Chapter 10. Enter C. Barry Raleigh: Founding SOEST Dean



"Wisdom is knowing what to do next; virtue is doing it"

David Starr Jordan
(1851-1931)

10.1. From the Ivy League to the Land and Sea Grant

In a 21 July 1989 *Honolulu Star-Bulletin* article, reporter Rob Perez characterized the UH-BOR's approval of the appointment of C. Barry Raleigh as inaugural SOEST dean as "a major academic coup…raiding one of the nation's top universities." President Simone added that "Professor Raleigh is at the peak of his professional career." When asked for details on Raleigh's salary, Simone filibustered but added, "To get top leadership, you have to pay for it." The appointment was effective 1 October 1989.

Barry Raleigh received his PhD in geology and geophysics from University of California, Los Angeles, and worked for many years at the US Geological Survey before being selected director of the Lamont-Doherty Geological Observatory of Columbia University, one of the top leadership positions in Earth-Ocean sciences in the world. Among his many honors at the time of his appointment as SOEST dean, Raleigh was an elected fellow of both the Geological Society of America and the AGU.

The 1989-91 UH general catalog still listed Chuck Helsley as acting dean of SOEST, but by this time Dean Raleigh was fully in charge. In an exclusive interview with Helen Altonn, the *Honolulu Star-Bulletin* reporter who had faithfully chronicled the emergence of SOEST, Raleigh said he intends to "capitalize on the intelligence and creative ideas" of SOEST scientists to draw up a 5-year blueprint for the new school.

In the 11 June 1990 issue of *The Honolulu Advertiser* reporter Jim Borg asked the question, "Who is the highest paid state employee?" – Governor John Waihee, UH President Albert Simone? Wrong. That distinction goes to C. Barry Raleigh, dean of SOEST, who leads the list of six UH administrators who make more than either the governor or the UH president! At that time, Raleigh's annual salary was listed as "greater than $100 K," compared to the governor's $94,780 per annum. Of course, what was not mentioned in the article were the governor's expense accounts, Washington

Place, the limo, and various other perks. Borg's main conclusion was that Dean Raleigh probably was more than deserving of this salary given his professional accomplishments and his new academic responsibilities.

In a companion article based on his interview with Dean Raleigh, Borg announced Raleigh's plan for a major restructuring within SOEST, one that would reduce the previously powerful HIG to approximately 25% of its former size. This came about as a result of Raleigh's ordering of the termination of the practice of split appointments between research institutes and academic departments within SOEST. Those individuals who had previously held split appointments were asked to choose one affiliation or the other with an assurance that individual faculty could continue their research even if they were not formally affiliated with an "organized research institute" like HIG or HIMB. As a result, the departments of oceanography and geology and geophysics grew in size and in stature, and HIG shrank dramatically. The other two research institutes of SOEST – HIMB and HNEI – remained about the same size.

Raleigh said that he wanted to ensure that both teaching and research were integral parts of the academic departments, "To say that a department is only for teaching is an absurdity that is honored in no other major university I know of." This reduction of HIG and growth of the Department of Oceanography was effectively an implementation of the "Oceanography Independence Proposal" of 1980 (see section 8). Unfortunately, by this time Stan Margolis, who had fought so hard for this autonomy, had left UH for a new position at the University of California at Davis and – in 1991 – he passed away. Stan would have been very happy with this new ocean-focus of SOEST.

While reasonable people may disagree, the creation of SOEST was fueled by interests in "ocean science." This sea-centric viewpoint is supported by most available facts, including the long-standing academic connections between UH and the sea reported in this book, conclusions of the landmark *Hawaii and the Sea* commission, the recommendations of the Byrne report, and the arguments articulated in the Oceanography Independence edict. Some might argue that the creation of SOEST rather than – for example – a school of ocean or marine sciences, was a disservice to the ocean sciences community much in the way that Margolis articulated the loss of an "ocean identity" by folding the Department of Oceanography's research into two independent organized research units – HIG and HIMB. There is no dispute that SOEST was a big step forward and that the international reputation of UH as a center for marine expeditionary research has been substantially enhanced – but at the same time we will never know what marine research opportunities might have been lost by the very broad mission of SOEST.

10.2. SOEST: A New Organization Takes Shape

"For the times, they are a-changin'…"
Bob Dylan



Shortly after assuming the leadership position in SOEST, Dean Raleigh began to exercise his assigned authority to plan boldly for the future. In November 1989, he publicly expressed his intent to produce a comprehensive document that "spells out for ourselves and others" the mission of the new school – a SOEST manifesto as it were. Dennis Moore, Fred Duennebier, and Pat Takahashi were called on for leadership and cross-discipline coordination in this key matter.

On 15 March 1991, the UH-BOR approved the new organizational structure for SOEST as outlined in the mission document. Key points in the new organization-chart were (1) the establishment of an external advisory committee, a research council, and an executive committee to advise the dean, (2) the establishment of an associate dean to manage the four academic departments (oceanography, geology and geophysics, meteorology, and ocean engineering), JIMAR, MOP, the Waikiki Aquarium, HURL and the SOEST library, but not HIMB, HIG, HNEI, or the Sea Grant College Program (these latter units reported directly to the dean), and (3) the re-establishment of eight discipline-specific research units. The majority of faculty in these divisions were also affiliated with departments and reported to the department chairs, as did the division secretaries. Ultimate division and departmental authority rested with the associate dean. SOEST had taken shape!

About 6 months later, in a memo dated 22 August 1991, Dean Raleigh abolished all SOEST research divisions and relieved the interim division heads (Dennis Moore, David Karl, John Sinton, Fred Mackenzie, Greg Moore, Klaus Keil, Phil Helfrich, and Pat Takahashi) of any further administrative function. The responsibility and authority for the conduct of research in the school were shifted back to the departments where many faculty felt they should have resided long ago (e.g., see section 8).

