

Pacific Northwest

Cooperative Ecosystem Studies Unit

Renewal Self-Assessment

Review of 2010 - 2014



PNW CESU

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Category A: Federal Responsibilities

Did each federal agency in the CESU...

(See Appendix A for PNW CESU Agency and Partner Members List).

1. Provide opportunities for coordinated, collaborative scientific and scholarly activities?

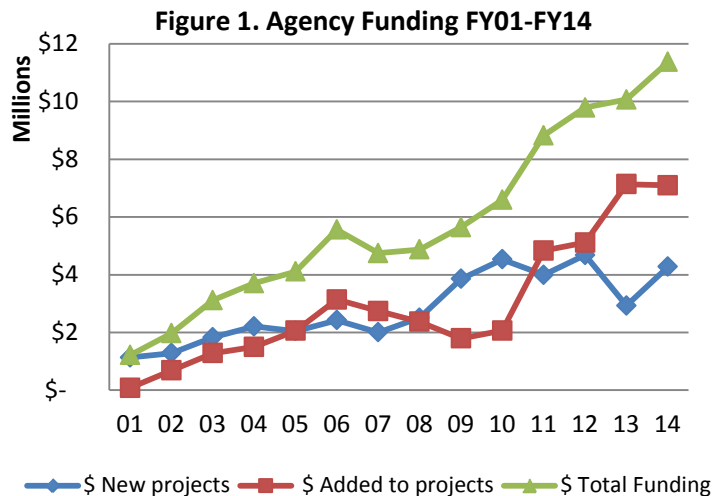
No. Nine of our eleven federal agencies collaborated with our partners on projects through the PNW CESU. NOAA and BOEM have not processed a project through the PNW CESU yet. NOAA is currently preparing to partner with UAA on their first project. BOEM has confirmed that they wish to remain a member.

One new federal agency joined during this term. The Office of the Deputy Under Secretary of Defense (Installations and Environment) joined in FY13 and has partnered with UVM on two projects totaling nearly \$700,000.

Since the establishment of the PNW CESU, our federal agencies have supplied a total of over **\$81.5 million** to fund **695 projects**.

There has been an increase in total federal funding each year, with the exception of FY07.

The funding added to existing projects through cost modifications (\$41.8 million) is slightly greater than the funding for new projects (\$39.7 million), with the largest difference in FY13 and FY14. (See Figure 1).



Reviewing funding by term, the PNW CESU has seen substantial growth: nearly 150% from the first to second term, and 87% from the second to the third. The number of projects has also increased by almost 50% from the first to second term, and 40% from second to third.

Agency	Joined	First Term FY01-04		Second Term FY05-09		Third Term FY10-14		All Terms FY01-14 Total	
		#	Funding	#	Funding	#	Funding	#	Funding
BLM	2000	22	\$ 2,641,890	36	\$ 4,386,920	62	\$ 7,337,466	120	\$ 14,366,276
DOD	2013	n/a	\$ -	n/a	\$ -	2	\$ 693,179	2	\$ 693,179
NPS	2000	124	\$ 6,897,815	137	\$ 13,708,982	170	\$ 18,188,698	431	\$ 38,795,495
NRCS	2004	1	\$ 52,000	28	\$ 2,281,819	9	\$ 2,231,992	38	\$ 4,565,811
USACE	2008	n/a	\$ -	0	\$ -	5	\$ 11,272,938	5	\$ 11,272,938
USBR	2004	0	\$ -	5	\$ 540,376	11	\$ 1,802,435	16	\$ 2,342,811
USFS	2000	0	\$ -	4	\$ 714,441	14	\$ 754,249	18	\$ 1,468,690
USFWS	2000	1	\$ 21,000	7	\$ 1,616,501	21	\$ 1,206,624	29	\$ 2,844,125
USGS	2000	4	\$ 389,677	10	\$ 1,685,305	22	\$ 3,146,491	36	\$ 5,221,473
TOTAL		152	\$ 10,002,382	227	\$ 24,934,344	316	\$ 46,634,072	695	\$ 81,570,798

Some agencies showed a significant increase in funding contribution per term. BLM increased by two thirds each term; USBR more than doubled (234%) from the second to the third; USGS tripled (332%) from the first to second term, followed by an 87% increase from the second to third; and NPS funding doubled from the first to second term, and increased by a third from the second to the third.

USACE joined the PNW CESU in our second term but funded their first project in our third term (FY10), adding a new project each year to total \$11.2 million, 90% of which was through cost modifications.

