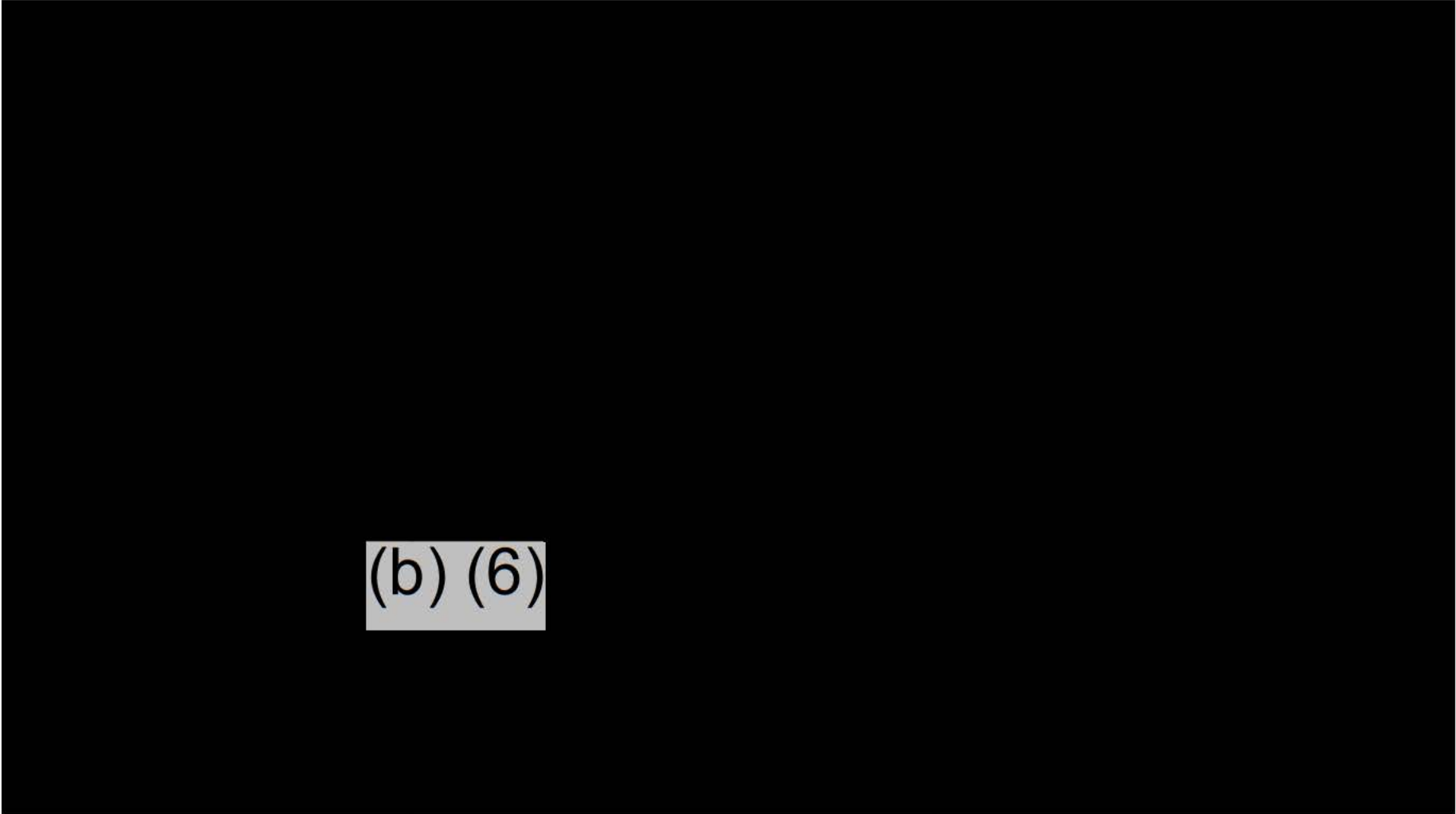
Date: May 2025			
Name of Institution: University of Washington			
Assurance Number: D16-00292 (A3464-01)			
Laboratory, Unit, or *	Gross Square Feet [includes service areas]	Species Housed	Approximate Average Daily Inventory
(b) (4)	100,254	Dogs	3
		Ferrets	2
		Gerbils	3
		Mice	12,111
		NHP - M. mulatta	110
		NHP - M. nemestrina	54
		Pigs	12
		Rabbits	4
		Rats	130
	448	Fish - Zebrafish	500
	1,796	Mice, Rats	N/A; procedure space only
	242	Fish - Zebrafish	150
	12,917	Fish - Various	Variable
	1,875	Mice	0
		Rats	40
	1,786	Fish (Midshipman, Other)	0
		Mice	0
		Rats	15
	13,984	Mice	1,191
		Pigs	0
		Rabbits	28
		Rats	26
	25,516	Frogs	167
		Mice	1,488
		NHP - M. nemestrina	11
		Rats	20
	39,290	NHP - M. fascicularis	12
		NHP - M. mulatta	68
		NHP - M. nemestrina	26
	18,932	Mice	2,205
		Rats	240
	8,355	NHP - M. mulatta	42
		NHP - M. nemestrina	12
	10,025	Mice	201
		Rats	118
	4,701	Fish - Killifish	250
		Fish - Zebrafish	14,715