Nevertheless, this unilateral action by the dean did create concern among selected faculty – enough to warrant another all-SOEST faculty memo from Dean Raleigh dated 12 September 1991 which began: "The abolition of SOEST divisions, rather than constituting a mass extinction, is an evolutionary event." He went on to state that "Henceforth, there will be departments and institutes as the only line organizational structures." A research council of SOEST was also created to provide the dean with a collective vision on such matters as the scientific direction of SOEST and how to make the best use of limited resources, both human and financial.

By January 1991, Dean Raleigh was emphasizing that "Only absolutely top-of-the-heap" scientists are being hired at SOEST. In an interview with Helen Altonn published in the 28 January 1991 edition of the *Honolulu Star-Bulletin*, Raleigh said "there is clear recognition elsewhere that the school …is an exciting place to come." Of course not everyone was pleased with the new academic structure in SOEST, in particular the institute directors had lost some of their previous authority. UH President Simone was also unsure of the new directions of SOEST: "This (the reorganization) is not without controversy" but Simone acknowledged, "I support the dean…I don't bring a high-priced guy in with an international reputation…and second guess him." Fortunately, in the end I think that most reasonable people would agree – Dean Raleigh did the right thing in his internal restructuring of SOEST.

With this new state investment in marine programs, research and training grants for units within SOEST increased from $11.5 M in FY 87 (pre-SOEST) to $28.4 M in FY 92. According to David Yount, then UH vice president for research, in his book *Who Runs the University?*, the business plan for the investment in marine sciences at UH had been validated.

On 12 February 1992, UH "ocean" President Simone announced his intent to resign at the end of the year. Most praised him as an effective leader. At the state Capitol, Governor Waihee summed it up by calling Simone, "a leader of great vision who has made real and lasting contributions to the University of Hawaii and the State." Foremost among his contributions were the creation of SOEST and the hiring of C. Barry Raleigh as the inaugural dean of the new school.

On 17 May 1992 it was announced that Al Simone would leave earlier than expected, 1 September 1992, to assume the presidency of Rochester Institute of Technology in New York. Long-time UH administrator, Paul Yuen, was named acting president until a new president could be selected.

Despite achieving the long-standing goal of consolidation of all UH marine programs into a single administrative unit, SOEST still had the department vs. institute problem to deal with. (note: Technically this should read "consolidation of most" rather than "all" because the largely marine-oriented Department of Zoology, PBRC, and several other research entities were still outside SOEST.) The organizational chart was vague in the intended intersection of these separate units; the departments reported to the dean through an associate dean and the institutes reported directly to the dean.

During the summer of 1992, Vice President David Yount established a visiting committee of distinguished scientists to help him in his review of SOEST's organized research units, namely HIG, HIMB, and HNEI. The "blue ribbon" committee included Donald De Paolo (UC Berkeley), Robert Detrick (WHOI), Richard Eppley (Scripps), Peter Rhines (U. Washington), and William Merrell (Texas A&M); Merrell served as committee chair. The charge to the committee was to examine these three institutes to see if they were still valid and significant in the new SOEST organization.

This rather benign charge may have had other, hidden objectives, because the Merrell report – once completed and submitted to Yount – was not released in any form to either the research council of SOEST or to the SOEST faculty at large, despite numerous requests from both groups. On 11 January 1993, John Sinton made a last-ditch appeal to "let the sunshine in," to use his well chosen words. He went on to say, "Given that the results of this review are important to all of us and present a rare opportunity to see a formal statement of recommendations concerning our future, I would like to see a more open and constructive airing of its contents."

The Sinton-led protest finally elicited a response from Bachman Hall. On 6 April 1993 Vice President Yount wrote a memo to Dean Raleigh with the subject line: "Release of the visiting committee report on SOEST." In that memo, Yount reasserted the UH policy that all academic program reviews are kept confidential and that only general findings are reported back to the units involved. He (Yount) went on to state that "I believe there is no reason to deviate from this practice. But you (Raleigh) are certainly right that the SOEST research council might find useful programmatic comments made by the visiting committee. The attached summaries of their final report provide all such programmatic comments, and you are free to use them for planning as you see fit." The attachment to his memo was a copy of another memo that had previously (18 November 1992) been sent by Vice President Yount to HIG Director Helsley, subject line: "SOEST Visiting Committee's Report: Summary." According to the 18 November memo, a copy had also been sent to Dean Raleigh – so in effect, Yount produced nothing new as Raleigh had already seen this summary. With time, the SOEST faculty protests to obtain a copy of the Merrell Report subsided, with no resolution.

In October 2002 the author tried once again to get a copy of the Merrell report from Bachman Hall. This time Ed Laws, UH vice chancellor for research and dean of graduate programs was there to facilitate matters. His office staff looked, but later reported that they had no record of this report. The search continued.

Finally, in August 2003, the author obtained a copy of the report from Barry Raleigh, shortly after his resignation as dean of SOEST (see section 10.6). The 10-page report began by reiterating the primary charge from Vice President Yount to the committee, namely to review the three research institutes within SOEST. However, according to the report, "At same (sic) time the visiting committee will be asked to comment on the larger issues that affect SOEST: Are we pursuing the right scientific goals? Are we developing the appropriate educational programs? Is the internal governance and administrative structure of SOEST appropriate? Are we in need of resources that are necessary to our goal of attaining pre-eminence in ocean and earth sciences research and education?" The review procedure included interviews with the faculty, site visits of facilities, and so on.

In general, the visiting committee felt that the creation of SOEST was a "bold and forward looking move" and that the new school has already enjoyed success. However, they also stated that further integration of the various units was "critical to the continued success of the School" as well as "vigorous leadership and a continued supply of resources." They gave several recommendations to enhance integration, and

acknowledged that the "T" in SOEST was important to its overall success and in this regard is unique among peer "oceanographic" institutions in the US. The inclusion of technology in SOEST was – as mentioned above – part of President Simone's vision for the new school.

