



FLORIDA INSTITUTE OF OCEANOGRAPHY

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September 23, 2015

Dear Chancellor Criser and President Genshaft;

As an Academic Infrastructure Support Organization (AISO) in the State of Florida, it is the role of the Florida Institute of Oceanography (FIO) to provide “underlying technology, equipment, facilities, services, and resources for academic programs and research in the State University System (SUS) of Florida.” In order for FIO to do so successfully, its host institution must foster and support the needs of the FIO and its member institutions. As part of the AISO renewal process, we would like to summarize some of FIO’s accomplishments and highlight the support provided by the Host Institution over the last several years.

The University of South Florida (USF) was originally appointed as the Host Institution for FIO. USF has demonstrated that not only can it host a valuable unit established by the BOG, but also represent the SUS to ensure FIO succeeds. USF’s first step was to assess FIO’s infrastructure and needs. After review, it was determined that the 50 year old R/V Suncoaster was becoming unreliable and needed to be retired and replaced. In 2008, USF purchased the R/V Weatherbird II as a replacement vessel with a \$1.3 million loan from the University’s Foundation for FIO until legislative funding became available.

A year after FIO’s designation as Florida’s AISO in marine science and education, an explosion on the Deepwater Horizon (DWH) Macondo oil well drilling platform started the largest marine oil spill in U.S. history, releasing millions of barrels of oil into the Gulf of Mexico. FIO’s R/V Weatherbird II was a first responder transporting Florida faculty and researchers to the scene. Not knowing when federal funding would become available for research, and recognizing the critical need the USF Research Foundation contributed \$500,000 in research dollars to FIO to disperse to its members to conduct the initial critical sampling of the DWH oil spill. The office of Research and Innovation and the Office of the Provost also provided the initial support to establish the Gulf of Mexico University Research Collaborative (GOMURC) initiative with the other four Gulf States (TX, LA, MS, AL) to address current and future Gulf issues. Today, GOMURC consists of more than 80 research institutions across the five Gulf States. This was the second step in what would put FIO and its members at the forefront of what collaboration can do.

As you recall, shortly after the response to the DWH, British Petroleum (BP) announced its commitment to release \$500 million over a 10-year period to create a broad, independent research program to be conducted at research institutions primarily in the Gulf Coast States. Because of FIO’s initial response into the Gulf, FIO received \$10 million dollars as part of a rapid response block grant released by the Gulf of Mexico Research Initiative (GoMRI). Unlike other Gulf coast states that received the initial rapid response block grants, the USF office of Research and Innovation (which managed the funds) reduced its indirect cost rate dramatically. This allowed FIO to award approximately \$9.7 million dollars (26 research programs) across the SUS. Once more, USF showed its support for FIO and its member institutions.

FIO continues its commitment to the Gulf as we work to support the SUS faculty; students and researchers as they assess the fish, wildlife and habitat affected by the spill in the Gulf of Mexico. In 2012, FIO was designated by Congress to be Florida’s Gulf State Entity to receive, administer and coordinate grants under the RESTORE Act. To safeguard the presumed conflict of interests defined by the U.S. Treasury, USF and FIO entered into several Memorandum of Understandings (MOUs) that would allow all SUS member

institutions to make application to receive funding for the Centers of Excellence. Included in the MOU was USF's agreement to reduce indirect cost, allowing FIO to release over \$3.2 million dollars (of the \$4 million received from the TransOcean settlement) in grants and approximately 10 projects and eight (8) Centers of Excellence.

Aside from the above accomplishments FIO and USF achieved together, the USF College of Marine Science has provided extensive support to FIO and our research vessels. The facilities at the College of Marine Science have provided outstanding service to accommodate machinery work for the vessels, especially with the aging R/V Bellows; often times, with very short notice. The support is to be commended as we may not be able to find this service elsewhere.

Progress that has been achieved thus far is the result of the host institution, under the leadership of President Genshaft and Provost Wilcox. Their commitment and advocacy to the success of FIO is to be applauded for addressing sensitive budgetary and infrastructure concerns that are always difficult, especially now, as FIO is seeking to replace the 46 year old, worn-out *R/V Bellows*.

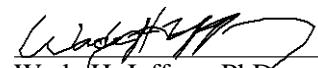
No doubt, USF has successfully fulfilled its role as the host institution, representing both the BOG and the SUS system by contributing to FIO's missions of enriching student experience, strengthening the SUS community and advancing the BOG's mission. Based on the track record and the many positive advances that FIO has made in the last five years, we firmly believe and recommend to you and the BOG that USF remains the host institution.

As you will see in the series of documents attached, the next five-year Strategic Plan for FIO describes the targeted actions FIO will take as we move forward to bring together people, disciplines, and perspectives to advance knowledge and innovation and continue to support the SUS in marine science, technology and education in the Florida while aligning with the BOG's mission.

Thank you for your continued support, if you have any questions please feel free to contact us.

Sincerely,


William T. Hogarth, PhD
Director
Florida Institute of Oceanography


Wade H. Jeffrey, PhD
Chair, FIO Executive Council
University of West Florida

Enclosures (3):

AISO Renewal
MOU between USF as the host institution and FIO;
Strategic Plan 2015-2020

cc: Governor Morteza Hosseini, Chair of the Board of Governor
Trustee Harold Mullis, Chair USF Board of Trustees
Dr. Ralph Wilcox, Provost Host Institution



**The Florida Institute of Oceanography (FIO)
The State University System's (SUS) Commitment to
Education and Research on Florida's Coastal Ocean Environments**

**Renewal of the AISO
July 1, 2015**

Vision Statement

FIO will support excellence in marine science, technology and education through infrastructure, programs, information, and people.

Mission Statement

FIO will ensure the adequacy of infrastructure support to facilitate collaborative research and education related to Florida's coastal and ocean environment and will serve as a coordinating body across academia, state and federal agencies, ocean science organizations and the private sector in addressing new opportunities and problems to be solved through research and education. FIO is an enabler, a facilitator and a coordinator.

Statement of Need and Demand.

Oceanography and the State of Florida

In accordance with the SUS Board of Governors Regulation 10.014, Academic Infrastructure Support Organizations (AISO) provide “underlying technology, equipment, facilities, services, and resources for academic programs and research in the State University System Florida.” The FIO AISO will facilitate access to major marine research and educational capabilities and facilities throughout the State, including the operation of sea-going vessels for coastal ocean research that will advance research, education, economic development, and environmental sustainability of Florida’s coastal ocean.

FIO enables the SUS to provide a virtual intellectual and physical hub for the mature and diverse marine science enterprise in Florida and fosters collaboration among academia, government, and the private sector to:

- Promote research and education;
- Maximize the efficient use of supporting infrastructure;

- Enhance public awareness of ocean science issues affecting all Floridians;
- Produce scientific solutions through member activities;
- Leverage public and private sector investments to increase capacity; and
- Inform public policy development and decision-making.

FIO is a member of many organizations in Florida¹ that focus on the coastal and ocean environments, strive to facilitate coordination and collaboration among the various coastal, marine and oceanographic components, among the SUS and other FIO member institutions. FIO holds a unique position among these varied organizations as a university-based consortium. It is a collaborative hub of marine scientists and their respective organizations, an umbrella organization with a broad-based mission to facilitate education and research focused on Florida's coastal and ocean environments. FIO promotes stewardship of the oceans and provides the training and resources to do so. It is a forum for the development of ocean sciences and a catalyst for ocean research, education and policy. It serves as a clearinghouse, a coordinating body and a network for investigators who require access to research vessels to accomplish their research. FIO also provides its members with an opportunity to promote the value of the oceans and estuaries to Florida's economy.