(b) (4)		Frogs	45
		Mice	0
		Rats	2
	3,252	Birds - Finches	65
		Birds - Hummingbirds	0
		Fish - Zebrafish	12,370
		Mice	87
	13,500	Salmonids	0
	201	Mice	0
	3,033	Fish - Salmonids	0
	1,333	Mice	267
	17,917	Hamsters	0
		Mice	5,733
		Pigs	2
		Rabbits	0
		Rats	88
	1,050	Fish - Zebrafish	8,125
		Mice	0
	22,250	Mice	12,024
		Rats	18
	2,223	Mice	6
	190	Mice	168
		Rats	0
	18,533	NHP - M. nemestrina	478

al areas (buildings/rooms) by a number or symbol in this submission to
d location must be provided to OLAW upon request.

**Friday Harbor Laboratories is a marine field station located in the San Juan Islands. The nature of the work that takes place here, and thus the species involved, is highly variable and seasonal.

Appendix A: Organizational Chart



(b) (6)

Exhibit 16

APPLICATION FOR FEDERAL ASSISTANCE
SF 424 (R&R)

3. DATE RECEIVED BY STATE		State Application Identifier
1. TYPE OF SUBMISSION*		4.a. Federal Identifier OD010425
☐ Pre-application ☒ Application ☐ Changed/Corrected Application		b. Agency Routing Number
2. DATE SUBMITTED	Application Identifier A163926	c. Previous Grants.gov Tracking Number
5. APPLICANT INFORMATION Organizational DUNS*: 6057994690000		
Legal Name*: UNIVERSITY OF WASHINGTON Department: Office of Sponsored Programs Division: Office of Research Street1*: 4333 Brooklyn Ave NE Street2: Box 359472 City*: SEATTLE County: King State*: WA: Washington Province: Country*: USA: UNITED STATES ZIP / Postal Code*: 981959472		
Person to be contacted on matters involving this application Prefix: First Name*: Carol Middle Name: Last Name*: Rhodes Suffix: Position/Title: Director, Office of Sponsored Programs Street1*: 4333 Brooklyn Ave NE Street2: Box 359472 City*: Seattle County: King State*: WA: Washington Province: Country*: USA: UNITED STATES ZIP / Postal Code*: 981959472 Phone Number*: 206 543 4043 Fax Number: 206 685 1732 Email: osp@uw.edu		
6. EMPLOYER IDENTIFICATION NUMBER (EIN) or (TIN)*		91-6001537
7. TYPE OF APPLICANT*		H: Public/State Controlled Institution of Higher Education
Other (Specify): ☒ Small Business Organization Type ☐ Women Owned ☐ Socially and Economically Disadvantaged		
8. TYPE OF APPLICATION*		If Revision, mark appropriate box(es).
☐ New ☐ Resubmission ☒ Renewal ☐ Continuation ☐ Revision		☐ A. Increase Award ☐ B. Decrease Award ☐ C. Increase Duration ☐ D. Decrease Duration ☐ E. Other (specify) :
Is this application being submitted to other agencies?* ☐ Yes ☒ No What other Agencies?		
9. NAME OF FEDERAL AGENCY* National Institutes of Health		10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER TITLE:
11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT* Washington National Primate Research Center		
12. PROPOSED PROJECT Start Date* Ending Date* 05/01/2022 04/30/2027		13. CONGRESSIONAL DISTRICTS OF APPLICANT WA-007