Both USFS and USFWS funding remained about the same but the number of projects they each funded tripled from the second to third term. And while NRCS's number of new projects dropped by two thirds from the second to third term, their overall funding remained nearly the same.

Looking at the third term (FY10-14), the federal agencies contributed over \$46.6 million, 57% of the PNW CESU total funding.

AGENCY	FY10	FY11	FY12	FY13	FY14	Total Funding	% of Total
BLM	\$1,464,830	\$2,370,510	\$1,523,013	\$1,322,292	\$656,821	\$7,337,466	15.7%
DOD	n/a	n/a	n/a	\$40,000	\$653,179	\$693,179	1.5%
NPS	\$3,974,383	\$4,649,612	\$3,396,875	\$2,184,137	\$3,983,691	\$18,188,698	39%
NRCS	\$168,868	\$369,204	\$899,000	\$0	\$794,920	\$2,231,992	4.8%
USACE	\$20,000	\$103,000	\$1,831,610	\$5,330,163	\$3,988,165	\$11,272,938	24.2%
USBR	\$152,059	\$257,918	\$862,313	\$393,686	\$136,459	\$1,802,435	3.9%
USFS	\$0	\$174,968	\$246,002	\$162,626	\$170,653	\$754,249	1.6%
USFWS	\$233,509	\$344,998	\$199,309	\$153,218	\$275,590	\$1,206,624	2.6%
USGS	\$578,811	\$553,889	\$831,512	\$477,012	\$705,267	\$3,146,491	6.75%
TOTAL	\$6,592,460	\$8,824,099	\$9,789,634	\$10,063,134	\$11,364,745	\$46,634,072	

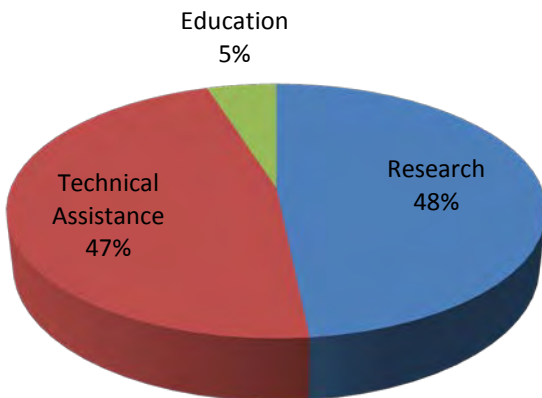
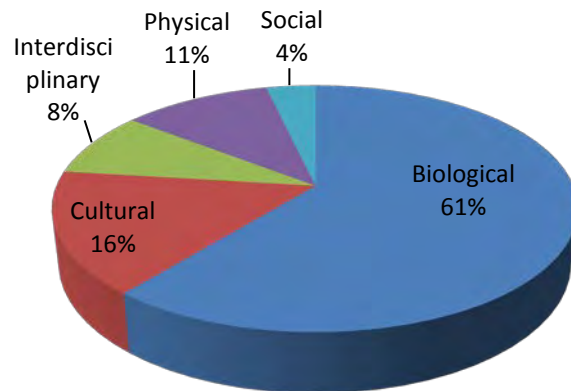
[Data note: NRCS just supplied data indicating there was a FY13 project with OSU for \$44,866. This is not reflected within this report due to time constraints.]

The federal sequestration occurred during our third term, which may in part be the cause for all of the agencies having a drop in funding, with two exceptions: DOD, who funded their first project through us for \$40,000, and USACE, who supplied \$5.3 million in funding. NPS, historically our largest contributor, had a 35% decline in funding in FY13, their lowest year since FY04. USBR dropped by over half in FY13; USFS by a third; USFWS by almost a quarter; and USGS by over 40%. BLM had 13% less in FY13, and then 50% less in FY14.

FY14 was a record year for the PNW CESU. Our nine active agencies contributed a total of \$11.3 million in funding. A few factors contributed to this increase: the federal recovery, which saw a bounce back in NRCS, USGS, and NPS funding; DOD funded their second project (\$650,000); and most notably, USACE supplied approximately \$4 million in funding, making them the largest contributor in FY14, with \$4,474 more than NPS.

In reviewing funding by project type for FY01-14, research (49%) and technical assistance (48%) are nearly equal, and education received 3%. In our third term, funding for technical assistance projects doubled, surpassing research projects, which still maintains the highest count of projects. And although the number of education projects was nearly the same from term two to three, the overall funding tripled, mainly due to two large NPS projects (\$350,000 to the UW, and \$110,000 to CWU).