Scientists within the FIO member institutions have the expertise to provide statewide leadership in helping Florida's citizens and policymakers understand critical issues related to:

- The important and impact of clean oceans and beaches on the state's tourism industry;
- Risks to coastal marine ecosystems and communities from hurricanes and tropical storms;
- Impacts of red tides and harmful algal blooms on coastal ocean health;
- Economic importance of healthy recreational and commercial fisheries and their habitats such as coral reefs;
- The impact of oil exploration and drilling on ocean health;
- The impact of freshwater on estuarine and coastal, ocean health;
- The relationship of ocean dynamics on search and rescue operations; and
- The impact of ocean acidification, sea level rise and climate change on ecosystem structure and function and community integrity.

¹ Examples include: Florida Oceans and Coastal Council (FOCC), Florida Ocean Alliance (FOA), NOAA Cooperative Institutes (CI), Florida Sea Grant College Program, National Coral Reef Institute (NCRI), Florida Coastal Ocean Observing System Consortium (FLCOOS)

FIO facilitates these efforts through opportunities to network and to form cooperative and collaborative research partnerships and access to research infrastructure such as vessels major equipment and a dedicated marine laboratory in the Florida Keys.

The Interdependency of Florida and its Ocean Environment.

The United Nations predicts that the global, human population will increase from approximately 7.3 billion today to about 10.9 billion by the year 2100. Florida's population is expected to continue trend of increasing by 20-25% per decade. More and more of the population will live near the ocean with rapid coastal urbanization creating new burdens on the environment, potential new perils for mankind and increasing pressures on the State's coastal ocean environment and its resources. The significant changes in climate resulting in sea-level rise and changing rainfall and storm patterns link the health of the ocean and human society today and for future generations. More scientific research, more comprehensive coordination of academic, private sector and government entities and significant outreach to the public are essential if we are to adapt within and manage the changing environment. FIO can provide access to talent and efficiently manage resources to address Florida's coastal ocean issues.

The history, economy and world-renowned quality of life in Florida are dependent upon the ocean and its resources. The Florida Oceans and Coastal Council reports that more than \$25 billion of Florida's Gross State Product (GSP) is generated from its ocean, and nearly \$600 billion of the state's GSP, when all direct and value added expenditures are captured, is generated in the coastal counties. And, Florida's marine economy overall represents more than five percent of the nation's marine economy.

The marine science community in Florida has a long history of working collaboratively in scientific discovery, environmental protection and economic development. FIO has played a significant role in this arena. The sharing of resources, knowledge, laboratory space and equipment has positioned Florida as a national and international leader in ocean science discovery and the creation of new technologies that enhance the mapping, monitoring and understanding of our oceans. For example, the Florida Coastal Ocean Observing System, a consortium of state and private universities, nonprofit organizations and private companies, works collaboratively to build and maintain an advanced, monitoring system that produces critical data on key issues such as red tide, storm surge and habitat mapping. The Center for Prediction of Red Tides is another exemplary cooperative effort between state agencies and higher education for understanding, predicting and minimizing the effects of red tide formation and persistence. The data obtained from their research help to protect public health and the state's tourism and boating industries. In the field, Florida's marine science agencies have collaborated in making significant discoveries, such as, many partners in FIO have been working to understand impacts and promote recovery of ocean and coastal habitats after the Deepwater Horizon Oil Spill. FIO vessels and investigators were among the first responders to this region of the Gulf after the spill. The agility to mobilize resources

through FIO was crucial to their quick action. These activities, among others, have set new standard, for scientific cooperation.

Working collaboratively through FIO, scientists from a wide-range of backgrounds in Florida's universities, private marine research laboratories, and government entities are involved in some of the state's—and nation's—most significant scientific discoveries, but there is still much more to do.

FIO members are engaged in three regions of oceanographic concern:

1. The *watershed*, consisting of the upland drainage basins that feed into the rivers, the estuaries and the aquifers, which begins on land and continues offshore to the state water limits;
2. The *coastal ocean*, the continental shelf region between the shoreline and the deep ocean where society literally meets the sea, where most commercial and recreational fisheries take place and where phenomena such as harmful algal blooms (red tides) occur; and
3. The *deep-ocean* extending beyond the continental shelf break.

The Significance of the Coastal Ocean.

The properties of the coastal ocean are determined by the interactions between the coastal ocean and the deep-ocean and between the coastal ocean and the upland watershed via land drainage through rivers and estuaries. With a coastal ocean focus, plus a facilitating role amongst other agencies and programs, FIO is positioned to support systems-wide SUS scientific leadership in an area unique to the State of Florida but whose properties also hold vital lessons for the world's increasingly urbanized coastal areas.

FIO has within its scope the research and educational aspects of coastal oceanography that affect the State of Florida. These are intrinsically wide-ranging because Florida, as a peninsula surrounded by water, is fully impacted by the intimately coupled ocean-atmosphere system. With Florida's economy largely based on tourism and agriculture, and with ever-growing coastal populations and associated development, no aspect of Florida's economic health goes untouched by Florida's oceans. Special attention must be paid to the coastal ocean in its entirety. Its condition determines water properties at Florida's beaches and the health of the habitat for marine life and ocean food sources. Environmental stewardship for the State of Florida requires a cohesive, well-coordinated and mission-driven approach to the intertwined natural systems that determine the health of our oceans and our state. FIO plays a role in environmental stewardship.

Consistency with the Board of Governors' (BOG) Strategic Plan.

FIO's vision, mission, and goals during the first five years of the AISO were aligned with the BOG's Strategic Plan² of the State University System of Florida as applied to issues and opportunities concerning Florida's ocean environment. The Strategic Plan assumes participation of each university and asserts that "The Board will support universities' efforts and provide leadership when progress toward goals requires funding, state-level policies, or collaboration with other agencies." It is the responsibility of the BOG and, therefore, the SUS to "ensure well-planned coordination and operation... and avoidance of wasteful duplication of facilities or programs."

The following three SUS goals adopted by the BOG in the 2005 Strategic Plan were: (1) to provide access to and production of degrees; (2) to meet statewide professional and workforce needs; and (3) to build world-class academic programs and research capacity.

FIO facilitated these goals by providing opportunities for students to gain direct experience in marine research, thus enhancing their competitive positions for jobs in marine research and industry; by providing the infrastructure that supports the research of marine science investigators throughout the state; and by developing collaborative academic and research programs that capitalize on the talent and resources of individual partner universities as well as the Keys Marine Laboratory.

Access to at-sea research facilities and ease of coordination with peer researchers throughout the SUS enhances: the recruitment and retention of talented professors; attracts more high ability Bachelor's, Master's and PhD students and results in more degrees awarded in related high-demand, high-skilled and high-wage targeted areas; increases the interface with public and private employers of marine scientists leading to new job creation and economic growth; and fosters cooperation and collaborations that produce publications, awards, and recognition for the SUS as a national leader in coastal oceanographic education and research. These goals are interdependent. For example, Marine Resource Assessment at USF's College of Marine Science is attracting increased student interest (i.e. more degrees); responding to a critical need identified to Congress by NOAA's National Marine Fisheries Service (i.e. meeting workforce needs); and, ultimately, will enhance the reputation of the SUS. Partnership with, and by, FIO is critical to the success of this new USF program.