SF 424 (R&R) APPLICATION FOR FEDERAL ASSISTANCE**Page 2****14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION**

Prefix: Dr. First Name*: SEAN Middle Name: D Last Name*: SULLIVAN Suffix:

Position/Title: Director, PORPP

Organization Name*: UNIVERSITY OF WASHINGTON

Department: Pharmacy

Division:

Street1*: 1959 NE Pacific Ave, H-375Q

Street2: Box 357631

City*: Seattle

County: King

State*: WA: Washington

Province:

Country*: USA: UNITED STATES

ZIP / Postal Code*: 981957631

Phone Number*: 206-685-8153 Fax Number: Email*: sdsull@u.washington.edu

15. ESTIMATED PROJECT FUNDING

a. Total Federal Funds Requested* \$67,894,413.00

b. Total Non-Federal Funds* \$0.00

c. Total Federal & Non-Federal Funds* \$67,894,413.00

d. Estimated Program Income* \$39,957,698.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?*

- a. YES ☐ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:
- DATE:
- b. NO ☒ PROGRAM IS NOT COVERED BY E.O. 12372; OR
- ☐ PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances * and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

☒ I agree*

* The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

18. SFLL or OTHER EXPLANATORY DOCUMENTATION

File Name:

19. AUTHORIZED REPRESENTATIVE

Prefix: First Name*: Carol Middle Name: Last Name*: Rhodes Suffix:

Position/Title*: Director, Office of Sponsored Programs

Organization Name*: University of Washington

Department: Office of Research

Division: Office of Sponsored Programs

Street1*: 4333 Brooklyn Avenue NE

Street2: Box 359472

City*: Seattle

County: King

State*: WA: Washington

Province:

Country*: USA: UNITED STATES

ZIP / Postal Code*: 981959472

Phone Number*: 206 543 4043 Fax Number: 206 685 1732 Email*: osp@uw.edu

Signature of Authorized Representative*

Jane Heffernan

Date Signed*

01/11/2021

20. PRE-APPLICATION File Name:**21. COVER LETTER ATTACHMENT** File Name: cover_letter_for_500k.pdf

Project/Performance Site Location(s)**Project/Performance Site Primary Location**

☐ I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name: Washington National Primate Research Center
Duns Number: 6057994690000
Street1*: 1705 NE Pacific Ave
Street2: Box 357330
City*: SEATTLE
County: King
State*: WA: Washington
Province:
Country*: USA: UNITED STATES
Zip / Postal Code*: 981957330
Project/Performance Site Congressional District*: WA-007

Additional Location(s)

File Name:

RESEARCH & RELATED Other Project Information

1. Are Human Subjects Involved?* ☐ Yes ☒ No	
1.a. If YES to Human Subjects Is the Project Exempt from Federal regulations? ☐ Yes ☐ No If YES, check appropriate exemption number: _ 1 _ 2 _ 3 _ 4 _ 5 _ 6 _ 7 _ 8 If NO, is the IRB review Pending? ☐ Yes ☐ No IRB Approval Date: Human Subject Assurance Number	
2. Are Vertebrate Animals Used?* ☒ Yes ☐ No	
2.a. If YES to Vertebrate Animals Is the IACUC review Pending? ☒ Yes ☐ No IACUC Approval Date: Animal Welfare Assurance Number D16-00292	
3. Is proprietary/privileged information included in the application?* ☐ Yes ☒ No	
4.a. Does this project have an actual or potential impact - positive or negative - on the environment?* ☐ Yes ☒ No	
4.b. If yes, please explain: 4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? ☐ Yes ☐ No 4.d. If yes, please explain:	
5. Is the research performance site designated, or eligible to be designated, as a historic place?* ☐ Yes ☒ No	
5.a. If yes, please explain:	
6. Does this project involve activities outside the United States or partnership with international collaborators?* ☒ Yes ☐ No	
6.a. If yes, identify countries:	Indonesia, Nepal, India, Thailand, Laos, Mexico, China
6.b. Optional Explanation:	Also Bangladesh (See Division of Global Programs)
7. Project Summary/Abstract*	Filename Overall_Abstract_sti_final.pdf
8. Project Narrative*	Overall_Narrative.pdf
9. Bibliography & References Cited	Bibliography_NA.pdf
10. Facilities & Other Resources	Overall_Resources_FINAL.pdf
11. Equipment	Overall_MajorEquipment_Final-REVISED.pdf
12. Other Attachments	Table_of_Employees_and_Employee_Effort.pdf Affiliate_and_Visiting_Scientists.pdf Overall_Sources_of_Support.pdf Foreign_Justification_FINAL.pdf

Exhibit 17

This Month

January 2020				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter- quartile Range
adminReview	111		0	1.0
VVC	6		0	2.5
IACUC DMR				
Amendment	30		24.5	18.0
Annual Review	8	-	28.5	33.8
New Protocol Application	2	-	58.5	na
Triennial Review	10	4	31.5	6.8
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-
total IACUC actions	50	4		

Past six months

Median Workdays, submit to approval							all six months
month	2019-08	2019-09	2019-10	2019-11	2019-12	2020-01	
adminReview	0	0	0	0	0	0	0
VVC	1	1	2	1	1	0	1
IACUC DMR							
Amendment	16	17.5	13	16	16	24.5	16
Annual Review	39.5	25	15	27	15	28.5	26
New Protocol Application	42.5	36	-	24	64	58.5	38
Triennial Review	35	36	42	28	27	31.5	31
IACUC FCR							
Amendment	-	-	-	-	-	-	-
Annual Review	-	-	-	-	-	-	-
New Protocol Application	-	-	-	-	-	-	-
Triennial Review	-	65	-	-	-	-	65

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2020_02	5	7
2020_03	8	8
2020_04	11	14
2020_05	9	11

This Month

February 2020				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter- quartile Range
adminReview	55		0	1.0
VVC	9		0	2.5
IACUC DMR				
Amendment	34	7	11	11.3
Annual Review	3	-	34	22.0
New Protocol Application	3	-	56	51.0
Triennial Review	6	-	19.5	15.0
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-
total IACUC actions	46	7		

Past six months

Median Workdays, submit to approval							all six months
month	2019-09	2019-10	2019-11	2019-12	2020-01	2020-02	
adminReview	0	0	0	0	0	0	0
VVC	1	2	1	1	0	0	1
IACUC DMR							
Amendment	17.5	13	16	16	24.5	11	16
Annual Review	25	15	27	15	28.5	34	22.5
New Protocol Application	36	-	24	64	58.5	56	34
Triennial Review	36	42	28	27	31.5	19.5	29
IACUC FCR							
Amendment	-	-	-	-	-	-	-
Annual Review	-	-	-	-	-	-	-
New Protocol Application	-	-	-	-	-	-	-
Triennial Review	65	-	-	-	-	-	65

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2020_03	6	8
2020_04	11	13
2020_05	9	11
2020_06	7	15