By page 5, the report turned more critical and, perhaps, more controversial. "The dual reporting of institute directors to both the vice president for research (then David Yount) and the dean of SOEST (then Barry Raleigh) is not working. Neither the dean nor the institute directors like it – sometimes for different reasons." The most controversial portion of the panel's evaluation was the recommendation that institute directors within SOEST should "report to the Dean of SOEST, and serve at his or her pleasure." They also recommended that both the director of HIMB – then Phil Helfrich – and the director of HIG – then Chuck Helsley – "should be replaced." Therein lies the conflict between the Merrell Report and David Yount, who commissioned the report. By effecting the visiting committee's recommendations, Yount would have lost authority over the more successful research units under his purview. For this – and possibly other – reason(s) Yount did not release the Merrell Report, claiming confidentiality. With time, both directors were replaced and the reporting structures were realigned to coincide with the committee's recommendations.

10.3. SOEST Survives Mortimer's Reign



"A virus is only doing its job"
David Cronenberg
(1943-)

The search and selection for Albert Simone's successor culminated on 25 November 1992 when the UH-BOR announced that they had selected Kenneth Mortimer to be the 11th president of the state-wide UH system. He assumed his new position on 15 March 1993.

In a 4 August 1995 white paper entitled, "The University of Hawaii Redefined," then UH President Kenneth Mortimer reiterated the founding Land Grant mission, the establishment of the state-wide system of post-secondary education opportunities for our citizens, and the commitment to research. However, in light of the state's budget crisis the UH must now prioritize, restructure, and streamline many of its missions. Research is particularly vulnerable because of the investments that must be made to remain competitive. In fact, 1994 was the first year in nearly a decade that research grant revenue at UH actually declined.

UH President Mortimer's last day on the job was 29 June 2001. According to a *Honolulu Star-Bulletin* article written by Treena Shapiro, during his 8-year tenure, the University's share of the state budget dropped to about 9%, from 13%, forcing austerity

measures across the UH system. However, throughout this period the Mortimer administration resisted making any vertical budget cuts and instead implemented more-or-less across the board horizontal cuts. Under tough conditions, leaders lead -- but there was little direction at this time from Bachman Hall. SOEST had survived this period of fiscal crisis and chaos, but just barely.

On 20 March 1996, SOEST Dean Raleigh sent a memo to his faculty indicating his difficult decision to retrench the Department of Ocean Engineering. The reason given: SOEST was broke! Rather than "court greater disaster" and sacrifice the excellence that has been created and nurtured over the past three decades, Raleigh boldly decided to effect his own vertical cut. The proposal to implement this action was sent to Dean Smith, then senior vice president for research, for his action. It was never implemented.

Then on 22 April 1996, Dean Raleigh wrote another memo to his faculty: "We have survived the worst of the State/UH budget cutting although the recovery of our depleted resources is not assured. Fifteen faculty will have left SOEST between January of 1995 and October of 1996. Faculty hired during that period replaced earlier departures or are entirely on soft money. We have lost $1 million in special equipment funds that have not been replaced and, barring a miraculous recovery in State finances, are not likely to be.

SOEST, despite its star billing as a high priority UH program, had received a net reduction of 20% in its budget (excluding collective bargaining increases) over the past four years, about the same as the whole of UH. To recover, and to maintain SOEST as one of the nation's finest research institutions, will require that we take a hard look at what we do well and not so well. We may need to do some internal pruning to strengthen first rate programs that have been weakened. We need, more importantly, to look to the future as we start to place our bets on the new directions most likely to be successful in attracting funding. The scientific world keeps changing and the institutions swift enough to adapt to new opportunities will survive."

Another victim of the so-called 4-4-4% budget cuts was MOP (see *Box 6.4*). According to Dean Raleigh, MOP is a good program but it does not really fit within SOEST's mission of research and teaching undergraduate and graduate students for science degrees. The UH at Manoa MOP program at that time had a state budget of approximately $150 K per annum.

Following Dean Raleigh's announced intent to terminate MOP, there was an immediate outpouring of community support; since the MOP program began in 1971, 650 students had received the certificate and an estimated 10,000 students were involved in other ways. In her 24 April 2000 *Honolulu Star-Bulletin* column "Ocean Watch," Susan Scott (a MOP alumna) called this "a shortsighted and a profound disservice to the students, the University and the community it serves." An editorial in that same newspaper one day later reiterated Scott's conclusion.

A more reasoned "viewpoint" piece in the *Honolulu Star-Bulletin* on 28 April 2000 by Khalil Spencer (a SOEST faculty member) put a slightly different spin on the issue.

Spencer correctly stated that "Dean Raleigh has been painted the villain, and reasonable people can disagree with his priorities. But he has a tough choice." Facing certain budget cuts, deans need to make the hard choices of what to axe or save. In the case of SOEST, Spencer argued, there are no poor-quality programs to sacrifice so the decentralized cost-cutting policy put in place by UH President Mortimer has resulted in the loss of some good programs, like MOP. He concluded his thoughtful commentary by emphasizing that the elimination of MOP will not bring an end to undergraduate student access to marine sciences at UH as many had stated, and pointed to a new SOEST degree program in Global Environmental Science (GES) as tangible proof (see *Box 10.1*).

In the end, MOP was not eliminated but rather transferred from SOEST to the College of Natural Sciences where it continues to provide an "ocean experience" to students with diverse science and non-science backgrounds.