FIO significantly strengthens the SUS' competitive position in securing higher levels of R&D investment from the federal government, foundations and industry. Recently, FIO elevated the SUS' status as a hub of world-class oceanographic education and research through global attention to the work following the Deepwater Horizon Oil Spill. It is particularly noteworthy that FIO is the designated Gulf Coast Entity for the State of Florida

² Adopted by the BOG on June 9, 2005; refreshed on November 6, 2014.

to manage and disperse, through competitive awards, the state's allocation for research under the RESTORE Act.

FIO, through its member organizations and its own research resources, outreach activities and strategic plan is also in sync with the 2025 System Strategic Plan of the Board of Governors. Goals that resonate with the strategic goals of FIO (2015-2020) include: to increase the number of students in the STEM fields; to provide knowledge, innovation and commercialization to boost productivity and growth in Florida's businesses and industries; and to promote efficient resource utilization and impact of teaching and learning leading to graduation and entry into the workforce. FIO also embraces the BOG's points of emphasis: excellence, productivity and strategic priorities for a knowledge economy.

Of the thirteen guiding principles adopted by the BOG in developing their plan, the vast majority of them are directly relevant to the activities of FIO including:

- *Focus on students and enhancing their learning, development, and success:* The resources of FIO support opportunities for hands-on research at sea for graduate and undergraduate students, often making the difference that commits them to a career in the marine sciences.
- *Recognize and value the roles and contributions of faculty/staff:* The faculty and staff are FIO and their unique contributions, based on individual research directions, are essential to the success of FIO, their institutions and to Florida's research and education mission.
- *Coordinate with other education sectors and seek the optimal State University System structure to help address the state's higher education needs:* FIO works not only with higher education in Florida but also engages students in primary and secondary grades, promoting the development of a pipeline of students who will enter the marine science fields in Florida institutions, and businesses.
- *Advocate for the System's unique role in advancing the State educationally, economically, socially, and culturally:* FIO advocates across the state, the Gulf region and the nation to promote the importance of ocean sciences in advancing these factors within the state.
- *Identify and affirm the distinctive mission and contributions of each institution:* FIO is a consortium of the SUS institutions and other universities and organizations within the state. Their unique strengths and talents are recognized and blended within the FIO Council, an advisory body for FIO, to provide deep and broad expertise to serve Florida.
- *Work with institutions to align undergraduate and graduate programmatic offerings, as well as research efforts, based on each institution's unique strengths and missions:* This is managed through the physical resources of FIO. FIO has coordinated a summer

academic and research program that engages several of the Member institutions, working at their sites.

- *Support institutions in their efforts to achieve state, national, and/or international preeminence in key academic, research, and public service programs:* FIO provides the infrastructure and support, through vessels and research equipment as well as through funding (e.g., BP penalty funds) that promotes collaborative research.
- *Seek ways to organize and collaborate for increased efficiencies and a stronger System and state:* The design of the FIO AISO serves this goal.
- *Maintain a commitment to excellence and continuous improvement:* This is FIO's commitment to all of its activities.

The BOG Strategic Plan also identifies goals that FIO Council members have identified as their goals to increase certain activities. As described in the *Florida Institute of Oceanography: Member Survey and Recommendations*, July 2015, members indicated that FIO should increase collaborations with their communities and businesses, impact economic development in the field of ocean sciences and work with partner universities and organizations to attract external funding for infrastructure and educational programs.

The Importance of Infrastructure Support.

FIO ensures infrastructure support and serves as a coordinating body for oceanographic research and education across academia, the state and federal agencies, and the private sector. FIO manages vessels for sea-going operations, shared-use facilities, such as the Keys Marine Lab, and specialized equipment (e.g., autonomous underwater vehicles, observing platforms and sensors). Shared infrastructure may include certain assets owned by FIO members when it is practicable and feasible.

The importance of versatile, ship-based platforms is paramount to the infrastructure support function of FIO. On the east coast of Florida, the Harbor Branch Oceanographic Institute (HBOI) no longer maintains a sea going vessel and the University of Miami *R/V Walton Smith* belongs to the University National Oceanographic Laboratory System (UNOLS) ship operators system with research days-at-sea largely assigned to investigators by the National Science Foundation via a competitive grant-proposal process. Smaller vessels are operated by Florida Atlantic University SeaTech and Nova Southeastern University. East coast members of FIO believe they have less access to the FIO vessels due to the expense related to long transit times from the west coast, and although there have been recent accommodations to reduce transit-time cost for these members, it would be advantageous to have an additional vessel of sufficient size and ability as those on the west coast. Any such new vessel would be operated by FIO personnel but would likely be home-ported at an appropriate facility along Florida's east coast.

FIO maintains and operates the *R/V Weatherbird II* and the *R/V Bellows* for seagoing operations. The *R/V Bellows* has reached the end of its useful life and must be replaced. The design for a new vessel has been developed and a request for funding was submitted to the BOG and State Legislature this year (2015), but the funds, although included in the Legislative budget, were vetoed. A Legislative Budget Request (LBR) will be re-inserted into the budget for 2016. The *R/V Bellows* is the only vessel that can be used for extended, overnight research cruises in near shore waters, estuaries and rivers, thus a significant gap in available resources for funded research will exist when the ship is decommissioned. FSU has a new catamaran the *R/V Apalachee* and Mote Marine Lab has a number of smaller near shore operations vessels, but none of them substitute for the *R/V Bellows*. Without the FIO vessels there would not be any substantive coastal ocean research vessel for the West Florida continental shelf, a coastal ocean region that is as large as the entire State of Florida landmass.

Florida's marine science community is very grateful for the funding provided by the legislature to acquire the *R/V Weatherbird II* in 2008. This vessel is critically important to the marine science community's capability to conduct oceanographic research in the state's coastal ocean. The marine science community cannot overstate the importance of this research platform.

Anticipated Funding Sources.

As an AISO, FIO receives its support from funds allocated by the State Legislature, fees charged for use of vessels and facilities, charges to administer contracts and grants awarded to or passed through FIO, and overhead returned. Cooperative agreements or contracts with private enterprise for at-sea activities/observations can also generate additional support. It is significant and greatly appreciated that the state component of the budget has been increased over the initial period of the AISO (2009-2015) to offset additional costs. An AISO may propose special requests through the Council of Academic Vice Presidents (CAVP) to the BOG for consideration. USF will continue as the host organization for FIO under this proposed MOU.

RESTORE Act.

In August 2014, U.S. Treasury Department released the Interim Final Rulemaking for the RESTORE Act. The Florida Institute of Oceanography (FIO) was designated as the Gulf Coast State Entity responsible for administering and coordinating Florida's RESTORE Act Centers of Excellence Program (FLRACEP).

Treasury required FIO to formulate a plan to monitor and minimize conflict of interest within FIO. To do so, several Memoranda of Understanding (MOUs, Appendix E) were executed by the FIO Director and USF, as the Host Institution. These MOU's are to ensure that all RESTORE Act activities are to be handled by the FIO Director, FLRACEP

Program Director, FIO Budget Director and the FLRACEP Program Management Team. This plan guarantees that all real and perceived conflicts of interest are carefully monitored and minimized, which is necessary to ensure eligibility for all FIO members, who wish to apply for and receive funds through the FLRACEP competitive process approved by the U.S. Treasury Department.



