
MEMORANDUM

TO: MS. KATHA KISSMAN, PRESIDENT & CEO, HBOI FOUNDATION
FROM: DR. JAMES SULLIVAN, INTERIM EXECUTIVE DIRECTOR, FAU-HBOI
SUBJECT: JUSTIFICATION AND CRITERIA FOR THE UP TO 20% SALARY SUPPORT FROM THE HBOI FOUNDATION FOR HBOI RESEARCH FACULTY.
DATE: APRIL 12, 2018

Background. The HBOI Foundation (HBOIF) “Ensuring Faculty Excellence” grant will conclude at the end of FY18. This very successful grant/program provided up to 20% salary support for HBOI Research Faculty (see Conclusions section for documentation of the R.O.I. of this original program). The grant was provided without any written justification or criteria and this memorandum has been developed to fill that necessity and for the consideration of the Grants Committee to provide an FY19 salary support grant.

At FAU-HBOI, Research Faculty has been provided up to 30% salary coverage from FAU Education & General (E&G) budget accounts. These funds are meant to cover time that faculty spend in support of HBOI’s mission including service on University or Institute committees and other administrative/academic duties assigned to them by the Executive Director, as well as time used to write and submit new research proposals (this time cannot be billed to a researchers existing grant contracts). There are no specific criteria that FAU uses to provide this up to 30% salary support. It is given to all research faculty as long as the Institute’s E&G budget can support it. It is up to the Executive Director to decide the assignments the individual researcher needs to accomplish for this salary support. It should be noted that there is no guarantee that this full 30% salary coverage will always be available to faculty, as state cuts to University E&G budgets could create budget shortfalls that require lowering this percent salary coverage.

The addition of up to 20% salary support from the HBOIF has been an important component of HBOI Research Faculty funding, bringing potential salary support up to 50%.

The current up to 50% salary support serves several critical functions for both the Institute and its faculty, with one of the more important being to provide stability to HBOI faculty and to provide equity with other FAU research faculty. A summary of the importance of this support and its practical effects are below:

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Recruitment. As new Research Faculty are added to HBOI, either through replacement of retiring faculty, faculty leaving/lost to other Institutes, or through additional faculty hired as part of an expansion of the research mission of HBOI (such as that which was generously provided through HBOIF's major, multi-year New Faculty Hire Grant to FAU-HBOI), the up to 50% total salary support is a vital recruitment tool allowing the Institute to attract the best candidates with this potential and significant "hard-money" salary coverage. For other "soft-money" research Institutes competing with HBOI for the best research scientists, this potential combined 50% salary coverage creates a significant competitive advantage that should not be underestimated. On a personal note, I can unequivocally state that I (and several other of the new faculty) would not have joined HBOI as faculty members without this up to 50% salary support.

Retention. As HBOI faculty meet the expectations of the HBOIF and Institute and become very successful in both their external research funding and national/international recognition of their science, they will regularly get inquiries from other Universities and/or Industries about job opportunities. These high performing faculty can easily be lost from HBOI if the salary support from these competing entities is greater or more stable. The up to 50% salary support (and other HBOI centric funding sources like the HBOIF SLP program) is thus a bedrock that allows HBOI to stay competitive in retaining its high performing faculty. In addition, given that the current FAU 30% E&G salary support for HBOI research faculty is not guaranteed to remain at that level, the importance of having up to 20% salary support from the HBOIF during potential state E&G budget cuts could also be viewed as a critical buffer or safety net to provide both faculty salary stability and retention during any future budget crisis.

Research Excellence. The business of "soft-money" sponsored research is extremely competitive and gets more so each year with continuing cuts to Federal agency research budgets. In addition to the highly competitive nature of getting external grants (with a typical 5-10% success rate for the best researchers), Federal agencies normally put strict constraints on overall budget requests allowed. For example, a typical grant request to most Federal agencies (e.g. NSF, NASA, NOAA, ONR, etc.) has an annual budget limit of ~ \$150 - \$250K. For FAU/HBOI, this total budget number also includes an indirect cost rate of ~ 49.5%, meaning that a researcher has to conduct their research, buy equipment/supplies, travel and pay their own salary and benefits (and that of any essential lab personnel) with approximately two-thirds (or less) of the total \$150 - \$250K annual budget number. This creates incredibly tight budget margins for scientists trying to conduct research. Being able to use up to 20% salary support as salary match on external grants allows the external award to cover salary for additional graduate students and Post-Doctoral researchers who are the "life blood" of successful research programs.