In reviewing project funding by discipline for FY01-FY14, almost two thirds of the total funding was for biological (64%); physical and cultural were nearly equal (12% and 11%, respectively); and social and interdisciplinary a near match as well (7% and 6%, respectively). During the third term, the funding for physical and social projects decreased slightly. (See Figures 2 and 3 for a detailed breakdown of the third term).

Figure 2. Third term funding by Type**Figure 3. Third term funding by Discipline**

2. Provide funds for basic support and salary for CESU host university?

No. One agency, National Park Service, has again provided fiscal support to the host university, totaling \$204,152 for this term. This funding pays the salary and benefits for a part-time (50% FTE) Program Coordinator, and covers all program expenses. Funding was routed via two task agreements, P12AC15056, and P07AC0004. FY11 also funded temporary assistance to the HI CESU.

3. Make available federal personnel to serve on the CESU Federal Managers Committee?

Yes. For efficiency and cost effectiveness, our federal representatives to the executive committee serve as the core of the managers committee. Each agency has a Technical Representative who serves as the primary contact and is responsible for communicating agency needs and concerns. Many agencies have additional personnel (financial and administrative) who are also involved.

During our third term, four meetings were held, all at the UW except for one at the USFWS Portland office. The dates were April 29, 2010, Nov 16, 2011, April 17, 2014, and Nov 6, 2014. An additional meeting had been set for April 2013 at OSU but was postponed due to low availability to attend, in part due to the sequestration and limited travel funds.

Agency participation was about 80% at three of the meetings, and 50% participation at the webinar meeting. All members attended at least two of the four meetings, with the exception of BOEM who attended one. NOAA, NPS, USFWS, and USGS attended all four. NRCS and USFS have attended three, and BLM, USACE, and USBR have attended two. DOD has attended the one meeting held since they joined. (See Appendix B for meeting agendas, minutes, and attendance list per meeting).

In addition to attending meetings, they also participated in email discussions, providing feedback regarding meeting items, the strategic plan, and our goals and objectives.

All federal agencies were of great assistance in producing their most complete project data or project documents, some researching back to their first projects. After reviewing this data, an additional \$3 million in funding was added to our records.

4. Comply with CESU Network, host university, and nonfederal partner institution rules, regulations, and policies?

Yes. To the best of our knowledge there have been no issues with compliance. Agencies include the regulations and requirements associated with the project within the task agreements.

5. Did federal agency employees actively participate in the activities of the Host University and nonfederal partner institutions, including serving on graduate student committees or teaching courses?

Yes. Many of our federal agencies fund projects that include students, providing guidance and education to masters and PhD candidates, with final reports consisting of theses or student research reports. The NPS Research Coordinator served on PhD graduate committees and co-taught a graduate-level course, while also interacting with graduate students to facilitate more than a dozen NPS-UW projects.

6. Take responsibility for their respective agency's role in administering the CESU agreement, transferring funds, and supervision of agency employees?

Yes. We have not heard of any issues regarding this and assume proper supervision has been effective. The NPS ATRs communicate regularly with the PNW CESU regarding new task agreements and modifications to extend the project or add funding, and send us final reports and deliverables.

7. Provide administrative assistance, as appropriate, necessary to execute the CESU agreement and subsequent amendments or modifications?

Yes. During this term, one Amendment was processed which added DOD as a member. Nine of our eleven federal agencies signed; signatures were not received from NOAA and NRCS. The host has been in contact with the agency Tech Reps to confirm the correct signature authority for the Renewal Agreement, and will be sharing this information with the National CESU Program Coordinator who will be collecting federal signatures, while the host collects the partner signatures.

Category B: Host University Responsibilities

Did the host university...

1. Allow and encourage its faculty to engage in participating federal agency sponsored research, technical assistance and education activities related to the CESU objectives?

Yes. Seven federal agencies have partnered with over 80 UW faculty members on 177 projects.

(See Appendix C for host project examples).

TABLE 3. UNIVERSITY OF WASHINGTON HOST FUNDING BY TERM							
First Term FY01-04		Second Term FY05-09		Third Term FY10-14		All Terms FY01-14	
Count	Funding	Count	Funding	Count	Funding	Count	Funding
70	\$ 3,293,985	52	\$ 7,006,039	55	\$ 5,954,448	177	\$ 16,254,472

From the second term to the third, the UW experienced a 15% drop in funding. In FY13 the UW had a 70% drop in funding, going from \$1.6 million to about \$480,000. NPS, their largest contributor at 60% of the UW's total funding, along with some other agencies UW normally partners with, decreased funding that year. The UW continues to maintain their standing as the second most funded partner (OSU is first).