MEMORANDUM OF UNDERSTANDING (MOU) Academic Infrastructure Support Organization Proposal (AISO)

The Florida Institute of Oceanography (FIO)

1. Vision.

FIO will support excellence in marine science, technology and education through infrastructure, programs, information, and people.

The University of South Florida, in its capacity as the host university, and the participating universities hereby request that the Florida Board of Governors (BOG) renew this proposal to extend the FIO AISO for an additional five years.

2. FIO AISO.

(a) Mission and Goals of the FIO AISO.

The Florida Institute of Oceanography Academic Infrastructure Support Organization established in 2005 and governed by this MOU continues to identify the University of South Florida (USF) as the role of host university, with the support of participating universities, for the operation of FIO, the approval of the State of Florida State University System (SUS) Council of Academic Vice Presidents (CAVP), ratified by the presidents and chairs of the boards of trustees of the member institutions and approved by the BOG.

FIO will have within its scope all aspects (research and education) of oceanography that affect the State of Florida. FIO will direct its focus on the entire coastal ocean, from the coastline to the deep ocean, thereby positioning itself to facilitate and support systems-wide scientific leadership within the SUS for the environmental stewardship of the State of Florida. The FIO mission is as follows:

FIO will ensure the adequacy of infrastructure support to facilitate collaborative research and education in Florida's ocean environment and serve as a coordinating body across academia, the state and federal agencies, ocean science organizations and the private sector in addressing new opportunities and problems of concern in coastal and oceanographic research and education. FIO is an enabler, a facilitator and a coordinator.

(b) Identification of the host institution/fiscal agent and participating institutions/organizations.

USF serves as host institution with FIO housed on the campus of the College of Marine Science in St Petersburg, Florida, where the *R/V Bellows* and the *R/V Weatherbird II* are home-ported. Fiscal accounting functions are administered by USF and will be overseen by the USF Board of Trustees (BOT).

The FIO consists of the twelve (12) state universities and nine (9) other entities which include members grandfathered in (through Florida Institute of Oceanography membership). By consenting to and executing this MOU: Eckerd College; Florida Sea Grant College; University of Miami, Rosenstiel School of Marine and Atmospheric Science; Florida Department of Environmental Protection; Florida Fish & Wildlife Conservation Commission, Fish and Wildlife Research Institute; Florida Institute of Technology; Mote Marine Laboratory; Nova Southeastern University; and the Smithsonian Institution Marine Laboratory. There are also eight (8) Associate members and one (1) affiliate member. The members include faculty, staff, and scientists conducting research and teaching and who may wish to utilize ships, facilities, and other services provided by FIO.

(c) Governance and organizational structure of the AISO and criteria for appointments to the advisory board or executive committee, including terms, roles, authority, and number of members.

The FIO organization consists of the following (See Appendix A, *Organizational Chart*):

- 1) FIO Council, with an Executive Committee;
- 2) FIO Board of Visitors;
- 3) FIO Ship Advisory Committee; and
- 4) FIO Director and staff.

The **FIO Council** will consist of one (1) representative from each member organization and two (2) from the host institution appointed for a two (2) year term by its president or CEO or his/her designee and who is an active member of the Florida coastal ocean research and education community. Member representatives may be reappointed, but shall not serve more than three (3) consecutive terms unless requested in writing by the appointing official. The foregoing notwithstanding, the second member appointed by the host institution may serve unlimited terms. Additionally, the FIO Director together with a representative of the BOG will serve as non-voting, *ex-officio* members. The FIO Council shall elect a Chair biennially from the membership and will meet at least once, in person, each year and by telephone conference as needed. Agendas for the meetings will be set

by the Chair of the FIO Council in consultation with the FIO Director and approved by the Provost of the host institution.

The FIO Council may elect to membership other institutions in the Florida ocean science education and research community that meet the criteria for membership approved by the FIO Council. Criteria for membership will address commitment to the support of shared use facilities; agreement to support legislative budget requests of the FIO as required to maintain and operate these facilities in a safe, efficient and cost-effective manner; commitment to attend all scheduled meetings of the FIO Council and FIO Executive Committee, if appropriate; and completion of assignments in a timely manner as agreed to by the FIO Council or FIO Executive Committee. Similarly, the FIO Council may elect to remove non-SUS member organizations for lack of participation.

The primary function of the FIO Council is advisory to the FIO leadership (i.e., Provost of the host institution and the FIO Director) regarding:

- Development and maintenance of an effective SUS and state-wide collaboration that will position the FIO as a respected national leader in oceanographic research and education;
- Development and strengthening of networks that facilitate achievement of the FIO's mission and goals;
- Policies and procedures involving members;
- Opportunities for efficiency and effectiveness improvements in research and education activities;
- Appropriateness and relevance of grant applications; programmatic research and education contracts;
- Strategic and operational plans;
- Alignment of FIO budget with strategic priorities;
- Adequacy of budget requests and identification of potential sources of revenue;
- Content of the Annual Report;
- Improvements identified by the BOT of the host university or its designee during its review of the Annual Report; and
- Findings of the Programmatic Evaluation/Review; and correction of weaknesses identified during financial audits.

The FIO Executive Committee will consist of five (5) FIO Council members including the Council Chair and four elected members. At least one member of the FIO Executive Committee shall be from the host institution. The FIO Executive Committee will meet at least three times per year and provide administrative oversight of the FIO in cooperation with the FIO Council and the Provost of the host institution. The FIO Director will serve as a non-voting, *ex officio* member. Written reports of the items discussed and actions taken

at meetings will be sent to the FIO Council via email and posted on the FIO website for the benefit of the FIO Council and interested parties.

The FIO Ship Advisory Committee will consist of at least three (3) members (with at least one from the host institution) elected by the FIO Council and will assure that the research vessels can work efficiently in all of Florida's coastal ocean and surrounding waters (Straits of Florida, coastal Atlantic, Bahamas, Caribbean, northern Gulf of Mexico). The membership will reflect the geographical diversity of Florida. Recognizing that there are long transit times from the St. Petersburg-based port to Florida's east coast, efficient long-term planning assisted and overseen by the FIO Ship Advisory Committee will assure that FIO members will have access to these vessels from Jacksonville to Pensacola. The host university and all participating universities agree to provide appropriate support to effectively manage the costs of vessel operation, maintenance, repair and scheduling. Should those vessels not be available, FIO members will seek information on the availability of other research vessels around the state. The members of the FIO Ship Advisory Committee will be elected by the FIO Council and will work closely with the FIO Marine Operations Manager who receives the requests for initial scheduling of grant/contract awarded ship time.

For grant/contract awarded ship time, requests will be made to the FIO Marine Operations Manager for initial scheduling. Verification of funding will be provided no later than three (3) months prior to sailing. The FIO Marine Operations Manager will establish the schedule for the *R/V Weatherbird II* and the *R/V Bellows* to assure maximum efficiency. To determine an appropriate assessment, PIs should consult with the FIO Marine Operations Manager prior to completing proposal budgets. It is important to note that any principal investigator from any institution (private or public) in Florida or elsewhere can purchase time on the *R/V Weatherbird II* and *R/V Bellows* for legitimate scientific purposes. No one organization has exclusive use of these vessels.