***Box 10.1*: Global Environmental Science Degree Program**



Over the years there had been numerous discussions and some previous attempts to establish an undergraduate degree program in marine sciences or oceanography, but these had failed for a number of reasons including lack of Department of Oceanography faculty support. For example, in September 1988, a committee was formed to evaluate the need for an undergraduate degree in oceanography. Committee members included: Rick Grigg, Mike Landry, Fred Mackenzie, Roger Lukas, Sherwood Maynard, Alex Malahoff, and three student representatives (H. Maybaum, J. Smith and R. Jacques); Malahoff served as committee chair. Two years later, on 13 September 1990 the committee's final report was presented to then department chair Ed Laws and the full faculty; the main recommendation was that a BS degree program in oceanography be established. The planned curriculum would be "highly structured" with a "hard core of science" – the career path for this degree was to a MS or PhD degree. The recommendation of this committee was never implemented, largely due to lack of faculty support.

However, also in 1990, Senate Resolution 100 urged UH at Hilo, in collaboration with SOEST, to prepare a proposal to establish a center for undergraduate marine education at the Hilo campus. An *ad hoc* committee consisting of Lorenz Magaard (then – according to the resolution– acting SOEST associate dean for academic affairs), Sherwood Maynard (director of UH-MOP), Leon Hallacher (UH at Hilo professor of biology), and Walter Dudley (UH at Hilo professor of oceanography) was formed to respond to this resolution. This led, eventually, to the creation of the undergraduate marine sciences program that exists today at UH at Hilo.

In 1997, Fred Mackenzie, then a professor in the Department of Oceanography (see *Box 10.2*), successfully planned and promoted a new bachelor of science (BS) degree program in Global Environmental Science (GES); the program's administrative home was the Department of Oceanography. Until that time, oceanography had been an exclusively graduate department with a disproportionate, deliberate and logical focus on research.

continued

***Box 10.1*: Global Environmental Science Degree Program (continued)**

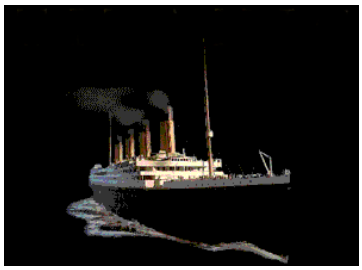
According to the UH at Manoa catalog for 2002-2003, the GES program is a "holistic, scientific approach to the study of Earth and Earth's physical, chemical, biological and human systems. It is a bold new academic program designed to educate leaders and citizenry to become wiser stewards of our planet." Distinctly different from the previously proposed BS-degree program in oceanography, both in terms of the degree requirements and the educational objectives, the GES faculty are drawn from diverse UH schools and colleges including SOEST, School of Law, College of Natural Sciences, College of Engineering, and the College of Arts and Sciences. Specific academic tracts for GES students include (1) marine science, (2) policy and economics, and (3) climate. A senior research paper (senior "thesis") is required of all GES students.

***Box 10.2*: Fred Mackenzie: Researcher, Mentor, Scholar**

Fred Mackenzie, arguably one of the foremost earth system scientists in the world, joined the UH faculty as professor of oceanography in 1981 after a distinguished academic career at Northwestern University. Following his graduation from Lehigh University in 1962 with a PhD in geology, Fred spent four years as a staff geochemist, then assistant director of the Bermuda Biological Station for Research (BBSR) where he began his lifelong interest in carbonate geochemistry, publishing several key papers and culminating with the publication of his classic books, *Evolution of Sedimentary Rocks* with R. M. Garrels in 1971, and *Geochemistry of Sedimentary Carbonates* with J. Morse in 1990. From 1970 to 1996 Mackenzie served as a Trustee of BBSR, and in 1996 he was designated a Life Trustee.

Since joining the UH faculty, Fred has been one of the Department's most distinguished scholars, setting standards for teaching, research, and community service. He has received numerous awards and honors, including fellowship in both the Geological Society of America and the American Association for the Advancement of Science. Fred is one of only a select few UH faculty members to have received both the BOR Medal for teaching excellence and, independently, the BOR Medal for excellence in research. In 1995 he was designated "Scientist of the Year" by the Achievement Rewards for College Students (ARCS) organization. Since 2000 he has devoted much of his time to the development and promotion of the new GES degree program, from fund-raising to student mentoring.

10.4. The POST(-poned) Building



"Professionals built the Titanic – amateurs the ark"

Anonymous



As with the creation of HIG in 1958 and the Department of Oceanography in 1964, these programs were not fully functional until new laboratory facilities were also available. For HIG, that meant the completion of the 4-story HIG building in 1964 (see section 4.2), and for the Department of Oceanography that meant the completion of MSB in 1982 (see section 7). For these same reasons, SOEST needed a new laboratory and teaching building in order to realize its full potential.

In June 1987, even before SOEST was an official entity, congress agreed to provide $5 M for a new Center for Ocean Sciences. Hawaii representative Daniel Akaka, a member of the appropriations committee, said this would help provide a concentrated effort to develop deep-sea mineral mining technology. Akaka's amendment for funding was attached to the 1988 treasury-postal service appropriations bill. At that point, the proposed building was known as the "HIG-Holmes Hall addition" and was envisioned as a 6-7 story structure, with 200,000 square feet of classroom, laboratory and office space, and connecting walkways to the other buildings.

The Akaka announcement followed shortly after the UH-BOR's 23 May 1987 controversial approval of a two-year $168 K contract with the Washington, D.C. firm of Cassidy & Associates for lobbying services specifically earmarked for the new marine sciences building. According to a 6 June 1987 *The Honolulu Advertiser* article, UH Vice President for Research David Yount is quoted as saying, "it is my understanding that Akaka and Cassidy are working together."

In late September 1988, Representative Akaka announced that US President Ronald Reagan had approved another $14 M in federal grants to UH for its planned ocean sciences building. According to a 29 September 1988 *The Honolulu Advertiser* article Akaka had sponsored legislation that led to the federal funding. This new $14 M went with the $5 M appropriated in the previous fiscal year. This increased the federal contribution to $19 M, but it was still not enough to complete the planned construction project (Figure 10.1).



