MEMORANDUM

TO: Board Secretary Pepper Shiramizu

FROM: Rodney Sakaguchi

SUBJECT: NOTIFICATION OF REORGANIZATION - OFFICE OF THE VICE PRESIDENT FOR RESEARCH AND GRADUATE EDUCATION

Attached for the information of the Board of Regents is a copy of a reorganization approved by the President on April 18, 1991, for the Office of the Vice President for Research and Graduate Education. The purpose of the reorganization is explained in the accompanying executive summary.

If there are any questions regarding this matter, please contact Vice President Yount at 956-7651.

Attachment
cc: Vice President Yount
EXECUTIVE SUMMARY

OFFICE OF THE VICE PRESIDENT
FOR RESEARCH AND GRADUATE EDUCATION

Enclosed for the Board’s information is a copy of the reorganization of the Office of the Vice President for Research and Graduate Education which was approved by the President on April 18, 1991.

The reorganization reflects the Office’s efforts to conform to the Board of Regents decision of September 21, 1990, designating this office with a systemwide responsibility. References to "Manoa" on the organization chart and functional statement have been deleted.

It also reflects two research units which were inadvertently dropped from prior charts and statements. The research units are the Hawaii Institute of Tropical Agriculture & Human Resources in the College of Tropical Agriculture & Human Resources and the Curriculum Research & Development Group in the College of Education. They are being reflected on the organization chart approved April 18, 1991, by asterisks (***) and a footnote, and at the top of page 2 of the functional statement. No additional costs nor effects to students or other clientele of the University are associated with this organizational change.

If there are any questions regarding this matter, please call the Vice President for Research and Graduate Education at 956-7651.

Attachments:
Former Organization Chart and Functional Statement
New approved Organization Chart and Functional Statement
NEW ORGANIZATION CHART
AND
FUNCTIONAL STATEMENT
The incumbent for position 21428 is presently filling the temporary private Secretary II position 37645.

The Directors of these four Organized Research Units report to the Dean of the School of Ocean and Earth Science and Technology, as well as to the Vice President for Research and Graduate Education. Thus the Organized Research Units are shown at two places on this chart.

The Directors of these two Organized Research Units report to their respective Deans (College of Tropical Agriculture & Human Resources, and the College of Education) and to the Senior Vice President for Academic Affairs, as well as to the Vice President for Research and Graduate Education. Their respective college's chart numbers are shown.
RESPONSIBILITY OF THE OFFICE OF VICE PRESIDENT FOR RESEARCH AND GRADUATE EDUCATION

This office has leadership responsibility for the planning, direction, development, coordination, and management of research and graduate academic programs of the University of Hawaii, and the Vice President serves as the chief policy advisor to the President in these areas.

The office directs the University's research and graduate education programs through the development of governing policies, the conduct of program planning and assessment, the determination of directions, and setting of priorities in response to new research opportunities, the formulation of University goals and objectives, the allocation and reallocation of resources, and the management of existing programs and organized research units.

The office is actively involved in encouraging and developing new research initiatives, in providing an environment conducive to research, in establishing approved new research and graduate programs, and in restructuring existing programs within policy.

The office:

- Initiates and develops long-range planning studies for research and graduate education at the University of Hawaii;

- Administers a policy of continuing qualitative evaluation of each of the major efforts relative to the development and maintenance of an international standard of excellence;

- Coordinates the activities of the organized research units through the respective directors, and supports other research and graduate programs through the respective academic deans;

- Directs the University's research programs as implemented by the University's organized research units, serves as liaison between them and the President, and assists in the integration of research and teaching activities throughout the University;
• Directs research and training support through the Office of Research Administration, directs the University's graduate programs through the Graduate Division, directs the School of Ocean and Earth Science and Technology through the Office of the Dean, supports the Hawaii Institute of Tropical Agriculture & Human Resources through the Dean of the College of Tropical Agriculture & Human Resources, and supports the Curriculum Research and Development Group through the Dean of the College of Education;

• Selects University of Hawaii representatives to various external and internal boards and committees associated with University programs;