State-supported ship time is awarded through an annual competitive process with the goal of optimizing implementation of the established FIO mission and research goals. Faculty or research staff scientists associated with any of the FIO membership institutions may apply. The Ships Advisory Committee will review proposals and make recommendations to the FIO Director for funding. Once the awards are made, the FIO Marine Operations Manager will establish a tentative schedule. The state-supported ship time will require a 10% cost-share (based on total value of award) by the member institutions receiving state-supported awards.

The FIO Board of Visitors will have five (5) to nine (9) members appointed by the host institution President, to include two (2) SUS Academic Vice Presidents and two (2) Research Vice Presidents, and others such as a mayor, a port director, an individual engaged in the tourism and restaurant industries, the High Tech Corridor and a utility company. These appointments will be made in consultation with the FIO Council and the Council of Academic Vice Presidents (CAVP) and serve a three (3) year term to provide

broad oversight to the FIO. Members may be reappointed, but shall serve no more than three (3) consecutive terms.

Reporting to the Provost of the host institution the role of the FIO Board of Visitors includes: to serve as a valued resource to FIO by providing advice on best practices for optimizing the resources of the FIO and member institutions; to identify strategic directions for potential cooperative programming; to interface with potential funding sources; and to represent FIO and the vital importance of oceanographic research to the broader community.

(d) A five-year budget projects the major sources of funding and expenditures.

A five-year continuing Business Operations Plan and Budget Forecast based upon current state appropriations, is presented in both Appendix B and C.

(e) Guidelines for appointing, funding, supervising, and evaluating the AISO leadership position.

The FIO Director shall be appointed by the Provost of the host institution in consultation with the FIO Executive Committee. The Director reports to the Provost of the host institution. The Director will submit a FIO annual report, work plans, and operating budget as appropriate to the Provost. These documents will be reviewed by the Council. Operational supervision may be delegated as appropriate. The work plans will set annual performance objectives, with metrics, in at least the following areas:

- Increase in funds for at-sea research,
- New funding sources captured,
- New research initiatives,
- Ship days fully utilized,
- Degrees awarded in targeted areas with support of the FIO,
- New high skilled, high wage jobs created with the assistance of FIO,
- Federal and Total R&D awards/expenditures with assistance from the FIO,
- Student theses, dissertations completed with FIO assistance,
- Student papers produced as a result of FIO research,
- Educational workshops provided by FIO collaborators,
- Publications by faculty as a result of FIO research,
- Citations of above publications,

- Adherence to regulations/policies for safe and secure vessel operations (e.g. training sessions offered, copies of inspection certificates, copies of memos to personnel files, counseling sessions, safety seminars), and
- Avoidance of delays associated with Vessel Maintenance.

The FIO Director shall complete an annual report no later than September 1 of each year covering the previous fiscal year (July 1-June 30). The report shall include a summary of activities and accomplishments, provide actual expenditure and position data, and include a work plan for the current fiscal year [BOG regulation 10.014 (3) (a)]. Prior to its submission to the Chancellor, no later than October 31 of each year, the report will be distributed to members of the FIO Council for review and comment and will be approved by the Provost and BOT of the host institution.

The FIO Director or Director-designated FIO staff will maintain active contact with FIO member institutions by visiting campuses, scheduling and conducting workshops, conducting needs assessments resulting in priority actions and providing advance knowledge of FIO activities to achieve the goals of the AISO. Under the FIO Director's guidance, the FIO staff has the primary responsibility for: operation and maintenance of the vessels, implementation of the ship schedule, and support for PIs to achieve the research goals; coordination of the education components to achieve the education goals; maintenance of the FIO website; and support for grants and other services provided to member institutions. In the event of a vacancy in the FIO Director position, a search committee will be appointed by the Provost and will follow the customary search process of the host institution.

(f) Expectations for administrative and logistical support for the AISO, including expectations regarding reimbursement to the host university for the direct costs of administrative services rendered by the university to the AISO.

The host institution shall provide administrative and logistical support for the FIO including, but not limited to, reasonable office space with directly related support services, utilities, insurance, personnel services, purchasing, financial, legal, government relations/ advocacy and physical plant services. In the event of any unforeseen or additional costs incurred, the host university and all member institutions agree to provide appropriate support. The budgetary and administrative practices of FIO shall conform to those of the host institution. FIO personnel may be eligible for consideration for appointment to faculty positions at the host institution or participating universities in conformity with established procedures.

All of the above conditions shall conform to all appropriate statutes and the rules and regulations of the BOG.

(g) Procedures for recommending increases/decreases in the appropriation of State funds for the AISO.

An effective FIO effort entails cohesive collaboration reaching throughout Florida. Support from the State Legislature and the Governor will be essential to achieving practical, positive and sustainable solutions to the coastal oceanographic problems that challenge Florida. Enabling the effective and continued achievement of the FIO's goals and research mission will enhance the quality of life for Floridians, attract and sustain tourism, provide oceanographic and educational leadership for the State and Nation and stimulate further economic development. Input will be sought broadly from member institutions and organizations interested in the goals of FIO. FIO will prepare State appropriations requests via the established Legislative Budget Request (LBR) process and submitted by the host institution in consultation with, and on behalf of the FIO, through the CAVP to the BOG and shall correspond to the State University System's five year strategic plan.

(h) Specifications for the processing of Grants and Contracts, including the percentage of overhead funds to be returned to the AISO.

Contracts and grants proposed by FIO to external sponsors (with exception to RESTORE Act funds) shall be processed through the host institution's Division of Sponsored Research. Facilities and Administrative costs (also referred to as overhead or indirect costs) will be charged using appropriate F&A rates as agreed and approved by the Host Institution President, Provost, Division of Sponsored Research and FIO Director (Appendix D). The host institution's earned facilities and administrative costs will be managed in accord with Florida Statute 1004.22(5) with any balances earned by FIO to be distributed in accord with the host institution's Research Initiative Account (RIA) practice for the given year.

(i) Ongoing planning and operating expectations and criteria for the cyclic review of the AISO.

Planning and performance assessment shall take place every year on a five-year strategic planning cycle. All operations are to be included in the plan. Annual work plans will be developed to support each Strategic Plan component. Progress towards the goals will be assessed within the Annual Report and the annual evaluation of the FIO Director and in the Programmatic Evaluation/Review.

The minimum five-year Programmatic Evaluation/Review required for each AISO [BOG Regulation 10.0014(3)(b)2] will be conducted by the host institution, with the advice and input of the FIO Council and FIO Board of Visitors and will include, at least:

- A determination of the FIO progress against the defined goals and objectives within the context of the FIO mission, the participating universities' missions, and the current BOG Strategic Plan;
- An assessment of the return on investment of State dollars;
- The need for continuation of the AISO;
- Proposed changes in the FIO mission or organizational structure;
- Recommendations for budget reductions or expansion; and
- Recommendations for status or location change, if applicable.

The BOG, the CAVP, and/or the host institution may request a programmatic review outside the cyclic review schedule. A copy of all review reports shall be provided to the CAVP to inform any budget related recommendations.

The conditions of termination of the AISO are included by reference to the BOG AISO regulations cited at 10.014(4)(a)(b)(c)(d).

(j) RESTORE Act.

In August 2014, U.S. Treasury Department released the Interim Final Rulemaking for the RESTORE Act. The Florida Institute of Oceanography (FIO) was designated as the Gulf Coast State Entity responsible for administering and coordinating Florida's RESTORE Act Centers of Excellence Program (FLRACEP).