Figure 10.1: Formal presentation of the "first installment check" for the construction of the POST building. Technically, the money trail was from the Department of Defense to the State and then from the State to UH. This 19 September 1988 Bachman Hall occasion included representatives from Congress, the Department of Defense, the State and UH. Shown here from left are: Representative Daniel Akaka, UH President Simone, Wayne Kulig (D of D), Gladys Brandt (Chair of UH-BOR) and Governor John Waihee at podium. (from SOEST archives)

One year later, in October 1989, it was announced that UH would likely receive the last $6 M it needed to complete the Pacific Ocean Science and Technology (POST) building – thanks to US Senator Daniel Inouye. The new funding was part of the senate appropriations subcommittee on defense. The rationale given was that seabed minerals hold great promise for military applications and as a result, the Department of Defense was "willing" to help build this new facility.

In a newspaper article published on 8 October 1989, Vice President Yount explained that this new marine sciences building was a state-federal project and that the state of Hawaii has contributed $22 M to match the federal contribution, already appropriated. When pressed on the connection to the defense department, Yount responded, "It will not be secret (research); its findings will be public." He added, "Senator Inouye has been very helpful to this project."

However, in Washington, Senator Robert Byrd (D-W.Va.) – sometimes called the king of pork-barrel spending – was quoted as saying, "The perception is growing that the merit of a project, grant or contract awarded by the government has fallen into a distant second place to the moxie and clout of lobbyists who help spring the money out of appropriation bills for a fat fee." As Thomas Kaser's 8 October 1989 *The Honolulu Advertiser* article proclaimed, "Controversial lobbying effort secures UH funds." This practice of science earmarking is part of a much larger national problem, that the author refers to as "sweet and sour pork" (see *Box 10.3*).

On 28 February 1991 it was reported that the final $6 M for the POST building was approved in the 1990-91 defense appropriations bill and that this would complete the approximately $26 M federal contribution to the $48 M marine research facility at UH. According to Senator Inouye, it would be a "world class materials research center."

However, by May 1992, construction delays, finger-pointing, name-calling, and frustration were the only movements on this project. The 6-year delay was also starting to cut into the building funds as construction estimates escalated. By the time the ground was ready to be broken for the start of construction, there was simply not enough money in the account to go ahead with the original building design. Rather than enter into a new round of architectural plans, bids and certain delays, the construction project scope was reduced by lofting certain spaces, four entire floors (out of eight) to be exact.

In a 7 October 1993 *Honolulu Star-Bulletin* article written by Helen Altonn, state comptroller Robert Takushi is quoted as saying, "Obviously what they're going to have to do is get more money to fill the lofted area" and Allan Ah San, UH campus operations director agreed, "We are attempting to see if additional funding can be provided by the federal government and the state. We have two years to chase the money."

Box 10.3: **Sweet and Sour Pork: UH Marine Science Earmarks**

In 1986 UH President Simone hired Cassidy & Associates to help secure federal funding for the new SOEST building. The 6-month, $30 K contract was described by Simone in a 11 September 1986 *Honolulu Star-Bulletin* article as an "experiment," and he acknowledged that he did not clear this policy matter with the UH-BOR prior to hiring the high-powered Washington, D.C.-based lobbying firm. BOR chair Gladys Brandt expressed concern because the federal funds, if obtained, would commit the state to matching support that would not have been approved ahead of time by either the BOR or the legislature.

The Cassidy & Associates contract, which took effect 1 August 1986, was to obtain $3 M in federal funds for "planning" followed by another $10 M for construction of a new ocean sciences building. Simone had asked the state for $21.6 M in capital improvement project (CIP) funds in the 1987-89 biennium budget for the same purpose, presumably as the state match. Two months later, following heated debate on this matter, the UH cancelled the 6-month contract with Cassidy & Associates after only four months into the project. According to newspaper reports at that time, Simone had asked the Hawaii congressional delegation for support of this plan, and there were no negative reactions. However in a 16 November 1986 *Honolulu Star-Bulletin* article it was also reported that Gerald Cassidy, founder of Cassidy & Associates, made major campaign donations to members of Hawaii's congressional delegation. These donations buy access, and access facilitates science earmarking by the most powerful members of congress.

In his 1993 book, entitled *The Cardinals of Capitol Hill*, Richard Munson provides a behind-the-scenes look at the process of academic earmarking and provides several relevant case studies of what some believe to be an insidious procedure. However, Simone was determined to have UH at the trough and vowed to get this contract back on track, with BOR approval, as soon as possible.

In April 1987, President Simone sent a formal request to the UH-BOR asking that they approve a contract with Cassidy & Associates at a rate of $6 K/mo. for year one and $8 K/mo. for year two of a two-year contract. The estimated investment of $150-200 K would facilitate, if not guarantee, procurement of funds to construct the much needed marine sciences building. On 22 May 1987 the BOR approved the contract, effective 1 June 1987. The funds to support this lobbying activity would be raised by the UH Foundation and would not come from state general funds.

Criticism of the practice of hiring D.C. lobbyists to secure federal funding for UH projects is that it ultimately undermines the peer review process upon which most academic programs are based. The best research projects and the most credible scientists should receive the limited federal support, not the most vocal or highest paid lobbyists. This is considered to be a slippery slope; once we start down this path we run the risk of losing all credibility among our peers. Despite the potential risks, the UH-BOR approved a 2-year $200 K contract in 1987 and a second 2-year $422 K contract in 1989 with Cassidy & Associates for D.C.-based lobbying activities on behalf of the university.