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It is also very important to note that HBOI faculty are competing for these external grants against other University faculty (both at FAU and at other universities) that are normally tenured, and have full or at least 75% salary coverage, and thus do not have nearly the same salary burden in their grant requests. This puts non-tenured HBOI research faculty at an immediate disadvantage for securing external grants, and thus, the up to 20% salary support from the HBOIF has the critical effect of creating a more competitive field for HBOI faculty in obtaining external funding against tenured faculty from other Universities. This alone is strong justification for this grant support in FY19, with the potential for annual review and renewal.

In addition, the HBOIF salary support also permits HBOI research faculty the ability to have more of their time covered to analyze preliminary data or conduct pilot experiments and field work to increase the success of new grant applications, complete manuscripts for publication, and to spend time doing scientific outreach and promotion of HBOI and their science through public talks, seminars, and presentations at national/international scientific meetings, all of which increases the research excellence and national/international visibility of the Institute, which I know has been a stated desired outcome from HBOIF support.

Eligibility & Criteria. The up to 20% salary support provided by the HBOIF will be viewed as an incentive (not an entitlement) by FAU-HBOI administration for HBOI research faculty to both maintain and strengthen the research enterprise, competitive standing and overall excellence of the Institute. Faculty who are eligible for these funds will be fulltime, non-tenured Research Faculty and/or Project Managers (PMs) at FAU-HBOI actively competing for external grants, or those fulltime, non-tenured faculty at FAU-HBOI whose service to the Institute constitutes a significant addition to the mission of excellence in research and education. Faculty who are part of the FAU tenure track system will not be eligible given the level of salary support already provided by these positions (typically 75%). I should note that there are currently no tenured faculty at HBOI. HBOI has two new faculty hires (with the possibility of 3-4 more) that will be tenure track through joint appointments with other FAU colleges or research pillars. While I am currently working with the Provost and Deans of other FAU Colleges to find paths to extend tenure to HBOI faculty (through similar joint appointments), by the nature of tenure requirements (e.g. finding open faculty slots and desired expertise in colleges) and the FAU faculty union's collective bargaining agreement, tenure will not be available to all HBOI faculty. The typical tenure timeline is 3 years, so HBOI will not have tenured faculty for a few years. The current tenure track positions at HBOI are supported by a salary split between the HBOI OEST research pillar and another FAU college/pillar at 75% salary support (9 mo. appointment). HBOI does not pay for these positions, and these tenure track faculty do not receive the 30% E&G funds as part of their support, and would not be eligible for this grant, now or in the future should it be renewed in subsequent years.

The goal of these funds is to recruit, retain and incentivize research excellence by HBOI research faculty and PMs. The funds will be used to support research faculty and PM salaries for a variety of activities. Some examples include: developing and conducting field and laboratory work in support of the Institute's strategic plan and future grant applications; preparing manuscripts for peer-reviewed publication; preparing white papers or other reports not supported by external grants; participating in Institutional outreach and development and attending and organizing workshops and conferences. This list is not meant to be all inclusive and cannot be applied equally to every research faculty or PM, as Institute expectations and assignments can vary dependent on faculty or PM position responsibilities as determined by the Executive Director.

Each year during the annual evaluation of research faculty members and PMs, the Executive Director will define a set of goals for every individual to be achieved that align with the Institute's goals and strategic plan, and that position the faculty member and the Institute for success. These will be clearly measurable S.M.A.R.T. goals. Successful completion will be assessed by the Executive Director at the next annual review and a list of accomplishments of all faculty members (PIs/PMs) will be compiled and provided to the HBOIF annually. I also propose that a yearly symposium is conducted for the HBOIF Board where faculty and PMs who accept the HBOIF salary support provide short summaries of their research and can interact and be questioned by the Board on their scientific accomplishments. It should be understood that each person could have different goals based upon the work they are involved in and it could change from year to year. In addition, each individual set of criteria/goals will be developed to encompass up to 20% of the person's available effort. An example of goals for research faculty and PMs to receive this support are as follows (again, this is not an all-inclusive list) and after each goal is a proposed percent effort/incentive for that achievement. I recommend that given the high value of this up to 20% salary support for recruitment, retention and salary competitiveness on grant applications of faculty, this part of the incentive should be, at a minimum, 10% of the up to 20% support.