Last Month

April 2020				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter- quartile Range
adminReview	33		0	1.0
VVC	7		0	3.0
IACUC DMR				
Amendment	39	8	12	11.0
Annual Review	9	-	36	34.5
New Protocol Application	4	-	33.5	14.8
Triennial Review	12		26.5	16.3
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-

total IACUC actions 64 8

Past six months

Median Workdays, submit to approval							all six months
month	2019-11	2019-12	2020-01	2020-02	2020-03	2020-04	
adminReview	0	0	0	0	0	0	0
VVC	1	1	0	0	1	0	1
IACUC DMR							
Amendment	16	16	24.5	11	14	12	16
Annual Review	27	15	28.5	34	37	36	33
New Protocol Application	24	64	58.5	56	39	33.5	36
Triennial Review	28	27	31.5	19.5	33	26.5	28
IACUC FCR							
Amendment	-	-	-	-	-	-	-
Annual Review	-	-	-	-	-	-	-
New Protocol Application	-	-	-	-	-	-	-
Triennial Review	-	-	-	-	37	-	37

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2020_05	8	7
2020_06	6	14
2020_07	9	17
2020_08	8	19

Last Month

May 2020				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter- quartile Range
adminReview	77		0	0.0
VVC	11		1	3.0
IACUC DMR				
Amendment	34	4	12.5	6.3
Annual Review	11	-	26	25.0
New Protocol Application	6	-	37	40.3
Triennial Review	8		26.5	10.8
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-
total IACUC actions	59	4		

Past six months

Median Workdays, submit to approval							all six months
month	2019-12	2020-01	2020-02	2020-03	2020-04	2020-05	
adminReview	0	0	0	0	0	0	0
VVC	1	0	0	1	0	1	1
IACUC DMR							
Amendment	16	24.5	11	14	12	12.5	15
Annual Review	15	28.5	34	37	36	26	31.5
New Protocol Application	64	58.5	56	39	33.5	37	37
Triennial Review	27	31.5	19.5	33	26.5	26.5	27.5
IACUC FCR							
Amendment	-	-	-	-	-	-	-
Annual Review	-	-	-	-	-	-	-
New Protocol Application	-	-	-	-	-	-	-
Triennial Review	-	-	-	37	-	-	37

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2020_06	4	11
2020_07	8	16
2020_08	8	19
2020_09	6	17

This Month

June 2020				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter- quartile Range
adminReview	102		0	0.0
VVC	5		1	0.5
IACUC DMR				
Amendment	36	2	12	8.8
Annual Review	7	-	15	40.0
New Protocol Application	6	1	40.5	20.0
Triennial Review	16	-	31	17.3
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-
total IACUC actions	65	3		

Past six months

Median Workdays, submit to approval							all six months
month	2020-01	2020-02	2020-03	2020-04	2020-05	2020-06	
adminReview	0	0	0	0	0	0	0
VVC	0	0	1	0	1	1	1
IACUC DMR							
Amendment	24.5	11	14	12	12.5	12	14
Annual Review	28.5	34	37	36	26	15	33
New Protocol Application	58.5	56	39	33.5	37	40.5	38
Triennial Review	31.5	19.5	33	26.5	26.5	31	29
IACUC FCR							
Amendment	-	-	-	-	-	-	-
Annual Review	-	-	-	-	-	-	-
New Protocol Application	-	-	-	-	-	-	-
Triennial Review	-	-	37	-	-	-	37

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2020_07	4	6
2020_08	7	19
2020_09	6	17
2020_10	3	14

This Month

July 2020				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter- quartile Range
adminReview	59		0	2.0
VVC	3		0	1.0
IACUC DMR				
Amendment	44	1	12.5	12.0
Annual Review	5	-	29	29.5
New Protocol Application	3	-	86	117.0
Triennial Review	7	-	30	5.0
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-
total IACUC actions	59	1		

Past six months

Median Workdays, submit to approval							all six months
month	2020-02	2020-03	2020-04	2020-05	2020-06	2020-07	
adminReview	0	0	0	0	0	0	0
VVC	0	1	0	1	1	0	1
IACUC DMR							
Amendment	11	14	12	12.5	12	12.5	12.5
Annual Review	34	37	36	26	15	29	33.5
New Protocol Application	56	39	33.5	37	40.5	86	39
Triennial Review	19.5	33	26.5	26.5	31	30	28
IACUC FCR							
Amendment	-	-	-	-	-	-	-
Annual Review	-	-	-	-	-	-	-
New Protocol Application	-	-	-	-	-	-	-
Triennial Review	-	37	-	-	-	-	37