In a 24 September 1992 *The Honolulu Advertiser* article titled "Lawmaker questions UH academic pork," Stu Glauberman reported that US Representative George Brown, Jr., the California Democrat who at that time chaired the house Science, Space and Technology Committee was looking into the practice of academic earmarking of federal funds to a dozen or so universities; UH was high on his "hit list." A report released by the Congressional Research Annual indicated that UH, Iowa State University, and the University of Alaska each received more than $91 M in earmarked funds. The beef about pork, according to UH Vice President David Yount, is that "Congress gets to decide which universities or states get academic programs rather than the National Science Foundation…" He added, "Obviously politics plays a role in earmarking." The congressional report indicated that the academic earmarking nationwide increased from $11 M in 1980 to $700 M in 1992.

continued

Box 10.3: **Sweet and Sour Pork: UH Marine Science Earmarks (continued)**

In fiscal year 1997, according to the 28 March 1997 issue of the *Chronicle of Higher Education*, UH received a new honor, "Pork Barrel King." A 24 March 1997 Pat Omandam *Honolulu Star-Bulletin* article explained that nearly half of the $100 M earmarked for UH comes from the US Navy for a $45 M research vessel to replace the retiring *Moana Wave* (see section 13.11). In response to criticisms, Senator Daniel Inouye, who is credited with this earmark, said "UH and Hawaii have special needs only its representatives will look out for."

In 2002, newly-appointed UH at Manoa Chancellor Peter Englert hired an outside consultant, Robert Forrester, to prepare a report on "Research at UH" – the product of this effort became known as the "Forrester Report" (http://kela.soest.hawaii.edu/UHARI/Forrester_report.pdf). Among other issues, the Forrester Report noted as one of several "weaknesses and threats" the fact that UH research volume has "benefited from appropriations directed through the state's congressional delegation." According to Forrester's assessments for fiscal years 2000 and 2001, as much as 20-30% of the value of UH research awards may have been a result of that congressional effort. He concluded that "such support may not go on indefinitely and the campus should have a contingency plan." No value judgment, *per se*, was assigned to these appropriations and nothing was mentioned about the intersection of peer review, research ethics, and legislative earmarks.

UH administrators and UH faculty alike have diverse views on this practice but no one seemed able to fully justify this practice (what if, for example, all federal funds for science projects escaped peer review and went to second-rate colleges and universities through legislative earmarks?), or explain how this would necessarily promote the reputation of the UH marine science programs. It was then, and still is, a controversial practice with implications ranging from science ethics to science excellence.

On the other hand, academic earmarks have been praised by some as the only effective mechanism to distribute the federal funds for research in an equitable manner. Over the years, between HIG, MSB, POST, HURL, pelagic fisheries, and the various research vessels, UH marine research has probably been awarded more than $250 M in earmarked funds. According to a 27 April 1994 *Washington Post* article written by William Gray III, about one-third of all federal research dollars go to the 20 largest universities – of course, UH is not on that list.

A more extreme position cites the US Constitution as the document establishing the system whereby our elected officials decide where the money should go – and all so-called pork barrel earmarks do pass through the various committees in congress for a vote. In any case, I think we might all agree with Mr. Gray, "We ought to acknowledge that earmarking has a proper place and bring it out of the closet. Let each proposed earmark stand in public scrutiny."

G. W. Murphy Construction Co. submitted the low base bid of $38.8 M, but with alternates the total bid package was $46 M. SOEST Dean Raleigh focused on the positive, "We are delighted that the building is finally moving ahead." But, in private, the lofted space concerns and time already lost and its negative impact on the research productivity of his staff must have sobered his public "delight" on this matter.

Over the next few years, Dean Raleigh's delight turned to disgust, and SOEST staff morale continued to plummet. In a very high profile (front page, "above the fold") 12 February 1997 *Honolulu Star-Bulletin* article by Helen Altonn titled, "$48 Million UH building sits unused" a scandal of major proportions was presented for all to view. According to Altonn, the original target completion date for the building was 1989, but bids were not sought by the state until late 1992 because of various delays in planning.

Four out of the eight floors were still unfinished in 2001 because of funding problems that were identified at least four years earlier. The state legislature finally appropriated $7 M to complete this project, but that money didn't appear overnight.

Fred Duennebier, then chairman of the Department of Geology and Geophysics, and his staff were prepared to move into the finished spaces in April 1996; fall 1996 classes were scheduled for POST (Figure 10.2). Then the faculty and students were told that the classrooms in POST would not even be ready for fall 1997 classes. Duennebier didn't know if he was coming or going. "We could just take it if someone would tell us what's going on" he said, but "we couldn't get a straight answer. They keep putting it off month by month." Dean Raleigh agreed, "Our frustration is we can't identify who's the responsible party."

According to the article, Duennebier had also just learned that much of the planned, built-in furniture and other facilities were missing due to lack of funds. He indicated that the old, mostly rusted battleship gray furniture purchased for the HIG building nearly 30 years ago would eventually be moving into the "state-of-the-art" POST science building, along with some of the graying, aging faculty who were enticed to UH as young superstars with the promise of new laboratory facilities and new research opportunities. Of course, those in charge at the state Department of Accounting and General Services did not see any problems and said after a list of deficiencies are corrected, "they can move in."



Figure 10.2: Fred Duennebier – then chair of the Department of Geology and Geophysics – standing in front of the unfinished POST building. This photo by Ken Sakamoto appeared in a high-profile (front page, "above the fold") Helen Altonn *Honolulu Star-Bulletin* article on 12 February 1997: "$48 Million UH Building Sits Unused." The photo heading read: "UH Scientists Fed Up." That pretty much summed up the POST situation at that time. (http://starbulletin.com/97/02/12/news/index.html)

Another concern, expressed by chairman Duennebier, was "that warranties are expiring on millions of dollars worth of equipment still in shipping boxes, purchased in anticipation of a move last summer." Planetary scientist Tom McCord may have summed it up best, "It seems it's just one more of these many examples of a system not

being able to function," he added, "The biggest tragedy is it's sitting there empty and there's a desperate need for it."