Example criteria/goals and proposed percent effort/incentive for achievement:

- 1) Recruitment, retention and salary competitiveness on grants for faculty/PMs (10%).
- 2) Complete and submit a manuscript (5%).
- 3) Receive an external grant > \$100K (5%).
- 4) Receive an external grant > \$500K (10%).
- 5) Obtain a scientific patent (5%).
- 6) Dedicate time to specific project(s) to obtain preliminary results for a grant submission or to complete experiments required for a publication (5%).

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- 7) Participate in a relevant scientific meeting as a speaker and/or to network with colleagues in support of new research opportunities and grant submissions (5%).
- 8) Participate in field work or lab experiments in support of a project that furthers the Institute's strategic plan or mission or helps with a new grant application (5%).
- 9) Host a state, national or international workshop or meeting at HBOI to enhance the visibility of the Institute and increase potential collaborations (5%).
- 10) Serve on state, national or international scientific planning committees (5%).
- 11) Serve on a national scientific review panel (5%).
- 12) Give an invited plenary/keynote lecture at a national scientific conference (5%).
- 13) Receive a life-time professional achievement or recognition award (5%).
- 14) Serve as Chair of a national or international conference (5%).
- 15) Being named a Fellow or Member of a prestigious scientific organization (5%).

As noted above, eligible individuals who accept the up to 20% salary support from this HBOIF grant will be required to submit a yearly summary describing how they successfully fulfilled their individual goals and document how the salary support specifically helped their lab or research program (e.g. external grants submitted/secured, students or Post-Docs supported due to new external funding, scientific lectures or presentations given, etc.). Successful completion of individually assigned criteria/goals will then be assessed by FAU-HBOI leadership at the faculty or PM annual review. Continuation of this up to 20% support should be based on this performance review and should follow a system similar to the 3 year "rolling contracts" currently given to HBOI research faculty. That is, if an unsatisfactory review is given (goals not met), the individual will have some time period to increase their performance and achieve their goals to an acceptable level, or otherwise risk losing the salary support.

Rebranding. As this will not be a renewal grant, but rather a new grant, I suggest the name used for the past grant, "Ensuring Faculty Excellence", be changed for a FY19 grant to encompass its true function and utility: "Promoting Faculty Recruitment, Retention and Research Excellence".

Conclusion: The past "Ensuring Faculty Excellence" grant was extremely successful by the easily definable metrics of increased external research dollars and scholarly publications. The program began in 2014-2015, at which time total "internal" grant funding (HBOIF and SLP funds) was \$3.83M and the total external grant funding (Federal, State and Industry) was **\$4.02M**. Now, as we approach the end of the current grant, HBOI's 2017 "internal" grant funding (HBOIF and SLP funds) remained relatively stable at \$4.24M, while the total external grant funding (Federal, State and Industry) has increased to **\$8.97M**. This represents a potential R.O.I. of an over 100% increase in external grants secured for HBOI in just 3 years (for reference, these numbers were taken directly from the "HBOI Annual Impact Funding by

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Source” reports). In addition, in FY 2014, HBOI researchers published **30** peer-reviewed papers, and similar to the increase in external research dollars over the grant period, in FY 2017, HBOI researchers published **72** peer-reviewed publications (for reference, these numbers are compiled yearly by the FAU librarian). Similarly, in 2014, HBOI faculty supported **21** graduate students and in 2017, that number increased to **39**. I’m confident that if we could easily quantify research talks presented at national and international meetings and public outreach lectures given by all of our faculty, we would see similar increases. Given the demonstrated R.O.I. and success of this program (and HBOI faculty), an HBOIF salary support grant would continue to have enormous impact to the success of the Institute and the achievement of its goals under the new Strategic Plan.

Thank you for sharing this with the HBOIF Grants Committee. We appreciate their consideration. I am happy to provide any additional information or am available to present this in person during their next meeting.

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