• Serves as the President's representative for research with a variety of groups and agencies both inside and outside the University, such as Federal and State agencies, other research institutes and universities, legislators, and the general public, which have the potential to take appropriate actions that enhance the University's research and graduate programs and capabilities; and

• Serves as the University's expert on the subject of research and graduate education programs and activities.
FORMER ORGANIZATION CHART
AND
FUNCTIONAL STATEMENT
OFFICE OF THE PRESIDENT

OFFICE OF VICE PRESIDENT FOR RESEARCH AND GRADUATE EDUCATION, MANOA

STATE OF HAWAII
UNIVERSITY OF HAWAII
UNIVERSITY OF HAWAII, MANOA

OFFICE OF VICE PRESIDENT FOR RESEARCH
AND GRADUATE EDUCATION, MANOA

Organization Chart
Chart I

OFFICE OF RESEARCH ADMINISTRATION
Chart II

GRADUATE DIVISION
Chart III

LABORATORY ANIMAL SERVICE
Chart XVII

SCHOOL OF OCEAN AND EARTH SCIENCE AND TECHNOLOGY
Chart XIX

Office of the Dean
Chart XIX

Sea Grant College Program
Chart XIX

Hawaii Institute of Geophysics
Chart XXIV

Hawaii Institute of Marine Biology
Chart XXIV

Hawaii Institute of Geophysics
Chart XXIV

Hawaii Undersea Research Laboratory
Chart XXIV

Joint Institute for Marine and Atmospheric Research
Chart XXIV

Hawaii Institute of Marine Biology
Chart XXIV

Hawaii Natural Energy Institute
Chart XXIV

Departments of:
- Geology and Geophysics
- Meteorology
- Oceanography
- Ocean Engineering

ORGANIZED RESEARCH UNITS

Hawaii Institute of Geophysics
Chart XXIV

Hawaii Institute of Marine Biology
Chart XXIV

Institute for Astronomy
Chart VI

Pacific Biomedical Research Center
Chart VII

Harold L. Lyon Arboretum
Chart VIII

Social Sciences Research Institute
Chart VIII

Water Resources Research Center
Chart VIII

Industrial Relations Center
Chart XIII

Cancer Research Center of Hawaii
Chart IV

Sea Grant College Program
Chart XIII

Hawaii Natural Energy Institute
Chart XXIV

APPROVED

President, University of Hawaii

NOV 28 1988

** The incumbent for position 821428 is presently filling the temporary position of Secretary I position 837045.

*** Position to be redefined.

The Directors of the four Organized Research Units report to the Dean of the School of Ocean and Earth Science and Technology, as well as to the Vice President for Research and Graduate Education. Thus the Organized Research Units are shown at the places on this chart.
RESPONSIBILITY OF THE OFFICE OF VICE PRESIDENT FOR RESEARCH AND GRADUATE EDUCATION, MANOA

This office has leadership responsibility for the planning, direction, development, coordination, and management of research and graduate academic programs of the University of Hawaii, Manoa, and the Vice President serves as the chief policy advisor to the President in these areas.

The office directs the University's research and graduate education programs through the development of governing policies, the conduct of program planning and assessments, the determination of directions and setting of priorities in response to new research directions and University goals and objectives, the allocation and reallocation of resources, and the management of existing programs, institutes, and resources.

The office is actively involved in encouraging and developing new research initiatives, in providing an environment conducive to faculty research, in establishing approved new research and graduate institutes and programs, and in the restructuring of existing programs within policy.

The office:
- Initiates and develops long-range planning studies for research and graduate education at the University of Hawaii, Manoa.
- Administers a policy of continuing qualitative evaluation of each of the major efforts relative to the development and maintenance of an international standard of excellence.
- Coordinates the activities of the organized research units through the respective directors and of other research and graduate programs through the respective academic deans.
- Directs the University's research programs as implemented by the University's research institutes and units by serving as liaison between them and the President and by assisting in the integration of research institute and unit operations and activities into the University operations and programs.
Directs research support through the Office of Research Administration, and directs the graduate programs through the Graduate Division, and the School of Ocean and Earth Science and Technology through the Office of the Dean.