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2020_08	4	12
2020_09	6	15
2020_10	3	13
2020_11	6	12

This Month

December 2020				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter- quartile Range
adminReview	45		0	1.0
VVC	5		4	3.0
IACUC DMR				
Amendment	39	1	12	8.0
Annual Review	11	-	36	22.0
New Protocol Application	4	-	34	10.8
Triennial Review	12	-	35	16.0
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-
total IACUC actions	66	1		

Past six months

Median Workdays, submit to approval							all six months
month	2020-07	2020-08	2020-09	2020-10	2020-11	2020-12	
adminReview	0	0	1	0	0	0	0
VVC	0	1	1	1	0	4	1
IACUC DMR							
Amendment	12.5	12	14	11	13	12	12
Annual Review	29	20	11	51	12	36	24
New Protocol Application	86	39	103	-	18	34	37
Triennial Review	30	22	26.5	25	28.5	35	28
IACUC FCR							
Amendment	-	-	-	-	-	-	-
Annual Review	-	-	-	-	-	-	-
New Protocol Application	-	-	-	-	-	-	-
Triennial Review	-	-	-	-	-	-	-

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2021_01	1	6
2021_02	6	11
2021_03	4	16
2021_04	9	12

This Month

January 2021				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter- quartile Range
adminReview	34		1	2.3
VVC	8		2.5	3.3
IACUC DMR				
Amendment	26	1	19.5	21.3
Annual Review	5	-	25	30.0
New Protocol Application	2	-	34	-
Triennial Review	10	-	33	12.3
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-
total IACUC actions	43	1		

Past six months

Median Workdays, submit to approval							all six months
month	2020-08	2020-09	2020-10	2020-11	2020-12	2021-01	
adminReview	0	1	0	0	0	1	0
VVC	1	1	1	0	4	2.5	2
IACUC DMR							
Amendment	12	14	11	13	12	19.5	13
Annual Review	20	11	51	12	36	25	24
New Protocol Application	39	103	-	18	34	34	37
Triennial Review	22	26.5	25	28.5	35	33	29
IACUC FCR							
Amendment	-	-	-	-	-	-	-
Annual Review	-	-	-	-	-	-	-
New Protocol Application	-	-	-	-	-	-	-
Triennial Review	-	-	-	-	-	-	-

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2021_02	1	6
2021_03	4	16
2021_04	9	12
2021_05	8	19

This Month

November 2020				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter-quartile Range
adminReview	25		0	1.0
VVC	5		0	7.0
IACUC DMR				
Amendment	30	-	13	10.8
Annual Review	1	-	12	-
New Protocol Application	3	-	18.0	13.0
Triennial Review	6	-	28.5	18.5
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-
total IACUC actions	40	0		

Past six months

	Median Workdays, submit to approval						all six months
	month	2020-06	2020-07	2020-08	2020-09	2020-10	2020-11
adminReview		0	0	0	1	0	0
VVC		1	0	1	1	1	0
IACUC DMR							
Amendment		12	12.5	12	14	11	13
Annual Review		15	29	20	11	51	12
New Protocol Application		40.5	86	39	103	-	18.0
Triennial Review		31	30	22	26.5	25	28.5
IACUC FCR							
Amendment		-	-	-	-	-	-
Annual Review		-	-	-	-	-	-
New Protocol Application		-	-	-	-	-	-
Triennial Review		-	-	-	-	-	-

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2020_12	3	3
2021_01	8	11
2021_02	6	13
2021_03	5	17

