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MEMORANDUM

TO: Stella Batalama, Dean, College of Engineering and Computer Science
Ata Sarajedini, Dean, Charles E. Schmidt College of Science
Tim Steigenga, Interim Dean, Harriett L. Wilkes Honors College
James Sullivan, Director, Harbor Branch Oceanographic Institute

FROM: Bret Danilowicz, Provost and Vice President
Academic Affairs

DATE: October 18, 2019

SUBJECT: Principles for HBOI-College MOUs

Professional Expectations

In this tenure-track position as an Assistant/Associate/Full Professor, the candidate's duties and responsibilities will include teaching, conducting scholarly research, and service to the University, profession, and community. The normal teaching assignment will include two courses per year. The research assignment will be geared towards continuing a well-funded research program and supporting the University's research and development mission. The candidate will be expected to lead a strong, extramurally-funded research program that explores opportunities with state and federal agencies, industry, and private foundations as well as to work within a multidisciplinary team of scientists and engineers in a university culture that fosters innovation and collaboration within HBOI, the College, and across FAU, and with local, national, and international partners. While in this position, the candidate's service load will not exceed X% (10%) of the assignment when combined across the College and HBOI. The College Dean and Department Chair, in consultation with the Executive Director of HBOI, will be responsible for the details of the assignment. The candidate will also be a voting member of the College. The candidate (if he/she desires) can apply for voting rights in the HBOI faculty assembly of non-tenured research professors, subject to approval of that group.

Salary

The current 12-month HBOI salary of the joint tenure-track appointment candidate will remain the same. This tenure-track position consists of a 9-month joint appointment, which will be jointly funded (50:50) by the College and HBOI. The candidate's 9-month salary will be 9/12 of the

candidate's current 12-month HBOI salary; the 100% split of the 9-month salary requires that the College and HBOI each commit to providing 50% of the candidate's current 9-month salary. The candidate's primary obligation will be to establish and pursue a productive, funded research program, with the expectation of at least a 25% annual salary recovery (i.e. summer salary) from external sources (after any current start-up funding for summer salary has been expended). Salary increases will be divided equally between HBOI and the College.

Workload

Provided that the expectation for extramural funding of summer salary is met, and the individual continues a productive research program, the candidate's teaching commitment will be limited to two three-hour course equivalents per year (i.e. a 1:1 teaching load typical of research and grant-active faculty). With a 1:1 teaching load, a typical assignment would be $\geq 70\%$ research, $\leq 20\%$ teaching, and $\leq 10\%$ service for percentage of effort in each area. Should the candidate not maintain the summer salary funding for a period of two years or a productive research program as determined by annual reviews for two years, the teaching commitment can be increased by the Chair in consultation with the HBOI Executive Director to three, three-hour course equivalents per year (2:1). Should there be a lack of external funding or research productivity for three continuous years, teaching, service, or other appropriate assignments can be further increased by the Chair in consultation with the Executive Director to match expectations of other faculty in the department. If the individual is unable to maintain their performance as a researcher and additional teaching has been assigned, the Executive Director in consultation with the Chair may assign one or more of those classes to be taught in College degree programs of interest to HBOI to assist in the recovery of costs being used by HBOI to support their position.

The Chair in consultation with the HBOI Executive Director, will have the authority to reduce the teaching load in the event of assumption of a significant, assigned administrative responsibility that exceeds normal expectations for faculty service, or in the event that the individual secures a new source of significant external funding. If agreed by both the Chair and Executive Director of HBOI, the faculty member may buy-out their instruction potentially down to zero courses taught per year. In the case of teaching buy-out, the full salary recovery for the buy-out would be returned to the College.