Selects University of Hawaii, Manoa, representatives to various external boards and committees associated with UHM programs, as well as to various internal UHM boards and committees.

Serves as the President's representative for research with a variety of groups and agencies both inside and outside the University, such as Federal and State agencies, other research institutes and universities, legislators, the general public, etc., with responsibility for initiating appropriate actions which enhance the University's research and graduate programs and capabilities.

Serves as the University's expert on the subject of research and graduate education programs and activities.
MEMORANDUM

TO: Albert J. Simone
   President

FROM: David Yount
       Vice President for Research and Graduate Education

SUBJECT: Dual Reporting for Research Directors under SOEST

Thank you very much for approving the revised organizational chart for the Office of the Vice President for Research and Graduate Education. As a follow-up action recommended by Budget Director Sakaguchi, I will now address the issue of dual reporting for the research directors under SOEST. My method is to provide a rationale for dual reporting, rather than to recommend any further changes in the organizational chart.

Dual reporting is a fact of life at the University of Hawaii. It is inherent in the fluid team approach to management, which you initiated six years ago, and it existed at this institution long before you arrived. In the fluid team approach, Deans and Directors report to the Office of the President. This suggests that the Director of IFA has a reporting line to the President, which is true. On the other hand, the Director of IFA works mainly with the Vice President for Research and Graduate Education, and the budget line for IFA flows through OVPRGE. It follows that the Director of IFA has a second reporting line to the Vice President. Recently, you announced that Deans and Directors would be hired and fired by their respective Vice Presidents: while this strengthens the line connecting the Director of IFA with the Vice President for Research and Graduate Education, the reporting is still dual and the Director of IFA still has access to the President whenever it is needed.

In creating SOEST, we were grappling with this dilemma: How can we gain the advantages of coordination and focus without weakening access to the President’s Office? More specifically, how can we get the Organized Research Units in SOEST to work together without inserting another level between these Units and the President’s Office, thereby demoting these Units from Level V to Level VI? As you know, it was an essential feature of the SOEST reorganization that we would not let this happen.
One of the possibilities that has been discussed is to make the Dean of SOEST a Vice President at Level IV. This can be justified by the enormity of SOEST, which is a Super School several times larger than the Hilo Campus. In terms of size and complexity, a parallel also exists with your Office, which is a Super Office combining the functions of Chancellor and President.

When a Vice President for SOEST was not forthcoming, our internal solution, following the fluid team approach, was to say that the Organized Research Units in SOEST continue to report to OVPRGE, and the Dean of SOEST is part of that Office. To this very day, Dean Raleigh has been meeting regularly with OVPRGE, just as I meet regularly with the UEC. SOEST Directors continue to have access to me in the same way that Deans and Directors have access to you. The hiring and firing of a SOEST Director will involve a consensus between Dean Raleigh and myself, just as it will involve a consensus between myself and the President. The Board presentations on SOEST reorganization and Cono Sur were made by the Dean. In many respects, such protocols as these permit the Dean of SOEST to function like a Level IV official, whether or not he is called a Vice President.

Director Sakaguchi argues that a structure which avoids the reporting of research directors to both the Dean of SOEST and the Vice President for Research and Graduate Education would result in a more efficient system of management for these programs. Especially, he is concerned that there may be confusion as to who has authority, that some responsibilities may fall between the cracks, and that the Vice President might undermine the authority of the Dean. These are legitimate concerns, but I view them as down-side risks that are worth taking in order to achieve the up-side goals of coordination and focus, which the Dean provides, and preserve Level V status and access to the President's Office, which the Vice President provides.

The record suggests that we have been successful in managing the down-side risks and achieving the up-side goals. In FY 1987, just before the School was formed, total extramural funding for SOEST units was running at a level of $14.6 million per year. Three years later, in FY 1990, the figure was $23.2 million per year. I personally feel that SOEST is one of our greatest achievements. For more than 20 years, the University of Hawaii tried to pull marine related programs together, and nothing much happened until we created SOEST. Whatever approach we are using in the Office of the President and in the Office of the Vice President for Research and Graduate Education to bring this about, it seems to be working.
This still leaves open the question of whether the organizational charts for these two offices adequately describe their operations and their relationships with other units. In my opinion, they do not. No chart can adequately describe the way people work together to manage a complex organization and solve complex problems. In his book *The General Managers*, John P. Kotter argues that effective managers work with networks, rather than with charts, and actual networks are quite different from the formal structures which general managers prepare for their Boards of Directors.