Treasury required FIO to formulate a plan to monitor and minimize conflict of interest within FIO. To do so, several Memoranda of Understanding (MOUs, Appendix E) were executed by the FIO Director and USF, as the Host Institution. These MOU's are to ensure that all RESTORE Act activities are to be handled by the FIO Director, FLRACEP Program Director, FIO Budget Director and the FLRACEP Program Management Team. This plan guarantees that all real and perceived conflicts of interest are carefully monitored and minimized, which is necessary to ensure eligibility for all FIO members, who wish to apply for and receive funds through the FLRACEP competitive process approved by the U.S. Treasury Department.



Florida Institute of Oceanography Strategic Plan 2015-2020

July 1, 2015

“Supporting Excellence in Marine Science, Technology and Education”
Through infrastructure, programs, information and people.

Introduction

The Florida Institute of Oceanography (FIO) strategic plan of 2010-2015 focused on education, research and outreach, emphasizing communication, networking and collaboration among members and member organizations and their expectations of the FIO. The goals were largely fulfilled. During this period FIO has expanded its role as an infrastructure support organization³, taken on new responsibilities and activities, expanded its membership to include associate and affiliate member organizations, assumed primary responsibility for allocation and management of RESTORE ACT funding to develop the Florida RESTORE ACT Centers of Excellence Program (FLRACEP) and assumed the operation of the Keys Marine Laboratory.

A comprehensive report (**Florida Institute of Oceanography: Member Survey and Recommendations, 2015**) on the current and prospective status of FIO was prepared based on input from every FIO member and others who hold oversight and leadership positions for FIO. The report was distributed to the Strategic Planning Steering Committee which met in July, August and September, 2015 to discuss the information in the document, review the ambitious nature of the FIO Academic Infrastructure Support Organization (AISO)⁴ and to design the goals, objectives and metrics for an updated strategic plan. All members agreed that the AISO needed to reflect a more realistic and feasible guide for FIO, scaling back the aspirations to a more realistic agenda that can be accomplished within a 5-10 year time frame with the appropriate resources and a reasonable level of participation by the members.

In developing the strategic plan, the following statements guided the committee members' thinking:

³ FIO was chartered by the SUS as a service organization.

⁴ Prepared for the first time in 2009.

- 1) FIO is basically a volunteer organization that has substantial member benefits. FIO is poised to expand its activities. To do so requires an increase in staff and member engagement.
- 2) FIO is a collaborative organization. Goals should complement, not compete with activities of the members and their affiliated organizations.
- 3) FIO should create a mechanism to incentivize members to become more deeply engaged in activities that match their expertise and their organizations' capabilities.
- 4) FIO should marry needs of the state with the expertise of its members.

Mission, Vision and Values

The 2010-2015 mission and vision were reviewed and presented more succinctly. A statement of values has been added.

Mission: FIO is chartered to provide infrastructure support to facilitate collaborative research and education related to Florida's coastal and ocean environment, and to serve as a coordinating body across academia, state and federal agencies, ocean science organizations and the private sector in addressing new opportunities and problems to be solved through research, education and outreach. FIO is an enabler, a facilitator and a coordinator.

Vision: To support excellence in marine science, technology and education through infrastructure, programs, information and people.

“Supporting excellence in marine science, technology and education” will serve as a tagline. Four subcategories are mirrored in the four strategic goals for FIO.

Values:

- **Cooperation, collaboration, coordination and participation** – of members to solve problems related to the coast and oceans, to facilitate the education and training of future marine scientists and to provide research results to others to make science-based decisions.
- **Communication** – among members to leverage the collective vast and deep expertise to benefit Florida.
- **Transparency and accountability** – in all interactions that support the members, member institutions and the SUS.

It is difficult to project goals for five years in this rapidly changing environment, and taking into consideration the role of FIO to enable the research and education of its members, many of the objectives projected in the plan will depend upon the efforts of the members and are not the primary responsibilities of FIO. As FIO has done each year, the Annual Report will include a work plan for the upcoming year with specific objectives to be accomplished. The metrics for these objectives will be developed with more specific targets at that time. Some of the objectives will extend over the entire five years, others may be completed in one or a few of the years. The Annual Report also includes progress and accomplishments for the previous year.

Strategic Goals, Objectives and Metrics

1. INFRASTRUCTURE: FIO will provide physical and financial assets and coordinate the efficient use of the members' expertise and resources to facilitate and support the research of scientific investigators and students, engage external contractual opportunities, and provide community outreach. FIO responsibility in working with members.

The FIO vessels and equipment and the Keys Marine Laboratory are the primary physical assets available through FIO. Member institutions also have a wide array of facilities and equipment that can be shared to strengthen the mission of FIO. An updated inventory of field marine resources will be developed and FIO will take an active role in the management of other shared resources identified by and in the possession of its members.

Objectives:

- Develop methods to ensure equitable distribution of subsidized ship time to SUS members regardless of geographical location.
- Continue to work for the *R/V Bellows* replacement.
- Expand operation of the vessels to include nonmember contracts. For example, the ships could become “field labs” for national maritime manufacturers to test new devices/equipment.
- Ensure efficient utilization and management of ship and laboratory resources to the fullest extent possible.

- Plan and identify funding to update and upgrade facilities at Keys Marine Lab multi-purpose buildings and residence halls in order to increase use by students and other researchers.
- Recommend important equipment upgrades for the vessels by way of the Ship Scheduling and Coordination Committee.
- Develop an inventory of accessible FIO and member assets and identify gaps in resources that need to be filled.
- Develop an FIO curriculum that engages all SUS members.

FIO Metrics:

1. Amount of external funding to increase the total use rate at KML by 25 percent over five years including housing, classroom, dry lab and wet lab space.
2. Number of ship days at sea separated into subsidized and non-subsidized.
3. Number of ship days paid by nonmembers.

Member Metrics:

4. Number of classes taught with FIO resources.
 5. Number of grants awarded to FIO members that include the use of FIO resources.
 6. Number of publications, theses, dissertations and degrees from FIO members and their students that have used FIO resources.
- 2. PROGRAMS:** FIO will seek and provide resources and value-added opportunities for research and educational programs for students at all levels, sustain and build upon the existing programs, and promote new programs and partnerships that expand FIO's role in marine science throughout Florida and the nation. FIO support for member initiatives.

Objectives:

- FIO will coordinate highly specialized courses and training among member institutions in order to have an adequate number of students to assure that offering the program is financially viable, e.g., scientific diving.
- Develop certificate programs for continuing education in disciplines such as marine technology.

- Identify FIO facilities such as KML, aquaria and institutional marine resources as sites for hands-on work to coordinate with on-line courses.
- Initiate more programs for K-12 teachers by providing training and educational materials and seek grant money to support them to engage in these programs.
- FIO will work with members to obtain grants that provide funding for infrastructure and for marine science education.
- Organize an effort to gather and market internships for students in the marine sciences.
- Hold a jobs/informational fair for students to interact with members of the marine industry in Florida.
- Continue to provide leadership for the recovery of the Gulf of Mexico. (e.g., continue to support the Gulf of Mexico University Research Collaborative (GOMURC)

Member Responsibilities:

- Grow and expand the Florida Summer Abroad course and develop other field-oriented courses at KML and other member facilities.
- Organize FIO branded mini-courses to various constituencies to be taught during breaks in the academic year and the summer.

