

# HARBOR BRANCH OCEANOGRAPHIC INSTITUTE

## FOUNDATION

### GRANTS POLICIES

A main goal of scientific research may be described as working to gain knowledge about the world and to apply it in ways that will better humanity.

Science as a collective institution aims to produce more and more accurate explanations of how the world works, what its components are, and how the world got to be the way it is now. Classically, science's main goal has been building knowledge and understanding, regardless of its potential applications. Increasingly, scientific research is undertaken with an explicit goal(s), such as solving a problem or developing a technology, and along the path to that goal(s), new knowledge and explanations are constructed.

The intent of the Harbor Branch Foundation's grant making program is built on the latter. In addition, the Foundation seeks to find the greatest opportunity to:

- Support projects vetted by management against FAU's Division of Research and FAU Harbor Branch's Strategic Plans;
- Ensure that its grants are high impact;
- Ensure that its grants can provide maximum visibility and help raise the profile of the Institute;
- Maximize or leverage its grant dollars to the Institute; and/or
- Fund projects that may not meet the criteria or have the opportunity for timely funding from other funding sources, including Florida Atlantic University

Grant proposals that include **S.M.A.R.T. Goals** will be viewed most favorably. S.M.A.R.T. goals have the following attributes:

#### Specific

A specific goal answers the six "W" questions:

- Who: Who is involved?  
What: What do I want to accomplish?  
Where: Identify a location.  
When: Establish a time frame.  
Which: Identify requirements and constraints.  
Why: Specific reasons, purpose or benefits of accomplishing the goal.

EXAMPLE: A general goal would be, "Go to the moon." But a specific goal would be, "Using a manned space vehicle, the United States will land on the moon by the end of the year 2025 to measure and record aspects of the moon's surface to determine if the moon's surface can support colonization."

#### Measurable

Establish concrete criteria for measuring progress toward the attainment of each goal you set. To determine if your goal is measurable, ask questions such as: How much? How many? How will I know when it is accomplished?

#### Attainable

Plan steps and establish a time frame that allows each step to be carried out.

#### Realistic

A goal must represent an objective toward which there is both willingness and ability to achieve. Every goal represents substantial progress.

#### Timely and/or Tangible

A goal should be grounded within a time frame. A goal is tangible when it can be experienced with one of the senses (taste, touch, smell, sight or hearing).

### FOR DISCRETIONARY GRANTS

1. Each year the Harbor Branch Foundation's Board of Directors may determine in its annual budget an amount that may be used to fund special initiatives of FAU's Harbor Branch Oceanographic Institute through Discretionary Grantmaking.
2. If availability of funds for Discretionary Grantmaking under the Foundation's Investment Policy and Spendable projections are determined by the Finance Committee in the context of the Annual Budget, the Grants Committee may then invite FAU Harbor Branch to submit a proposal(s).
3. All proposals from HBOI will have been vetted by an internal HBOI management review process, and with FAU Division of Research as may be appropriate, prior to grant proposal submission to the Foundation. Proposals for funding will use the Foundation-provided template.
4. In FY18, the Grants Committee confirmed a preference away from multi-year Discretionary grants. Instead, grants will be one-year only and in certain cases may be rolling, with any subsequent "renewal" based on evaluation.
5. Proposals will be accepted only via an RFP process with a stated deadline. Typically proposals will be reviewed within 60 days of receipt by the Grants Committee. Upon recommendation by the Grants Committee, proposals will be presented to the HBOIF Board of Directors for funding approval. Outside this process, the Grants Committee will review and recommend funding proposals for opportunities with a stated deadline or for emergency need on a case-by-case basis, subject to the Foundations grantmaking criteria above.
6. Awards will be made in part based on a satisfactory review of the past performance (project management, timely completion, peer-reviewed publication, or other successful dissemination of results) of the submitting PI.
7. The Foundation's Indirect Cost Rate is set by policy at 0%.
8. The Foundation reserves the right to contract for independent external review of any Foundation-funded project at any time.
9. Upon funding of a Discretionary Fund grant, FAU Harbor Branch will agree:
  - a) To use funds for the express purpose outlined in the grant application and consistent with the Harbor Branch Foundation – FAU at Harbor Branch Memorandum of Understanding (original and updated).
  - b) To repay any portion of the amount granted which is not used for the purpose of the grant as set forth above.
  - c) Grant awards are finite based on project projections. Percentages for salary and fringe benefit escalations should not be included in the case of multi-year grant awards. If there are increases in salaries during the original or NCE grant period, whether it be for annual cost of living, merit or promotion, the increase needs to be absorbed into the finite grant amount that was awarded.
  - d) To work with HBOIF staff to recognize the Foundation's support as appropriate.
  - e) Using a Foundation provided template, to submit quarterly progress reports with GITD reports inclusive of all activities and expenditures as of the last day of every fiscal quarter, due no later than 30 days after the close of the quarter. If the project is complete, a final report is due 60 days after project completion. These reports should be completed on the standard HBOIF Reporting Forms.
  - f) To maintain records of receipts and expenditures adequate to verify use of this grant and to make its books and records available to HBOIF, at reasonable times for at least five years following the completion of the grant.
  - g) To hold harmless HBOIF and its Board of Directors from any liability, loss, damage or injury.