The long-awaited POST building was finally dedicated and "officially opened" at a public ceremony on 2 July 1997 (Figure 10.3). According to information provided in the dedication program, "the POST building prepares UH for the 21st century with advanced instructional and research laboratories, computers and other support facilities." The program also stated that "the building was completed in June 1996," but offered no explanation why it is only being "opened" more than one year later.

Presiding over the dedication ceremonies was Senior Vice President for Research and Dean of the Graduate Division Dean O. Smith with remarks by UH President Kenneth Mortimer, UH Regent Bert Kobayashi, Governor Benjamin Cayetano and US Senators Daniel Akaka and Daniel Inouye. At the dedication Inouye said "Hawaii will finally take its rightful place in the world of science."

That same day the *Honolulu Star-Bulletin* published another feature article by Helen Altonn on the continuing POST saga; the headlines read, "New Science Building Flawed." According to John Sinton, then chairman of the Department of Geology and Geophysics, "The bottom line is we can't teach in the building, and much of the research that was planned for the building also can't be done with the present conditions." Sinton provided a list of problems -- some big, some small, but all problems!

More than three years after the POST building dedication, Helen Altonn wrote another POST exposé for the *Honolulu Star-Bulletin* on 7 September 2000, this one called "POST: The Hollow Halls of Knowledge." At this point there were still three unfinished floors and one with unusable laboratories. When asked about the situation, the UH administration referred Altonn to the state Department of Accounting and General Services. Construction on the remaining lofted floors would begin that month (September 2000) with completion the following August (August 2001); the basement laboratories were finally completed in November 2002.

Kathy Cutshaw, SOEST director of administration, lamented "There are so many levels of bureaucracy" and because so many different contractors have been involved over the years, because of the state rules on competitive building for each new increment, "They don't know what the other guy before them has done…. It's a learning curve each time someone comes in." SOEST Dean Raleigh looked ahead to the future, "I'm always an optimist about this with absolutely no reason to be" but sighed, "I've grown old waiting for this building to be occupied."

In a companion *Honolulu Star-Bulletin* article written by Helen Altonn and also published on 7 September 2000, it was suggested that the further delays would almost certainly threaten future research funding and productivity. Cases in point were John Mahoney and Ken Rubin, two world-class researchers in SOEST. Their trace metal clean lab, carefully designed to be configured with nonferrous materials, positive pressure air flow, and highly filtered air – all to prevent contamination – was to have been one of the

best laboratories of its type in the world. However, construction short-cuts, miscommunications, and other poor judgments resulted in a dysfunctional laboratory that to this day is not able to be used for its intended purpose. Mahoney said "The current people are blaming people involved earlier… There is a total lack of accountability." He went on to state the obvious, "This is the kind of thing that affects morale…. and quality. The best people have opportunities and leave."



Figure 10.3: The Pacific Ocean Science and Technology (POST) building from start to finish. Governor John Waihee is at center of ground-breaking team (top, left) and Senator Daniel K. Inouye is shown (in right, center) addressing the crowd assembled for the long-awaited opening ceremony. (photos from SOEST archives and by D. Karl; collage design by N. Hulbirt)

10.5. A New Research Prospectus and a Business Plan



"I love to sail forbidden seas,
and land on barbarous coasts"
Herman Melville
(1819-1891)
Moby Dick

Among many other worthwhile initiatives, Dean Raleigh prepared – in May 2002 – a prospectus to "re-create UH as one of America's great universities." His document, "Growing the Research Enterprise at the University of Hawaii: A Business Plan" presented an economic model for planning growth in research grant activity including sequenced faculty hiring and construction of new laboratories. If properly implemented and managed to focus on high growth potential areas of research or those where UH has already established an international reputation, for example ocean sciences, this programmed growth in science and technology would enhance the prestige of UH, provide better opportunities for education, seed start-up companies, and increase state tax revenues. In fact, by the end of the growth phase in 2010, this enhancement in research faculty and facilities would pay for itself and leave an annual incremental profit of $37 M per year.

This was not just a research growth plan for UH at Manoa, but an economic plan for the state. The key, of course, would be to build on research strengths and on selected faculty excellence – this is not a "union" initiative for wholesale expansion of everything; there must be both a potential for federal funding and qualified faculty in place who are willing and able, to compete – and to win!

Raleigh's plan was widely distributed both on the UH at Manoa campus and at the state legislature; it had the full approval of UH President Dobelle (see section 11). As might be expected, not everyone was convinced or satisfied with the prospectus, but most embraced it as an excellent start. After all, there had never before been a formal plan for the growth or a serious discussion of the economic potential of research at UH, so this was a bold first step. The plan was revised in October 2002 and at this writing awaits the formation of a broader task force of business, state, and UH leaders to begin its implementation.

10.6. Founding SOEST Dean Raleigh Resigns



"Don't give up the ship"
Captain James Lawrence
(1781-1813)

On 4 June 2003 it was announced that Barry Raleigh would step down as dean of SOEST effective 1 August 2003. The official UH press release indicated that Raleigh would "return to faculty status." Chancellor Englert praised Raleigh, stating that "Dean Raleigh increased the research profile of SOEST and, along with other units at Manoa, brought us to new prominence as a premiere research institution."