Dates for Periodic Evaluation

The offer letter will contain the dates/years for Third Year Review, Tenure and Promotion and when appropriate, Sustained Performance Review. All tenure-line faculty must be reviewed annually to determine progress towards tenure, with appropriate forms completed. The Third Year Review contains three years of work and may be conducted no later than the end of the spring semester of the third year. Faculty who are granted years toward tenure at the time of hire, need to be advised that those years must be part of the Third Year Review. If a faculty member is hired with three years of credit toward tenure, they may undergo Third Year Review as part of the hiring process, immediately upon arrival, or after one year of service at FAU. These options need be discussed and agreed upon and documented in the appointment letter. A

request to submit a portfolio for tenure earlier than the sixth year must be made by the candidate in consultation with the Chairperson/Director, senior faculty (Professors and Associate Professors) and the Dean. The final decision is made by the Dean. Once the decision is made, no further justification in the portfolio is required. No candidate may submit a portfolio more than twice. Timelines must be outlined in the letter of offer. Interfolio is used for annual evaluations, Third Year Reviews, Tenure and Promotion and Sustained Performance Evaluations.

Additional Guidelines

In keeping with the Provost's Joint Hire Guidelines memo (dated May 20, 2016) regarding the Memorandum of Understanding (Article 5), the following guidelines are proposed for converting existing HBOI faculty to tenure-line positions within one of FAU's colleges:

- a. The candidate may earn tenure status in the candidate's designated *Home Unit* (i.e., the College).
- b. The candidate will be a voting member of the faculty in the College, with the associated responsibility for carefully assessing tenure and promotion portfolios, curriculum changes, and other areas typical of academic units. For a vote which is common to both units (e.g. University-wide voting, the candidate will vote only in the College, as they cannot vote in both units).
- c. Access to resources:
 1. As required by the CBA, the candidate will have only one primary office, which may be located within the College *or* research location (e.g., HBOI). This location will be agreed upon in advance by the candidate after consultation with the HBOI Director and Chair.
 2. The candidate's research space and equipment will be provided by HBOI. Space and equipment in support of teaching (e.g., supervision of undergraduate research, course-embedded research, etc.) will be provided by the College, as available.
 3. Support for graduate students will be negotiated in advance, with the expectation that most support will come from extramural (e.g., grant) funding.
- d. Credit for research conducted by the candidate (e.g., grants applied for, grants awarded, publications, etc.) will be awarded to the College *and* to HBOI. If possible, all publications will note both affiliations.

- e. The College and HBOI will share grant-based salary recovery (research buy-out) based on percent pay covered by each unit (i.e. 50:50 split). The College will recover the full amount of grant-based salary recovery in the specific case of a teaching buy-out.
- f. In no event will the Institute or College be responsible without approval for more than its 50% share of salary/funding for the recruit, including if the recruit were to withdraw from the Institute or College. Should the recruit wish to withdraw from the Institute, the matter will be referred to a committee formed by the Dean, VPR and the Provost (or their designees).
- g. At the current rate of IDC distribution from the VPR (15%), IDC would be shared as 5% to the College, 5% to HBOI, and 5% to the PI.
- h. The candidate's supervisor in Workday will be determined in advance and may be from the College or HBOI, whichever makes most sense in supporting the candidate's daily productivity. When appropriate, more than one signatory may be used.
- i. The candidate's academic Chair will be fully responsible for documenting the details of the candidate's:
 - 1. Annual assignment in FAIR, indicating the percentage of effort spent on research, teaching, and service. Teaching assignments will be made by the Chair in consultation with the candidate, and research and service assignments will be agreed upon.
 - 2. Annual evaluation of teaching, research, and service; choosing an appropriate rating of performance based on the criteria of the Home Unit. This ensures that only one annual evaluation is submitted for the candidate each year. The Chair of the *Home Unit* will be expected to include input from the HBOI Executive Director (or designee) regarding research and service to HBOI (e.g., annual letter evaluating research and service). These documents will be used in any future consideration of tenure or promotion, which will be overseen by the *Home Unit*.
 - 3. The candidate will upload all relevant documentation of scholarship, teaching, and service into Interfolio, which will be used for Annual Evaluations, Third Year Review, Tenure, Promotion, and Sustained Performance Evaluation.
 - 4. Workday signoffs should include Chair/Director, Dean, and HBOI director.
- j. Attempts to resolve conflicts should first be attempted through the faculty member and direct supervisors (Chair or Director). Should there be problems that are unable to be

resolved, a decision would be made by a committee comprised of the Dean, VPR, and Provost. Final decisions of conflicts are made by the Provost.

Cc: Michele Hawkins, Vice Provost, Academic Affairs