## FOR SPECIALTY LICENSE PLATE (SLP) GRANTS

In addition to the above as applicable for the SLP program:

1. Only those proposals that meet the criteria under the respective Florida Legislative Statute Requirements per plate will be considered. Primary PIs must be FAU Harbor Branch Faculty.
2. Proposals for funding will use the Foundation-provided template.
3. Awards will be subject to the availability of the pool of State funds received per plate and as agreed upon by the Foundation.
4. All proposals to be submitted and reviewed will follow the guidelines of the SLP Request For Proposals (RFP). The Foundation will review and approve each SLP RFP prior to being issued.
5. Awards will be made in part based on satisfactory performance during the current year of performance based upon an annual progress report submitted by the PI and reviewed internally. This report will include projected expenses over the grant period.
6. Awards will be made in part based on a satisfactory review of the past performance (project management, timely completion, publication or other successful dissemination of results) of the submitting PI.
7. The period of performance for SLP grant awards may accommodate pilot studies (up to 12 months), one-year full scale studies (up to 12 months), and multi-year full scale studies (up to 3 years).
8. All grant applications will be reviewed and awarded based on the scientific merit score assigned to the application while ensuring that the best and highest impact research will be conducted. SLP grant proposals with outside Co-PIs should reflect the highest percentage of PI involvement from the primary (HBOI) PI.
9. The Foundation reserves the right to contract for independent external review of any SLP project at any time.
10. No Indirect Cost Rate will be applied to SLP grants due to FAU's Admin Fee.
11. Upon funding of an SLP grant, FAU Harbor Branch will agree:
  - a) To use funds for the express purpose outlined in the grant application.
  - b) To repay any portion of the amount granted which is not used for the purpose of the grant as set forth above.
  - c) Grant awards are finite based on project projections. Percentages for salary and fringe benefit escalations should not be included in the case of multi-year grant awards. If there are increases in salaries during the original or NCE grant period, whether it be for annual cost of living, merit or promotion, the increase needs to be absorbed into the finite grant amount that was awarded.
  - d) To work with HBOIF staff to recognize the Foundation's support as appropriate.
  - e) Using a Foundation provided template, to submit a full and complete narrative and financial report on the manner in which the funds were spent, and outcomes of your project, no later than 60 days after the completion of the project (typically an on or before date will be included in the funding letter.)
  - f) To maintain records of receipts and expenditures adequate to verify use of this grant and to make its books and records available to HBOIF, at reasonable times for at least five years following the completion of the grant.
  - g) To hold harmless HBOIF and its Board of Directors from any liability, loss, damage or injury.

## **NO COST EXTENSIONS (NCEs)**

NCE requests on Foundation grants will require formal approval. NCE requests will be considered when there is an unforeseen delay in data collection which is required to complete a project (e.g., justifiable delay in hiring a student/post doc/other to work on the project; weather impact; failure of new equipment to be purchased or equipment failure; work cannot be completed due to the lack of availability of other required resources such as ship time, samples, compromise to the phenomenon to be studied.) NCE's should be an uncommon event. It is expected that PIs will use careful planning and project management to mitigate the need for an NCE.

NCE requests will use the Foundation-provided template and be submitted a preferred 60 days and no less than 30 days prior to the end of the original or extended grant period date. NCE requests not submitted 30 days prior will not be considered.

## **CHANGES TO PROJECT BUDGETS**

In certain cases, funds may be re-budgeted within and between budget categories to allow the project to complete the stated aims up to 10% of the total funded amount per each grant award. The following exceptions will require prior approval from HBOI Foundation:

1. Re-budgeting that would exceed 10% of the total approved budget for a budget period.
2. Re-budgeting that results in a reduction of effort of over 10% for the PI.

Foundation grant funds may not be used in the case of any expense incurred which was not included in the original proposal nor for any expense for which the PI did not receive prior approval through a Budget Revision application.

Changes under 10% (total and cumulative) do not require Foundation approval; however they do require adherence to submission deadline (see below) and notification to the Foundation with appropriate signatures. Changes over 10% will require Foundation approval in advance subject to deadline (see below).

Changes to Project Budgets requests will use the Foundation-provided template and be submitted a preferred 60 days and no less than 30 days prior to the date of the intended change. Changes to Project Budgets requests not submitted 30 days prior will not be considered.

## **CHANGES TO PROJECT SCOPE**

Project scope is the list of specific project goals, deliverables, tasks, costs and deadlines. As projects proceed, new directions and new methods to achieve the goals of the project may be encountered. Examples of changes in scope or objectives include but are not limited to:

- a. Changes to the phenomena under study
- b. Changes to the objectives/deliverables of the project stated in the proposal
- c. Major changes of study site (from Arctic to Southern Ocean for example)
- d. Major changes to the types of data that will be collected and analyzed

The PI may not pursue alternatives to achieve the alternate aims of the project if these compromise the original stated goals. If the PI determines opportunity to pursue interesting and important leads that may arise during the conduct of a research project or to adopt alternative approaches that appear to be more promising means of achieving the objectives of the project, said modifications and accompanying justifications should be submitted to the Foundation for approval.

Changes in methods or budget which affect the scope of a project must be requested by the PI in writing as an addendum to the original grant proposal. Said changes require prior approval by the Foundation. Changes to Project Scope requests will use the Foundation-provided template and be submitted a preferred 60 days and no less than 30 days prior to the end of the original or extended grant period date. Changes to Project Scope requests not submitted 30 days prior will not be considered.

## **FUNDING LETTERS**

Formal Funding Letters will be sent for all HBOIF Grant Awards and may include additional conditions or caveats over and above policies as stated herein. Funding Letters will require the counter signature of the HBOI Executive Director and a legally-designated representative of FAU who may sign on its behalf.