Two separate, and somewhat different, newspaper articles on this subject were published the following day. The *Honolulu Advertiser* article by Beverly Creamer characterized Raleigh as "one of the most powerful and respected deans on the UH campus." In this article, Sea Grant Director Gordon Grau compared Raleigh's loss to that of coach June Jones – if he were to resign on short notice. Enterprise in universities, Grau said – whether football teams or academic units – success depends on leadership. Grau added that in this regard Raleigh had set "a very high standard." Helen Altonn's *Honolulu Star-Bulletin* article the same day on the same topic had a slightly different message. She correctly indicated that the reason(s) for Raleigh's departure from the dean's office were not clear, but went on to suggest that a "turf battle" between Chancellor Englert and several UH at Manoa deans may have been a factor. In this article, Tom Schroeder – chairman of SOEST's Department of Meteorology and director of JIMAR – was more explicit, "There has been a very rough transition to the new administrative structures at Manoa. There has been at least a year of chaos, and this (Raleigh's resignation) is an unfortunate outcome." Earlier, on 31 May 2003, Altonn had written an article on a growing dispute between UH faculty (or at least a subset of them) and Chancellor Englert over progress and leadership during his first year at the helm of the UH at Manoa campus. It seems that while some faculty think he is doing a terrific job, others think he is making ill-informed decisions. Faculty senate chair Michael Forman characterized the problem as "money, morale and fear." Some in the UH marine sciences community could not avoid comparing Raleigh's departure with the end of John Craven's tenure as inaugural dean of marine programs (see *Box 10.4*).

In late June, the BOR formally accepted Raleigh's resignation. SOEST conducted their own internal search for an interim dean and on 20 June provided a short list of five prospective candidates – Klaus Keil, Roger Lukas, Lorenz Magaard, Tom Schroeder, and Brian Taylor – to Chancellor Englert. The Chancellor ultimately selected Klaus Keil – then director of HIGP – to lead the school (Figure 10.4). A few weeks later, on 14 July 2003, the chancellor met with the SOEST faculty as a whole to discuss the ground rules and timetable for the search for a new permanent dean of SOEST. At this writing, in February 2004, the search is "in progress."

On 1 August 2003, a surprise "C. Barry Raleigh appreciation luncheon" was held at Waialae Country Club (Figure 10.5). Attendance at this event documented the diverse political, scientific, business, and social communities that Barry had intersected during his tenure as inaugural dean of SOEST. A few toasts were raised and a few tears were shed. All good things must come to an end, including the incredibly successful reign of C. Barry Raleigh (Figure 10.6). He will be missed.

Box 10.4: **Will History Repeat Itself? The Sagas of the Long-Craven and Englert-Raleigh Disputes**

Craven-Long Era (1971-1983)

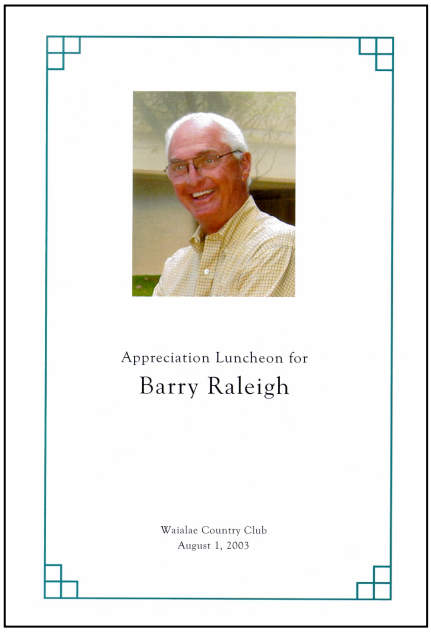
- 1971 – John Craven hired as inaugural UH dean of marine programs and begins a new era of opportunity
- Sept 1979 – Durward Long appointed Chancellor of UH at Manoa during Dean Craven's tenure
- Long and Craven have public disagreements over UH marine programs and their management
- UH President Matsuda backs Chancellor Long and his assigned responsibility over academic programs at UH at Manoa
- Sept 1980 – Craven takes leave of absence from dean of marine programs duties; in Dec 1980 he is terminated as dean effective 30 June 1981; he is reassigned as professor of ocean engineering
- The position of UH dean of marine programs is eliminated
- 25 Sept 1981 – UH President Matsuda fires Chancellor Long; the official reason given is "incompatibility of style rather than lack of substance"
- 24 Sept 1985 – UH President Simone eliminates position of Chancellor (reinstated by UH President Evan Dobelle in July 2001)

Raleigh-Englert Era (1989-2003)

- 1989 – C. Barry Raleigh hired as inaugural UH dean of SOEST and begins a new era of opportunity
- July 2002 – Peter Englert appointed Chancellor of UH at Manoa during Dean Raleigh's tenure
- Englert and Raleigh have public disagreement over UH marine programs and their management
- UH President Dobelle backs Chancellor Englert and his assigned responsibility over academic programs at UH at Manoa
- June 2003 – Raleigh resigns as dean of SOEST effective 1 August 2003 and asks to be reassigned as professor of marine geology; BOR approves his resignation
- UH-BOR approves Klaus Keil as interim dean of SOEST; Chancellor Englert begins a formal search for Raleigh's successor



Figure 10.4: Klaus Keil (left) and Tom Schroeder – two of the short-listed candidates for interim dean of SOEST following Barry Raleigh's resignation, shown here at the blessing ceremony for the R/V *Kilo Moana* in September 2002. Klaus was eventually selected to lead SOEST until a permanent dean is recruited (photo by D. Karl)



Appreciation Luncheon for

Barry Raleigh

Waialae Country Club
August 1, 2003

Figure 10.5: Program from Dean Raleigh's appreciation luncheon, 1 August 2003. (from SOEST archives)

Master of Ceremonies
Tom Schroeder

Speakers:
Walter Nunokawa, Professor Emeritus and Regent
Evan Dobelle, President
Stephen Pauley, Edwin W. Pauley Foundation
Richard Dubanoski, Dean, Social Sciences
Brian Taylor, Professor

Regards from
Hon. Daniel K. Inouye, United States Senator
Klaus Keil (read by Tom Schroeder)

Gift Presentation

Remarks
Barry Raleigh



Figure 10.6: Aloha Barry and Diane – it was a wonderful and successful ride! (photo by D. Karl taken at Dean Raleigh's appreciation luncheon, 1 August 2003)