

University of Washington
FACULTY SENATE
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Class C Bulletin No. 455 Transmission of Dean's and Program Identification Committee's Reports
RCEP in School of Public Health & Community Medicine – March 13, 2007

Memo

Secretary of the Faculty

To: Voting Faculty

From: Gerry Philipson
 Secretary of the Faculty

Date: March 13, 2007

Re: Transmission of Dean's and Program Identification Committee's Report RCEP in the School of Public Health &
 Community Medicine.

This spring the School of Public Health & Community Medicine is conducting a review the Department of Pathobiology following procedures specified in the *Faculty Code* Chapter 26: Reorganization, Consolidation or Elimination of Programs (RCEP). As part of that process, the Dean's Report and the Program Identification Committee's Report must be made available to the Faculty in a Class C Bulletin:

The dean's intention to reorganize, consolidate or eliminate the identified program(s) shall be announced within a period of thirty instructional days from the appointment of the Program Identification Committee. This announcement shall be made in the form of a detailed and specific report accompanied by a separate statement from the Program Identification Committee. Both of these documents shall be submitted by the Dean to the President, the Provost and the chair(s) of the affected unit(s), and to the Secretary of the Faculty, who shall publish them in a *Class C Bulletin* within seven instructional days of receiving them.

Accompanying this memo, you will find electronic copies of both reports. Additionally, they will be posted to the Faculty Senate webpage at <http://www.washington.edu/faculty/facsen/issues.html>.

As noted below, Gail Stygall, Chair, Faculty Senate, has appointed a Review Committee to conduct the public portion of this process. The purpose of the public portion of the process is to provide all members of the University community an opportunity to ask questions and make comments about the proposed changes. The date and time of any public hearing will be made available as soon as possible.

Review Committee:

Jan Carline, Professor, Medical Education and Committee Chair
William "Bill," Erdly, Associate Professor, Computing & Software Systems, UWB
Asuman Kiyak, Professor, Oral & Maxillofacial Surgery
Don Janssen, Associate Professor, Civil and Environmental Engineering
Kathleen O'Neill, Associate Professor, School of Law
Kimberly Friese, GPSS Representative
ASUW Representative, to be appointed

DEAN'S STATEMENT

Why a Transition for the Department of Pathobiology?
March 1, 2007

This report describes the lack of financial resources in the Department of Pathobiology and then notes how these resource constraints in the department and in the School of Public Health & Community Medicine, along with other factors, have led to a request to dissolve the Department of Pathobiology. In addition, possible alternative solutions are discussed along with future opportunities for the Pathobiology Graduate Program and faculty.

LACK OF RESOURCES

Departmental Resources

This fiscal year (2006-2007) the Department of Pathobiology has \$580,067 in permanent state funds and \$949,796 in temporary funds. The temporary funds consist of carryover funds and indirect cost returns from research activities in the preceding year (RCR). A detailed breakdown of the department's resources and expenditures is shown in Appendix A. Also shown in Appendix A is the difference between the department's resources and expected expenditures this year, which amounts to \$38,794. This will be the amount of carryover funds for the next fiscal year (2007-2008).

Next year, like this year, there will not be sufficient state funds to support the department and its graduate program, although this year the department had temporary funds of \$949,796 in carryover funds and RCR to supplement the state funds. However, next year, with only \$38,794 in carryover funds and the loss of departmental RCR due to the recent departures and retirements of University-based Pathobiology faculty members, there will not be sufficient temporary funds to make up the budgetary shortfall.

The drop in RCR from department research activity is due to the loss of University-based faculty over the last several years. Two full professors have retired, an assistant professor accepted a position at Harvard, and two professors moved their research programs (and also their RCR) to the School of Medicine to obtain good laboratory space. This winter an associate professor resigned his position and moved his research to the Seattle Biomedical Research Institute. The remaining assistant professor has accepted a tenure-track position at Bastyr University. By July 1, 2007, there will be only five University-based full professors and one associate professor generating RCR in the department, since faculty members based at other institutions do not contribute to the department's RCR. Even this year the research activities of the University-based Pathobiology faculty members will only contribute approximately \$65,449 to the department's RCR next year. Thus, the temporary funds, including both the carryover and RCR estimated for the department next fiscal year (2007-2008), are only \$104,243 (\$38,794 + \$65,449) compared to \$949,796 this year. The Department of Pathobiology, like the rest of the departments in the School of Public Health, exists on the RCR generated by faculty research. Without substantial RCR, the Department of Pathobiology cannot continue to support the department and its graduate program on its small base of state funding alone.