This Month

October 2020				
Item type	Count	of which, urgent	Median Workdays, submit to approval	Inter-quartile Range
adminReview	84		0	1.0
VVC	2		1	-
IACUC DMR				
Amendment	37	1.0	11	8.5
Annual Review	5	-	51	45.0
New Protocol Application	0	-	-	-
Triennial Review	10	-	25	16.8
IACUC FCR				
Amendment	-		-	-
Annual Review	-		-	-
New Protocol Application	-		-	-
Triennial Review	-		-	-
total IACUC actions	52	1		

Past six months

Median Workdays, submit to approval							all six months
month	2020-05	2020-06	2020-07	2020-08	2020-09	2020-10	
adminReview	0	0	0	0	1	0	0
VVC	1	1	0	1	1	1	1
IACUC DMR							
Amendment	12.5	12	12.5	12	14	11	12
Annual Review	26	15	29	20	11	51	24
New Protocol Application	37	40.5	86	39	103	-	41
Triennial Review	26.5	31	30	22	26.5	25	27.5
IACUC FCR							
Amendment	-	-	-	-	-	-	-
Annual Review	-	-	-	-	-	-	-
New Protocol Application	-	-	-	-	-	-	-
Triennial Review	-	-	-	-	-	-	-

Coming four months known items due

Year-Month	Number of Annual Reviews	Number of Triennial Reviews
2020_11	3	1
2020_12	5	12
2021_01	10	11
2021_02	6	13

Exhibit 18

Starting a New Project: Process Overview for Researchers (Revised: 7/10/18)

The Washington National Primate Research Center (WaNPRC) helps Principal Investigators (PIs) starting new projects using nonhuman primates (NHP) in research at the University of Washington. The goal of the Division of Primate Resources (DPR) is to efficiently respond to NHP research requests from funded PIs by optimizing resources, expediting project initiation and streamlining project operations. DPR guides PIs through the process of accessing WaNPRC resources, work with them to establish practical experimental designs, develop budgets for the proposed experiments, and schedule responsibilities and facilities required for each experiment. This document is a guide of the approval process. Details will be reviewed during the PI's first conversation with the Research Facilitator.

The approval process involves the following steps. These are actions or questions that need to be addressed by the PI.

1. IACUC Approval:

a. Research projects involving the use of live vertebrate animals must first be approved by the Institutional Animal Care and Use Committee (IACUC). The Office of Animal Welfare (OAW) at the University of Washington has oversight and responsibility for such projects. OAW provides instructions and required forms (<http://depts.washington.edu/oawhome/forms.html>) to present to IACUC who will look at specific information for evidence that your plans are in compliance with government regulations.

b. All NHP protocols require WaNPRC veterinary pre-approval. Consult with WaNPRC's veterinary services on animal species, procedures, etc. Complete the IACUC Project Review Form (PRF) and submit it to the WaNPRC Animal Program Veterinarian for review. After WaNPRC Animal Program Veterinarian reviews and approves the protocol you will be notified in an email which is to be included when the PRF is submitted to the IACUC.

2. Contact Research Facilitator Jesse Day (jessed@wanprc.org) or Director (directoroffice@wanprc.org) when you have been alerted by a granting organization that your project is likely to be funded. Meet with the Research Facilitator to review necessary paperwork and timeline for completion. DPR staff is available to assist you with submitting PRF to IACUC.

3. After IACUC approval is issued, and prior to project starting, the PI completes and submits **WaNPRC Research Project Request (RPR)**. Specific circumstances can provide a simultaneous review while the IACUC is reviewing the project.

4. DPR staff complete a resources review *e.g.* animal availability, DPR personnel assistance, special housing, etc. based on the information the PI provides in the WaNPRC Research Project Request

5. Prior to a final approval, a budgetary and funding verification will be completed by WaNPRC Finance and Administration staff

6. When all WaNPRC approvals are secured, the PI receives a Project Approval Notification. Only then is the project open and research can begin.