With this in mind, I spent several hours one morning trying to draw a picture which would explain the dual reporting lines footnoted in the chart you just approved. The result of this exercise is Figure 1. You have seen it already on several occasions, and it will come up again when we request that the Board of Regents approve a new policy permitting graduate programs to be offered in Hilo. We discussed Figure 1 at the UEC, and you said it reminded you of a well-known matrix for business management rotated 90 degrees.

In a nutshell, supporting lines are horizontal in Figure 1, and reporting lines are vertical. All of the Organized Research Units are supported by the UOH-102 Budget that flows horizontally through OVPRGE, and some of them (CRCH, IFA, IRC, LA, PBRC, SSRI, and WRRC) report vertically and directly to OVPRGE. Others (HIG, HIMP, HNEI, and SG) report to OVPRGE through the Dean of SOEST; one (HITAHF) reports to OSVPAA through the Dean of CTAHR; and one (CRDG) reports to OSVPAA through the Dean of the College of Education.

I see no easy way to incorporate this two-dimensional (i.e., horizontal and vertical) picture of OVPRGE within the one-dimensional (i.e., vertical only) framework provided by the University's system of organizational charts. My conclusion is that the fault lies with the system of charts, rather than with the organization these charts are supposed to describe. Maybe we should change the system. However, if one insists on taking a one-dimensional point of view, then it is simply a matter of fact that Units like CRDG and HITAHF do report to me directly as well as through their respective Deans because I control their budgets and appoint their Directors. On the other hand, they also report to their respective Deans and through their respective Deans to both OSVPAA and OVPRGE. From this point of view, the footnotes are not wrong in their use of the word to, they are simply one-dimensional.
In the narrative, I tried to make my point by using language such as "The Office ... directs the School of Ocean and Earth Science and Technology through the Office of the Dean, supports the Hawaii Institute of Tropical Agriculture & Human Resources through the Dean of the College of Tropical Agriculture & Human Resources, and supports the Curriculum Research and Development Group through the Dean of the College of Education." I doubt if the casual reader will notice my subtle distinction between "directs" (meaning a reporting line) and "supports" (meaning a supporting line), but it's there if anyone is interested. Nor will the casual reader worry very much about to versus through. But the dual reporting lines will be noticed, and that is as it should be.

Thanks again for approving the revised chart. I should also thank Rodney for recommending approval and for asking an interesting question.

cc: Rodney Sakaguchi
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<tr>
<th>Office of the Vice President for Research and Graduate Education (OVPRGE)</th>
<th>Organized Research Units (ORUs)</th>
<th>Office of the Vice President for Academic Affairs</th>
<th>Chancellors UHH/UHWO UHCC</th>
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University of Hawaii at Manoa

Vice President for Research and Graduate Education
2444 Dole Street • Bachman 204
Honolulu, Hawaii 96822

April 10, 1991

MEMORANDUM TO: President Albert Simone
FROM: David Yount
Vice President for Research and Graduate Education

SUBJECT: Proposed Reorganization for the Office of Vice President for Research and Graduate Education

On November 28, 1988 you approved our request on the proposed organization chart and functional statement for the Vice President's Office, to reflect the School of Ocean and Earth Science and Technology.

We have inadvertently left out from our prior charts and statements two research units who report to the Office of Vice President for Research and Graduate Education, as well as to the Senior Vice President for Academic Affairs, and to their respective Deans. The research units are the College of Tropical Agriculture & Human Resources's Hawaii Institute of Tropical Agriculture & Human Resources and the College of Education's Curriculum Research and Development Group. They are being reflected on the Vice President Office's "proposed" organization chart by three *** and a footnote, and at the top of page two of the functional statement.

To conform to the Board of Regent's minutes of September 21, 1990, designating this Office with a system-wide responsibility, the reference to "Manoa" on our organization chart and functional statement has been deleted.