School Priorities

The School of Public Health and Community Medicine is a professional school accredited by the Council on Education in Public Health (CEPH). CEPH requires schools of public health to have a critical mass and academic programs in each of five core disciplines: Biostatistics, Environmental Health, Epidemiology, Health Services Administration, and Social & Behavioral Sciences. The Department of Pathobiology supports none of these disciplines required for accreditation. The School already lacks critical resources needed to support the core disciplines required for CEPH accreditation; thus, even if additional resources for the School were to be made available, the Department of Pathobiology would not be given the highest priority.

In addition, information provided by the report of the Pathobiology Task Force (2005) showed low levels of interaction between the Department of Pathobiology and other departments in the School. Academically, the department provides few courses required by other degree programs in the School. There is also relatively little collaborative research between Pathobiology faculty members and other faculty within the School.

Why Now?

While the School's accreditation requirements and the low level of interdepartmental interaction with Pathobiology faculty and students have not changed appreciably from the past, the resource situation in the School has become more critical.

Our School, along with other schools and colleges at the University, has taken substantial cuts in state funds over the past five years. The School of Public Health has lost over \$750,000 in state funds since 2000. In addition, departments have been under pressure to retain good faculty members and have increasingly cannibalized retiring faculty positions to keep faculty salaries competitive. As noted in Appendix B (Report of the Committee on the Organization of Schools and Colleges, December 2006, Chart 1), the School of Public Health has the smallest proportion of state funds (5%) of any University unit.

In addition, the majority of the School's research funding comes from the National Institutes of Health, which has been level funded for several years. These research funding constraints are putting the entire School under enormous financial pressure to retain faculty and to support its academic programs required for continuing CEPH accreditation. Our School's new research awards for this fiscal year are projected to be 18% lower than last year, which will result in significant cuts in the School's RCR.

The loss of University-based Pathobiology faculty through retirements and departures could be offset if there were sufficient state funds to recruit a new chair and several new faculty members who could attract new grant funding and increase the department's RCR. However, the state funds currently held in the department and not tied to existing faculty are insufficient to recruit a new chair and junior faculty. In addition, substantial temporary funds are needed for the considerable renovation required to improve the department's 40-year-old laboratories, to acquire up-to-date equipment, and to provide bridge funding to start the research programs of new faculty. Providing space and funding start-up packages for laboratory scientists is expensive. The FY 2007 budget requested from the Provost for Pathobiology was \$2.445 million consisting of both state and temporary funds.

ALTERNATIVE SOLUTIONS CONSIDERED

New Resources

The budget request to the Provost for new state resources for Pathobiology was made in February 2006. This request was developed after a report by the Pathobiology Task Force recommended that in order for the department to continue, "the first priority for the department should be the recruitment of a committed and visionary chair. Without such guidance, the future of the department is in grave danger . . . Soon following the recruitment of a new chair, recruitment of two-three new UW-based faculty should be initiated." It was clear that there was no UW-based senior faculty member in the department who could assume this role. In fact, it was necessary to go outside the department even to appoint an interim chair who was put in place while attempts were made to identify resources for the recruitment of a new Pathobiology chair. This led to the request to the Provost for the recruitment resources described above.

Although important to continuation of the Pathobiology Department, it was not the School's highest budget priority. Given the University's new Faculty Effort Certification (FEC) process, the School needed \$100,000 of state funds to ensure that no faculty member in the School had more than 95% time on research funding. Given its critical nature, the FEC request was granted to the School, but none of the other many budget requests was supported. Thus, there were no new resources in state or temporary funds for the Department of Pathobiology from the Provost's Office.