2. Provide basic administrative and clerical support over the current five-year term (i.e., in support of CESU operations)?

Yes. The host, the University of Washington, does not provide regular fiscal support but does provide other types of support.

a. How much did it cost the host institution to support the CESU over the current five-year term?

The host supports the PNW CESU mainly through staff time, though the SEFS director's office has funded periodic hosting expenses associated with our annual meetings. Dr. Bradley and Director DeLuca have contributed their time to provide supervisory oversight (signing time sheets, approving budget actions), and meeting with the NPS Research Coordinator and the PNW CESU Program Coordinator. SEFS fiscal staff assists with administrative tasks (grant and new member processes, entering the timesheet and payroll of the Program Coordinator). SEFS IT staff provides support with web hosting and poster printing, and facilities provides office space support and the use of copy machines. The UW OSP office provides grant guidance.

b. Where is the CESU Director's office officially stationed within the host institution?

Director DeLuca's office is located at the University of Washington, School of Environmental and Forest Sciences, 107 Anderson Hall, one floor above the PNW CESU office.

3. Provide access for CESU federal agency personnel (e.g., CESU Research Coordinator) to campus facilities, including library, laboratories, and computer facilities?

Yes. The NPS Research Coordinator has access to the library, computer systems, and other UW facilities through his affiliate faculty appointment.

4. Provide suitable office space, furniture and laboratory space, utilities, computer network access and basic telephone service for CESU federal agency personnel (e.g., CESU Research Coordinator) to be located at the Host University?

Yes. The UW SEFS has provided excellent space for the PNW CESU administrative office, with space for the Program Coordinator and the NPS Research Coordinator, along with office furniture, computer network access, phone service, and copy machine use.

5. Offer educational and training opportunities to participating federal agency employees, as appropriate?

The collaboration between agencies and partners facilitates the exchange of knowledge on a continual basis. And the composing and review of data and project reports provides further educational opportunities.

6. Coordinate activities, as appropriate, with the CESU federal, tribal, and nonfederal partners and develop administrative policies for such coordination?

Yes. The PNW CESU Co-Leaders have provided guidance and support to the partners, and continue to do so through some recent staffing changes. The University of Washington's Co-Leader and Technical Rep, Dr. Gordon Bradley, who has been with the PNW CESU since inception, retired effective December 2014. Dr. Thomas DeLuca, the inaugural director of SEFS, has stepped up to serve as the new Co-Leader and has attended our November 2014 meeting. A new Program Coordinator, Teresa Bresee, joined in March of 2013. Dr. Lauver, Co-Leader and NPS Research Coordinator, has continued to provide excellent guidance. All of the policies and operating procedures are posted on the PNW CESU website, and direct assistance is supplied as needed. Please see our Administration webpage for policies: <http://www.cfr.washington.edu/research.cesu/admin.htm>

a. Was a CESU Managers Committee maintained and convened, at least annually?

Please see page three, question three.

b. Were periodic meetings of the CESU partners convened, at least annually, for the purpose of collaboration and coordination of CESU activities?

Our partners are included in our annual meetings (see page three, question three, and page six, question two).

c. What efforts were made to communicate each tribal and nonfederal partner institution's strengths and expertise to the federal partners?

This information is supplied by our partners and is listed on our website on each member's page:

<http://www.cfr.washington.edu/research.cesu/participants/universities/uw.asp>

d. How were federal funding announcements and/or other opportunities communicated to partners across the CESU?

We communicate federal funding announcements through emails, posting them on our website, and in our newsletter. We have also found it useful to follow-up on these announcements to identify projects that might have been processed through our CESU but were not included in the agency-supplied project data. For funding opportunities, please see our Funding webpage: <http://www.cfr.washington.edu/research.cesu/funding.htm>

Category C: Participation of all Partners

1. What efforts did the host university, tribal, nonfederal, and federal partners undertake to engage students in projects and other activities of the CESU?

All of our active agencies, with the exception of the DOD, have projects that include student involvement. The agency ATRs and the partner PIs have together supported fellowships and internships and provided guidance to masters and PhD students.