We request your approval of the "proposed" chart and functional statement for the Vice President's Office, which reflects the above changes.

Copies of our current chart, approved on November 28, 1988, and our functional statement labeled "current" are also attached for your information.

An Equal Opportunity Employer
We have consulted with our Personnel Management Office and the Budget Office.

This reorganization will not affect our current services budget.

Your early approval will be appreciated.

cc: Mr. James Takushi, Director of Personnel
    Mr. Rodney Sakaguchi, Director of Budget
    Mr. Ichiro Matsunaga
RESponsibility of the Office of Vice President for Research and Graduate Education

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The office:

- Initiates and develops long-range planning studies for research and graduate education at the University of Hawaii;
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- Coordinates the activities of the organized research units through the respective directors, and supports other research and graduate programs through the respective academic deans;
- Directs the University's research programs as implemented by the University's organized research units, serves as liaison between them and the President, and assists in the integration of research and teaching activities throughout the University;
o Directs research and training support through the Office of Research Administration, directs the University's graduate programs through the Graduate Division, directs the School of Ocean and Earth Science and Technology through the Office of the Dean, supports the Hawaii Institute of Tropical Agriculture & Human Resources through the Dean of the College of Tropical Agriculture & Human Resources, and supports the Curriculum Research and Development Group through the Dean of the College of Education;

o Selects University of Hawaii representatives to various external and internal boards and committees associated with University programs;

o Serves as the President's representative for research with a variety of groups and agencies both inside and outside the University, such as Federal and State agencies, other research institutes and universities, legislators, and the general public, which have the potential to take appropriate actions that enhance the University's research and graduate programs and capabilities; and

o Serves as the University's expert on the subject of research and graduate education programs and activities.
The incumbent for position 21429 is presently filling the temporary private Secretary II position 37045.

The Directors of these four Organized Research Units report to the Dean of the School of Ocean and Earth Science and Technology, as well as to the Vice President for Research and Graduate Education. Thus the Organized Research Units are shown at two places on this chart.

The Directors of these two Organized Research Units report to their respective Deans (College of Tropical Agriculture & Human Resources, and the College of Education) and to the Senior Vice President for Academic Affairs, as well as to the Vice President for Research and Graduate Education. Their respective College's chart numbers are shown.
RESPONSIBILITY OF THE OFFICE OF VICE PRESIDENT FOR RESEARCH AND GRADUATE EDUCATION, MANOA

This office has leadership responsibility for the planning, direction, development, coordination, and management of research and graduate academic programs of the University of Hawaii, Manoa, and the Vice President serves as the chief policy advisor to the President in these areas.

The office directs the University's research and graduate education programs through the development of governing policies, the conduct of program planning and assessments, the determination of directions and setting of priorities in response to new research directions and University goals and objectives, the allocation and reallocation of resources, and the management of existing programs, institutes, and resources.

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- Coordinates the activities of the organized research units through the respective directors and of other research and graduate programs through the respective academic deans.
- Directs the University's research programs as implemented by the University's research institutes and units by serving as liaison between them and the President and by assisting in the integration of research institute and unit operations and activities into the University operations and programs.
- Directs research support through the Office of Research Administration, and directs the graduate programs through the Graduate Division, and the School of Ocean and Earth Science and Technology through the Office of the Dean.

- Selects University of Hawaii, Manoa, representatives to various external boards and committees associated with UHM programs, as well as to various internal UHM boards and committees.

- Serves as the President’s representative for research with a variety of groups and agencies both inside and outside the University, such as Federal and State agencies, other research institutes and universities, legislators, the general public, etc., with responsibility for initiating appropriate actions which enhance the University’s research and graduate programs and capabilities.

- Serves as the University’s expert on the subject of research and graduate education programs and activities.
The incumbent for position #14268 is presently filling the temporary Private Secretary I position #37045.

Position to be redescribed.

The Directors of the four Organized Research Units report to the Dean of the School of Ocean and Earth Science and Technology, as well as to the Vice President for Research and Graduate Education. Thus the Organized Research Units are shown at two places on this chart.