Resource Transfer within School

After meeting with each of the other four department chairs—Biostatistics, Environmental and Occupational Health Sciences, Epidemiology, and Health Services—it was clear that transferring any state or temporary funds from their departments to Pathobiology was not a possibility. These four departments support the five critical core disciplines of public health that are required for the School's accreditation, and none of these departments has sufficient state resources to support their academic programs now. Therefore, they rely heavily on the RCR returned to the departments for their grant and contract research activities.

The Dean's Office holds no state funds for departmental faculty members since the departments retain all funds recaptured by retirements. The RCR that is returned to the School is used to cover a few School-wide expenses (e.g., School accreditation fees, etc.) and then is returned to the departments in the proportion earned by each department's research activities.

Department Merger

The possibility of merging the Department of Pathobiology with one of the other departments was also discussed with each of the department chairs. Not only was each chair reluctant to take on a department, faculty, and academic program that was under-funded, but the combinations did not make sense in terms of the education and research missions of the other departments. The Department of Pathobiology, which is a lab-based department, has a mix of faculty with a wide

range of expertise in basic research that does not fit well into other departments. The only other lab-based department in the School is the Department of Environmental and Occupational Health Sciences. With most of its funding from the Department of Labor and Industries, it has an education and applied research mission and goals that are quite different from those of the Department of Pathobiology.

The new Department of Global Health will provide an opportunity for Pathobiology faculty with research expertise in the area of emerging diseases to have a faculty home. Appointments for University-based Pathobiology faculty with appropriate expertise in global health have already been discussed, but it would be detrimental for the new department to absorb all of the University-based Pathobiology faculty members, including those whose teaching and research are unrelated to global health. Many have expertise that fits better with the departments mentioned above. In the future the new department, which just started this winter and currently has only three faculty members—a chair, vice-chair, and education director—will consider appointments for Pathobiology faculty at other institutions who wish to continue their participation in the Pathobiology graduate program.

In the past a merger with the School of Medicine's Department of Microbiology, which does similar basic research, had been suggested, but it was not an option supported by Microbiology.

Last year the possibility of dissolving the Department of Pathobiology and initiating an RCEP process was discussed with both the School's Faculty Council and Executive Committee. No alternative solutions were suggested, and each group was informed that individual Pathobiology faculty members with complementary expertise might join their departments. Over a year ago Pathobiology faculty members were also informed of resource problems in the department, and the possibility of dissolving the department was discussed at several Pathobiology faculty meetings. There were no suggestions made as to possible alternative solutions. In addition, there were individual meetings with each University-based Pathobiology faculty member regarding options for their future.

OPPORTUNITY FOR THE PATHOBIOLOGY GRADUATE PROGRAM

To assure the continued access of faculty members across campus and at affiliated institutes to advise and mentor Pathobiology graduate students and to teach in the academic program, application has been approved for the Pathobiology graduate program to become an interdisciplinary program in the Graduate School. In addition, given the focus of the graduate program's research and training in emerging diseases, the logical new administrative home for the program is the Department of Global Health. This proposed program administrative transfer is supported by the chair of the Global Health Department. Pathobiology graduate students have been informed about the possibility of a change in the administrative locus of the graduate program to the Department of Global Health and were assured that program requirements would not change for current students.

OPPORTUNITIES FOR PATHOBIOLOGY FACULTY

Currently there are nine University-based faculty members in the Department of Pathobiology; four are full professors, three are associate professors, one is an assistant professor, and one is an acting instructor. However, by July 1, 2007 there will be only six University-based Pathobiology faculty members—one associate professor and five professors.

The new Department of Global Health provides an opportunity for Pathobiology faculty members who are engaged in emerging diseases research to find a new home. The 50% faculty line for one University-based associate professor will be transferred to the new department. Two full professors (one has 50% tenure and one is WOT) will be transferred to the Department of Epidemiology where their research is already housed in Epidemiology space. Two other full professors (one has 50% tenure and one is WOT) will be transferred to the Department of Environmental and Occupational Health Sciences. The Pathobiology faculty members who will be moving to the departments of Epidemiology or Environmental and Occupational Health Sciences already have joint appointments in those departments. One of the associate professors resigned his position this winter and moved his research to the Seattle Biomedical Research Institute. Another associate professor may move his research to the School of Dentistry, but no final agreement has been reached. The assistant professor has accepted a tenure-track position at Bastyr University, and the appointment term for the acting instructor ends this fiscal year. Remaining department funds will be used to bridge non-tenured faculty to new departments and to support services associated with the laboratories that will remain in Pathobiology Department space to support the continued research of these faculty members.