Both overall, and specifically during the third term, at least half of our projects had student involvement. During our third term, NPS had 72% student involvement, which is a more accurate reflection of the student involvement in PNW CESU projects. Though we do not have complete student involvement data from agencies, we did find that of USACE's five projects, three had student involvement, half of USFWS' projects appear to involve students, and BLM had about 40% student involvement.

We implemented tracking of graduate versus undergraduate involvement in FY14 for the NPS projects. Of the 24 NPS projects with student involvement, 92% had graduate students and 38% had undergraduates (some had both graduate and undergraduate).

We share student opportunities in emails, on our website, and in our newsletter. (See Appendix C for student project examples).

2. Did all partners actively participate in CESU activities (e.g., meetings, phone calls, signing amendments, strategic planning, reporting)?

No. During this term, four of our partners have not attended any meetings (ADFG, EWU, UAS, and UVM). Eight of our partners have only attended one meeting, but four of these have recently assigned new Tech Reps who have been in contact with us and we anticipate further participation. ADFG is currently considering if they wish to remain a member.

PSU has attended every meeting, and CWU and HU attended three. Some partners have contributed in other ways (providing feedback on business items and the strategic plan). OSU recently released a newsletter with a feature on their connection to the PNW CESU. (See Appendix D for OSU newsletter).

At least six of our partners have recently assigned new technical reps. One partner did not have a current technical rep due to a retirement but that has been addressed and the new technical rep has been active. We will be increasing our outreach to the Technical Reps to offer our support and to help identify any problems.

Only one Amendment processed during this term, adding DOD, which half of the partners signed. We've recently reached out to the partner Tech Reps to verify that we have the correct signing authority listed. We will be contacting the signing authorities to alert them to expect the Agreement.

3. What percentage of partners received funding through the CESU over the current five-year term?

Fifteen of our eighteen partners (85%) received funding for projects in the third term. HU has not had a project funded through us yet, and EWU and UBC did not have any funding through us this term. CWU and OIT received funding for their first projects this term.

During the third term, USACE became an active agency and funded our two largest projects to date, both regarding Columbia River fish. UID received \$6.5 million from USACE and OSU received \$4.5 million. OSU has received the most funding each term, and leads in overall funding and in the number of projects.

WWU project funding increased from the second to third term almost ten-fold, followed by PSU who increased nearly nine-fold. SMUMN, UAA, and UVM also had a sizeable increase in project funding.

TABLE 4. PARTNER FUNDING BY TERM									
		Term One FY01-04		Term Two FY05-09		Term Three FY10-14		All Terms FY01-14	
Partner	Joined	#	Funding	#	Funding	#	Funding	#	Funding
ADFG	2000	5	\$ 324,365	4	\$ 396,071	6	\$ 687,929	15	\$ 1,408,365
CWU	2010	n/a	\$ -	n/a	\$ -	5	\$ 170,405	5	\$ 170,405
EWU	2007	n/a	\$ -	1	\$ 7,245	0	\$ -	1	\$ 7,245
OIT	2006	n/a	\$ -	0	\$ -	1	\$ 26,783	1	\$ 26,783
OSU	2000	28	\$ 4,018,468	74	\$ 8,839,656	76	\$ 12,786,269	178	\$ 25,644,393
PSU	2005	n/a	\$ -	14	\$ 790,304	59	\$ 7,083,013	73	\$ 7,873,317
SMUMN	2006	n/a	\$ -	11	\$ 638,971	24	\$ 2,489,416	35	\$ 3,128,387
SOU	2004	4	\$ 309,994	9	\$ 1,478,709	14	\$ 1,990,561	27	\$ 3,779,264
UAA	2000	5	\$ 415,462	3	\$ 322,789	9	\$ 844,661	17	\$ 1,582,912
UAS	2000	3	\$ 194,797	5	\$ 319,320	8	\$ 473,556	16	\$ 987,673
UBC	2000	1	\$ 10,255	1	\$ 54,182	0	\$ -	2	\$ 64,437
UID	2000	21	\$ 929,075	17	\$ 3,040,295	21	\$ 8,969,354	59	\$ 12,938,724
UO	2000	3	\$ 139,405	9	\$ 448,368	9	\$ 631,461	21	\$ 1,219,234
UVM	2000	3	\$ 245,916	9	\$ 766,998	13	\$ 1,968,811	25	\$ 2,981,725
UW	2000	70	\$ 3,293,985	52	\$ 7,006,039	55	\$ 5,954,448	177	\$ 16,254,472
WSU	2000	2	\$ 21,972	13	\$ 650,054	11	\$ 923,406	26	\$ 1,595,432
WWU	2000	7	\$ 98,687	5	\$ 175,341	5	\$ 1,633,995	17	\$ 1,908,023
TOTAL		152	\$ 10,002,381	227	\$ 24,934,342	316	\$ 46,634,068	695	\$ 81,570,791

4. What efforts were made to encourage and broaden participation in the CESU by all partners (e.g., HBCUs, tribal colleges, small academic institutions, state and local government agencies)?