Research Project Request

Washington National Primate Research Center
University of Washington

Project Number 09-02
(assigned by WanPRC)

Principal Investigator/Project Leader: Deborah Fuller

Project Title: Experimental SARS-CoV-2 Vaccine Pilot

Date of Request: 4/23/19 Funding Source NIH

IACUC Protocol #: 4266-14 IACUC Approval Date: 3/17/20

Academic and Technical Personnel Involved In Project:

Name	Title	Duties	E-mail	Phone (office, cell, other)
Megan O'Connor	Senior Fellow	Manage study/sampling/assays	meganoc@uw.edu	18
Thomas Lewis	Research Sci/Lab manager	Sampling/assays/manage	tblewis@uw.edu	18
Jesse Erasmus	Post-doc	Study design/vaccine dev	jerasmus@uw.edu	18
Sara Kelly	Lab manager	Manage study	smkelly@uw.edu	

☒ Y ☐ N Research Support Services are requested for procedure assistance

Description of Animals to be used for the Project:

Species	Sex	Age Range	Weight	Number	Date When Needed	Duration of Use
M. Nemestrina	M	3-5	>4 kg	3	ASAP	6 months

Disposition of animals at end of project: ☐ Euthanize ☒ Return ☒ Other (describe below)

Animals may be shipped to NIH @ Rocky Mountain Labs, otherwise return to colony

If animals are to be returned, please describe in detail any physical or physiological changes or biohazard concerns:

May have enhanced immunity against SARS-CoV-2 and Venezuelan Equine Encephalitis Virus antigens.

REQUIRED SECTION: In case of emergency, please specify a contact person(s) and phone numbers (day, night, and pager):

Megan O'Connor	18	cell; Thomas Lewis	18	Jesse Erasmus	18
Sara Kelly	18				

If female *M. nemestrina* are required please give specific criteria for selection; age, weight, reproductive history, etc. This will be reviewed by our breeding colony manager.

If pregnant dams or perinatal infants are needed, please complete the following:

☐ Pre-Term Gestational age needed: _____

☐ Full Term

Accuracy of timing:

☐ Ultrasound ☐ Timed

Delivery method preferred:

☐ Vaginal birth ☐ C section

☒ **Yes** ☐ **No** Will special housing or caging be needed (tether, ABSL 2/3, etc.)?

If "Yes", please describe below. Use additional pages if needed.

ABSL2/3 housing will be needed

In case of a clinical emergency, which of the following **CANNOT** be administered?

☐ No	Saline	☐ No	Lactated Ringer's
☐ No	5% dextrose in H ₂ O	☒ No	Antibiotics
☒ No	Corticosteroids	☐ No	Anti-diarrheal medications
☒ No	Blood transfusion	☐ No	Analgesics
☐ No	Chemical immobilization	☒ No	Nonsteroidal anti-inflammatories

If "No" to any of the above, please explain below. Use additional pages as required.

The animals will be undergoing a vaccine immunogenicity study. Addition of Corticosteroids, blood transfusion, antibiotics, or non-steroidal anti-inflammatories would affect some of the immune parameters being evaluated in the study.

Please indicate any other specific drugs, substances, or treatments contraindicated for animals on this project:

N/A

In cases of clinical indications requiring euthanasia or the event of sudden death, WaNPRC personnel will make every attempt to contact the identified research staff to discuss optimizing collection of data/tissue. Specify here any tissues you would prefer to be taken, preparation and holding method in the space below. Use additional pages if needed.

EDTA and SST Blood
RNAlater: peripheral LN, mesenteric LN, liver, jejunum, colon
R10 Media: peripheral LN, mesenteric LN, liver, jejunum, colon

Narrative of Research Project and Animal Use Procedures:

Attach document providing a brief narrative description of your proposed research project, please include the following:

- 1) Specific aim(s) relevant to the research protocol for this project
- 2) Study schedule for the NHP protocol (provide sufficient detail)

NPRC Resources Required for Research Project:

Resource	Nature of Service Needed (please be specific)	Length of time service needed
Bioengineering		
Research Support	sample collection	throughout study
Pathology		
Imaging		
Surgery	Liver, peripheral LN, jejunal and colonic biopsy	throughout study
Virology Core	CBC/Subset, viral load PCR analysis	throughout study