Over 20 University faculty members have adjunct appointments in the Department of Pathobiology. Although the administrative locus of the Pathobiology graduate program will move to the Department of Global Health, these faculty members from other UW schools and colleges can continue to participate in the Pathobiology Graduate Program through

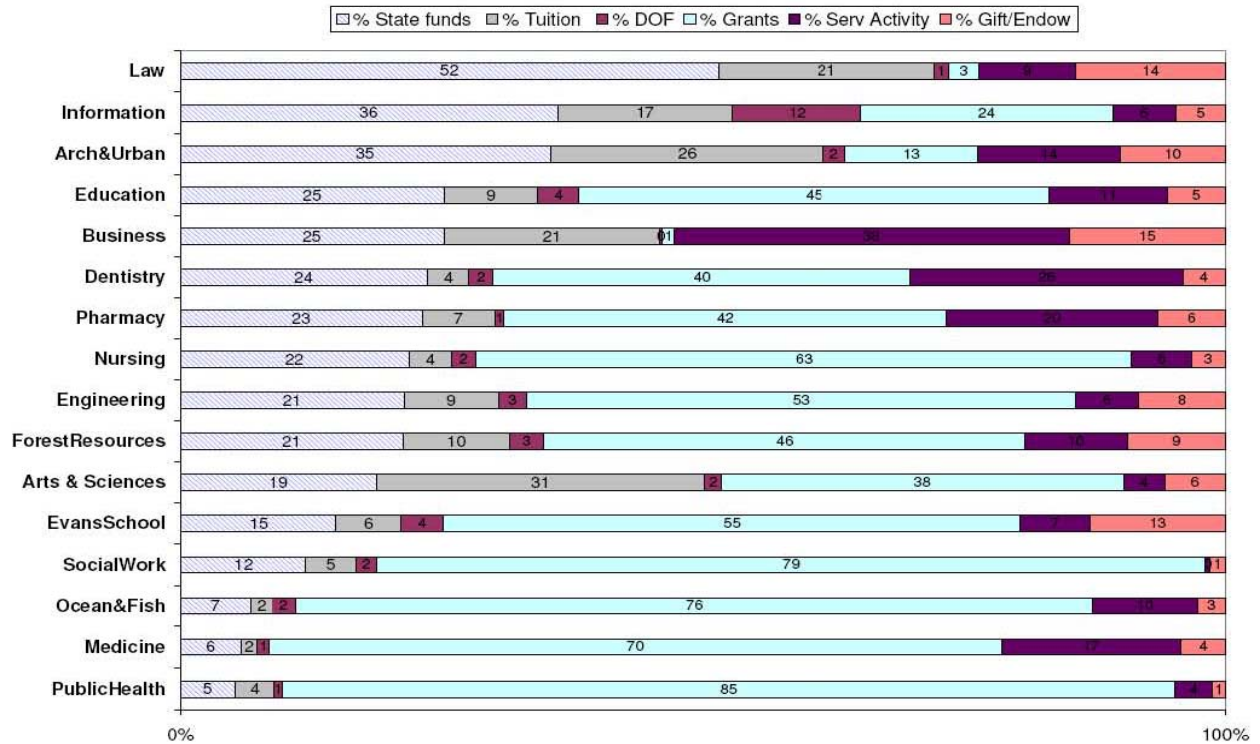
its new designation as an interdisciplinary graduate program. Three of the Pathobiology Department's emeritus faculty already have primary appointments elsewhere in the University.

Current Pathobiology faculty members whose homes are in other institutions, including the Fred Hutchinson Cancer Center, the Seattle Biomedical Research Institute, the Infectious Disease Research Institute, and NOAA, will likely have faculty appointments in the new Department of Global Health or other appropriate University departments. The chair of the Global Health Department has begun discussions with these institutions. The 50% tenure position in Pathobiology held by the director of the Seattle Biomedical Institute will be transferred to Global Health.