At our last meeting we discussed the lack of a Heritage University project. The HU Tech Rep, Dean Sonoda, who has attended three of our four meetings, noted that HU students face cultural challenges that make it difficult to engage in projects outside the immediate community. In order to increase outreach, the dean will be

compiling information for the PNW CESU to share via email, newsletter, and website. Sharing their student profile and strengths will hopefully assist in identifying a potential student internship or a project they can join as Co-PI.

5. What is the date of the most current version of the CESU's strategic plan? How well do the activities of the CESU reflect the priorities and objectives outlined in the plan?

The strategic plan was reviewed in detail during the November 2014 meeting. After discussion and review of the feedback, we made a few revisions and in January 2015 the plan was approved as accurately reflecting the PNW CESU priorities and objectives. (See Appendix E for Strategic Plan, page four, for example projects).

In further pursuit of our goals, the focus this past year has been on ensuring accurate project data, improvements to the website, and increased outreach. We moved to a new e-newsletter format, with our latest newsletter viewed by 200 of our mailing list, and shared through UW SEFS' newsletter and the National CESU Office. We also have created partner-specific summaries to be featured in our partners' newsletters (See Appendix D). Furthermore, we developed agency and partner activity reports in order to provide an overview for our Tech Reps and their organizations of their activity through the PNW CESU. (See Appendix F for example partner activity report). Our newsletters are available here: <http://www.cfr.washington.edu/research.cesu/news.htm>

6. Did the participating federal agencies, host university, tribal, and nonfederal partners develop and follow annual work plans to guide the activities of the CESU?

Yes. The PNW CESU posts information regarding their annual work plan on the website and shares it through email. The plan includes providing updates on CESU guidelines, deadlines, and processes, and providing information and forms on our website. We regularly send emails about upcoming project expiration dates and supply prompts for delivering final reports and products. NPS ATR's and PI's receive guidance on the composition of their task agreements and modifications. The other federal agencies have their own independent process.

7. Have partners successfully obtained the tribal, federal, state, or local government permits and/or permissions from private landowners necessary to execute projects under the CESU agreement over the current five-year term?

Yes, the rules and process regarding the appropriate permits and permissions is noted in any task agreements with this factor and to the best of our knowledge they have been followed.

8. What instances exist where projects, programs, or partners have derived benefit as a result of the established CESU relationship, independent of federal awards administered through the CESU?

We suspect that there is further collaboration amongst our partners outside of the CESU that we have not been able to capture. OSU and PSU, both members of the Institute of Natural Resources, are sharing their PNW CESU activity reports with non-CESU members of the INR to showcase the CESU activity that has been of benefit to the INR. Conversations sprouting from these types of discussions likely lead to further collaboration.

We are proud of the accomplishments of the PNW CESU during its third term. Looking ahead, our top priorities include expanding partner involvement and supporting our minority partner's participation. Additionally, we will be focusing on increased visibility and further outreach: more communication with our Tech Reps to identify their current process and how they are utilizing their role as a Rep; creating more agency/partner specific news for their use in their newsletters; and completing the agency/partner specific activity reports. We also are focused on compliance with the new OMB guidelines, and incorporating the new host support funding to further support the successful collaboration of our agencies and partners.

PNW CESU Self-Assessment Appendix

- A. PNW CESU Agency and Partner Members List
- B. Meeting Documents
 - Meeting Attendance List
 - April 2010 Annual Partners Meeting
 - November 2011 Annual Partners Meeting
 - April 2014 Spring Webinar
 - November 2014 Annual Partners Meeting
- C. Project Examples
 - Host Projects
 - Student Projects
- D. Newsletters
 - Cooperative Ventures Newsletter, Spring 2011
 - Cooperative Ventures e-Newsletter, Jan 2015
 - OSU INR Newsletter, Fall 2014
- E. Strategic Plan
- F. Partner Activity Report example
- G. PNW CESU Project List