						APPENDIX A
School of Public Health and Community Medicine						
Department of Pathobiology						Aug-06
BUDGET FOR 2006-2007						
RESOURCES						
Permanent						
Salaries						
	Faculty				\$355,540	
	Students (RA)				21,354	
	Staff				10,776	
Total Personnel					\$387,670	
Operations						
	Services, Travel, Supplies, Equipment, Fringe				\$192,397	
TOTAL Permanent					\$580,067	
Temporary						
	Carry Forward, RCR				\$949,796	
TOTAL PERMANENT + TEMPORARY RESOURCES						\$1,529,863
EXPENDITURES						
Salaries						
	Faculty				\$455,013	
	Students				\$43,764	
	Staff				\$229,945	
Total Personnel					\$728,722	
Operations						
	Services, Travel, Supplies, Retreat, Tuition, Fringe				\$762,347	
TOTAL EXPENDITURES						\$1,491,069
DIFFERENCE = RESOURCES - EXPENDITURES						\$38,794
Note: Estimated cost of Pathobiology Graduate Program					\$735,668*	
*Assumes 10 new students for the academic year 2006-07 and fully paid laboratory rotations for them						
From Report to Graduate School for Interdisciplinary Program - Appendix V						

APPENDIX B

Chart 1: Percentages of different funding sources that support schools and colleges, ranked in order of the percentage contribution from state general funds. Imputed tuition income is the second item on each bar (source: Table 1)



Report of the Program Identification Committee RCEP proposal for the elimination of the Department of Pathobiology

The Program Identification Committee (PIC) was reestablished by the Secretary of the Faculty on 17 January, 2007 to consider a Reorganization, Consolidation and Elimination of Programs (RCEP) procedure brought forward by Dean Patricia Wahl of the School of Public Health and Community Health (SPHCM) for the elimination of the Department of Pathobiology. The members of the PIC joined together with the members of the SPHCM Faculty Council to form an augmented faculty council to consider the proposal submitted by Dean Wahl. The augmented faculty council met with the Dean on February 9th and as a council without the dean on February 23rd and 27th.

The first question posed for the PIC in Faculty Code, Section 26-41, is whether we support or do not support Dean Wahl's proposal for the elimination of the Department of Pathobiology. At this point the committee is unable to either support or oppose the proposal. In considering this question we asked whether the case presented by the Dean was compelling. The information provided concerning the financial and space resources available, as well as the small number of Pathobiology faculty generating RCR on campus, convinces us that some action is needed with regard to the department. However, the information provided is insufficient to convince us that elimination either is or is not appropriate. A separate memorandum to the Dean prepared by the SPHCM Faculty Council outlines a number of areas where the evidence presented is not "clear and compelling": there is ambiguity in the fiscal reports, in consideration of alternatives other than elimination, in the impact on faculty, and in the role of the Department of Global Health. We strongly support the recommendations of this memorandum and believe that only with this additional information could a considered decision be made regarding the elimination of the department.

In Section 26-41, the PIC is also asked to consider a second question: whether in its view the program identification process was fair, thorough, impartial, consistent in its use of appropriate criteria and materials, and free of conflict of interest. Firstly, as noted above, we believe that the additional information requested, and recommendations made, by the SPHCM Faculty Council will need to be provided and evaluated in order for the process to be thorough and consistent in its use of appropriate criteria and materials.

Secondly, in consideration of the fairness of the process, we believe that a historical failure to deal with emerging problems in the Department of Pathobiology has in part created the current crisis. The committee struggled with the relevance of events from three time periods in the department's history. The first was from approximately 1995 to 2004 when Ken Stuart served as Chair of the department. This period is characterized as one of growth of the faculty, but primarily by the addition of faculty who were housed and supported by non-UW facilities. Many of these new faculty were primarily employed at the Seattle Biomedical Research Institute where Dr. Stuart is now president. In this period, the department also revamped and grew its graduate programs to include both an M.S. and a Ph.D. degree. During a second period, from Dr. Stuart's resignation as chair to the initiation of the RCEP process, the department was lead by an Acting Chair from the Department of Epidemiology. At that time the Dean formed a task force that was charged with a thorough evaluation of the department. The task force issued its final report on June 28, 2005. In its executive summary the report states:

"After considering both strengths and weaknesses of the department, **the committee believes that Pathobiology is a unique asset to SPHCM and the University, and that Pathobiology plays an important role in completion of the School's mission and in enhancing the reputation of the School.** A successful future for the Department will depend upon the commitment by the School to its continued success and will also depend upon the commitment of the faculty to look outside of itself in terms of teaching and research efforts that benefit a larger SPHCM audience." (page 4; bold-face in original).

The third period started shortly after the receipt of the task force's report in September 2005. Appendix C of Dean Wahl's proposal indicates that in September of 2005 the Dean sent a request to the Provost for RCEP authority and a letter to the faculty indicating her plans to initiate an RCEP procedure to eliminate the Department of Pathobiology. The appendix also indicates that there was a letter sent to the faculty from a committee identified as the Transition Committee. In March 2006 the Dean initiated a proposal to make the graduate programs an Interdisciplinary Graduate Program. This proposal was accepted by the Graduate Faculty Council in April 2006 and the Board of Regents in May 2006. The move to an interdisciplinary program did not, however, seek RCEP authority for the change. During this period several UW based faculty moved their research laboratories and the associated RCR monies to other departments, another accepted a position at Harvard, and two faculty members retired. Also during this period the Dean submitted an Operating Budget Request to the Provost titled *Continuation of the Pathobiology Department*. The budget request asked for \$2.44M to hire a

new chair, hire 2 junior faculty, renovate laboratory space, support lab technologist and post-doctoral fellows for each recruit, and cover start-up equipment costs. The proposal was submitted as the fourth ranked priority of the four prepared for SPHCM. This proposal was not funded by the Provost.

In reviewing events of these three time periods, we note several areas of concern. Greater attention to the possibility of future financial difficulties was likely warranted for a department in which such a large proportion of the grants were being run through researchers' non-UW and non-Pathobiology home institutions. It is unclear whether attempts were made to develop some mechanism for a sharing of the indirect costs to provide more stable funding for the department. When Dr. Stuart gave up the position of Chair, the appointment of an acting chair from outside the department and creation of a task force essentially put any change on hold for over a year. The Dean's publicly starting the RCEP process shortly after the task force returned a thorough, well documented, and basically positive report must have further reinforced the belief of the faculty that the elimination was inevitable. Added to that was the removal of the graduate program from the Department of Pathobiology to become an interdisciplinary graduate program. The failure to maintain a confidential posture and the movement of the graduate program may well have contributed to the decision of faculty to move.

RCEP procedures do not seem to have been followed in two respects. Section 26-41B.2.f. states that "deliberations leading to the identification of programs for elimination shall be confidential until the conclusion of the identification process." It appears to the PIC that this confidentiality was broken when plans to eliminate the Department of Pathobiology were publicly announced to departmental faculty and students before the SPHCM Faculty Council had an opportunity to consult on "measures to meet the required budget reduction or resource allocation goals, including the elimination of programs, and alternatives to elimination such as reorganization and consolidation" (Section 26-41B.2.c) and before the PIC process was completed. Additionally, an application to transfer the Pathobiology academic program was submitted and approved before the RCEP process was completed and the future of the department was decided.

Based on this history of the Department of Pathobiology, both preceding and since the formal initiation of the program initiation process, it seems more accurate to say that the process was inevitable rather than fair, thorough, impartial, consistent in its use of appropriate criteria and materials, and free of conflict of interest. While some action is inevitable it is unclear exactly what that action should be. The PIC hopes that the type of open discussion that has taken place between the Dean, Faculty Council and PIC during this process will continue and that future consideration of the place of Pathobiology within the University will lead to a fair and intelligent decision based on an open and careful discussion with all affected parties involved.

Submitted for the Program Identification Committee by
Alan J. Klockars
Chair
3/1/07