Member Metrics:

1. Number of certificate programs advanced.
2. Number of students completing FIO facilitated courses and training, and the student credit hours (SCH) accumulated.
3. Number of teachers participating in FIO courses.
4. Amount of funding obtained to support teachers in continuing education courses.
5. Amount of new external funding for research infrastructure and marine science education.

3. INFORMATION: FIO will provide a leadership role in communicating scientific information about coastal and marine environments produced by members and

member institutions to benefit the citizens of Florida. FIO and member responsibilities.

Advocacy as a role for FIO is a cross cutting theme which promotes the importance of marine science to Florida as well as the value of FIO as an organization that can synthesize and integrate data into information products. FIO members can provide information, educational opportunities, data and expertise in the marine sciences to investigators, students, businesses, agencies, government, the media and the public, which will benefit from the knowledge in advancing Florida's economy and in making science-based decisions.

Objectives:

- Develop a communications and marketing strategy that promotes the value of FIO as a collective of its members and their broad and deep range of scientific expertise and cost effective research and education resources. It should include, for example, branding FIO via a tagline, new uses for the listserv, developing the newsletter as a mini-magazine, rethinking FIO's role at Ocean's Day in Tallahassee, and preparing economic impact reports, a "sponsored report" or article in *Florida Trend* and a series of fact sheets and multipurpose flyers. The strategy will vary according to the constituency targeted.
- FIO will communicate data on external research dollars FIO members have obtained and the number of jobs this funding supports.
- FIO leadership will communicate personally with legislative and SUS staff about the work and capabilities of FIO.
- FIO will seek an opportunity to report to a BOG committee in order to increase the BOG's familiarity with the work of FIO that the SUS supports.
- FIO will convene workshops that connect people with the expertise to approach unmet needs for research and education and to probe emergent problems in which they can collaborate to develop solutions.
- FIO will prepare comprehensive inventories of talent (member expertise), facilities and equipment and marine stations (see also **People**, "FIO Professionals").
- FIO will maintain a record of interactions it has with all member organizations.

- FIO will attend scientific conferences and present displays of its activities and distribute handouts of its assets and capabilities.

FIO and Member Metrics:

1. Number of visits made to the FIO web site.
 2. Number of conferences FIO attends and delivers presentations.
 3. Number of workshops organized and number of attendees in various categories (e.g., academic, business, government, public).
 4. Amount of external funding (research expenditures) received by FIO members and correlated increase in the number of jobs.
 5. Number of visits to member institutions and purpose for the interaction.
- 4. PEOPLE: FIO members are leaders in marine science programs, organizations and commercial enterprise. The synergy of the member's interests, engagement and expertise will be capitalized upon to support the mission.**

Members of FIO are the lifeblood of the organization. Their expertise spans every discipline within the marine sciences. Members and colleagues at their institutions underpin and enhance the activities for which FIO gains recognition across the state, nation—even the world.

FIO and Member Responsibilities:

- Develop the “FIO Professionals” as a collective of scientists who are working in the field of coastal and ocean science, including members and others within their departments, related disciplines and other organizations. Membership in this group requires only the submission of name, academic rank or title, institution, contact information and a one to two line statement of the research area of interest. FIO members will designate categories and FIO Professionals will check one or two appropriate categories for their entry. The document will be maintained on-line and made available to anyone in the state who would benefit from this information. An alert will be sent to, for example, businesses, governments, universities, agencies and a hard copy made available if requested.
- Develop partnerships with members of consortia of other states to increase student and faculty exchanges in the coastal and ocean sciences.

FIO Responsibilities

- Establish new, regular or *ad hoc* committees such as a field lab committee, business relations and development committee, as needed.
- Expand the existing Board of Visitors by adding SUS Academic Vice Presidents and Research Vice Presidents, and others such as a mayor, a port director, an individual engaged in the tourism and restaurant industries, the High Tech Corridor and a power company.

FIO Metrics:

1. Number of individuals enrolled as FIO Professionals.
2. Number of new partnerships and MOUs illustrating the expanding network of FIO influence.
3. New relationships with other state-wide consortia and Florida coastal and ocean organizations.
4. Expand the membership of the Board of Visitors with new Key Opinion Leaders (KOL) members.
5. Number of requests from state and community governments and organizations for information and advice regarding coastal and marine issues and problems.

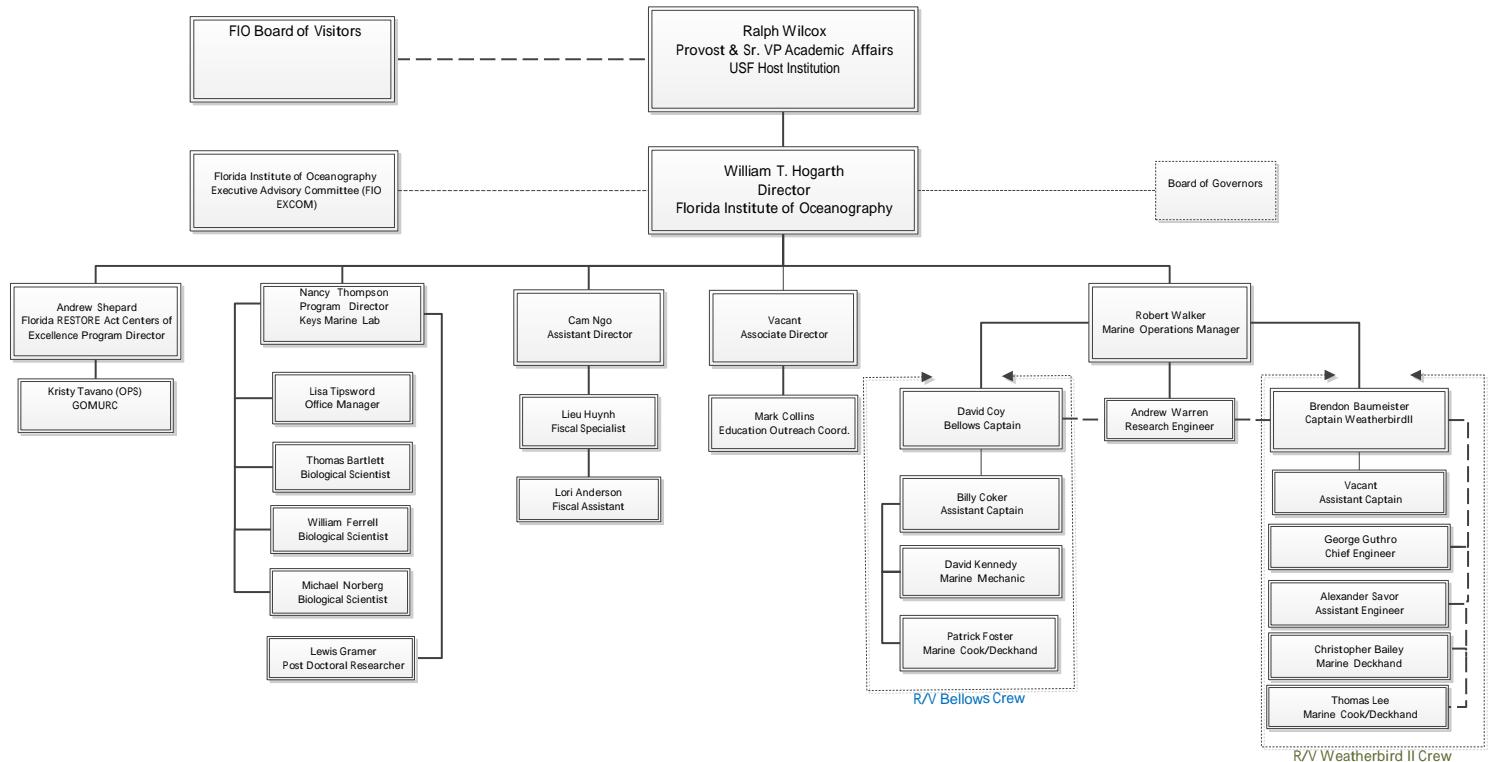
The **Florida Institute of Oceanography: Member Survey and Recommendations** report lists four possible models to capture the roles and responsibilities for FIO into the future. The Strategic Planning Group settled on a modification of the third suggested model as the most appropriate:

FIO is an organization that will provide infrastructure and broad support for marine research and education, at enhanced levels compared with the present, and promote its leadership in marine science to multiple constituencies within the state and nation.

Appendix A: FIO Organizational Chart

As of 9/23/2015

Florida Institute of Oceanography



Hosted by:



Appendix B: FIO Business Operations Plan



FLORIDA INSTITUTE OF OCEANOGRAPHY Business Operations Plan

The Florida Institute of Oceanography (FIO) will provide affordable vessel platforms, and marine lab support to FIO member organizations, state government organizations, and non-governmental entities. This will be accomplished by operating and providing the *R/V Weatherbird II*, the *R/V Bellows* and the *Keys Marine Laboratory* (KML) on a fee basis as defined below. In addition, FIO will provide based on a competitive, peer-review process, no-cost basis to successful applicants from the FIO member institutions under the SUS Program.

Operational revenue will be generated by daily charges for the use of the *R/V Weatherbird II*, the *R/V Bellows* and the *KML*. Additional revenue support may be allocated from the Florida Legislature and will be utilized to fund the SUS program which is awarded to member institutions through a competitive process which requires a 10% match from the successful grantee.

Daily Operations:

Research Vessels/Marine Facility

Ship time will be provided and revenue generated as described below. Rates are subject to change based on fuel, food and maintenance costs, however, at least one year's notice will be given:

1. The SUS program for vessel and KML usage will be awarded to member institutions through a peer-review process.
 - a. Awards are based on competitive proposals released and submitted to FIO.
 - b. Total awarded days are based on funds allocated by the Florida Legislature and daily operational costs. (See Appendix C: Five-Year Budget.)
2. The SUS program will be provided to University researchers, and other governmental agencies that meet the FIO mission.
 - a. The daily rate is \$10,000 per day for the *R/V Weatherbird II*, \$5,200 per day for the *R/V Bellows* and the current rate at KML (See KML Rate Sheet)

- b. Costs is dependent on fuel costs, food costs and repairs and maintenance.
- 3. Ship time will be marketed and provided to commercial non-governmental entities at a daily rate of \$12,500 per day for *R/V Weatherbird II* and \$7,500 for the *R/V Bellows*.
 - a. Rates are based on a 24-hour operations day and are all-inclusive.
 - b. One ship day is the basic unit of charge. Daily charges are not prorated or adjusted for number of passengers or transit vs. station time.

Aside from the SUS program, KML offers other services that generates revenue. Revenue generated at KML include use of facility's short term-long-term housing, boat use, classroom/meeting room, wet/dry lab facilities, Seawater System and use and other equipment as needed for researchers to conduct courses or research. Rate schedule can be found on the Keysmarinelab.org website and in Appendix D: KML Rate Schedule. Rate Schedule is subject to change, for accuracy and up to date information, contact the business office.

Reserves:

Profit generated from vessel and marine lab operations will be utilized to provide a reserve.

- 1. FIO will maintain a reserve of \$250,000 to cover unforeseen emergency repairs at the KML. The reserves will be placed in an FIO 00HOLD account.
- 2. FIO will build a reserve in order to plan for future repairs and maintenance issues, shipyard costs, maintenance issues and purchases of "state of the art" scientific equipment for the research vessels.

Future Markets:

Major research programs in the Florida/Atlantic/Gulf of Mexico/Caribbean region are underway or under development at the state and federal level and will provide additional market opportunities. The following are some examples:

- 1. Florida Governor's Climate Action Team research recommendations in anticipation of climate change.
- 2. Florida Oceans and Coastal Council research recommendations emphasizing monitoring, mapping, and climate change research including ocean acidification.

3. Environmental impact of potential Gulf of Mexico and West Florida Shelf oil and gas exploration.
4. Red tide research (FWRI and cooperating universities).
5. Increased concern with sustainable fisheries in Florida.
6. There are additional opportunities to expand operations in the greater Caribbean Sea with an appropriate vessel.
7. Research funded through the RESTORE Act for the Centers of Excellence
8. Research Programs provided through the Gulf of Mexico Research Initiative (GoMRI)
9. Research opportunities in Cuban waters.

Appendix C: Five-Year Budget Forecast

Florida Institute of Oceanography
5-Yr Budget Forecast
2015-2020

	2015-2016				2016-2017				2017-2018				2018-2019				2019-2020			
	State Support (E&G)	R/V Bellows Auxillary	R/V Weatherbird II Auxillary	Keys Marine Lab Auxillary	State Support (E&G)	R/V Bellows Auxillary	R/V Weatherbird II Auxillary	Keys Marine Lab Auxillary	State Support (E&G)	R/V Bellows Auxillary	R/V Weatherbird II Auxillary	Keys Marine Lab Auxillary	State Support (E&G)	R/V Bellows Auxillary	R/V Weatherbird II Auxillary	Keys Marine Lab Auxillary	State Support (E&G)	R/V Bellows Auxillary	R/V Weatherbird II Auxillary	Keys Marine Lab Auxillary
Authorized Operating Budget																				
State Support (E&G)	\$2,829,197	\$0	\$0	\$0	\$2,829,197	\$0	\$0	\$0	\$2,829,197	\$0	\$0	\$0	\$2,829,197	\$0	\$0	\$0	\$2,829,197	\$0	\$0	\$0
E&G Fringes	\$428,629	\$0	\$0	\$0	\$428,629	\$0	\$0	\$0	\$428,629	\$0	\$0	\$0	\$428,629	\$0	\$0	\$0	\$428,629	\$0	\$0	\$0
Authorized Operating Budget	\$0	\$386,250	\$800,000	\$230,000	\$0	\$416,000	\$850,000	\$236,900	\$0	\$416,000	\$900,000	\$244,007	\$0	\$450,500	\$997,500	\$251,327	\$0	\$450,500	\$997,500	\$258,867
Est. Total Authorized Budgets	\$3,257,826	\$386,250	\$800,000	\$230,000	\$3,257,826	\$416,000	\$850,000	\$236,900	\$3,257,826	\$416,000	\$900,000	\$244,007	\$3,257,826	\$450,500	\$997,500	\$251,327	\$3,257,826	\$450,500	\$997,500	\$258,867
Authorized Expenditure Budget																				
Salaries-Faculty/AP/Staff/OPS	\$1,313,582	\$10,000	\$22,500	\$45,000	\$1,352,989	\$10,300	\$23,175	\$46,350	\$1,393,579	\$10,609	\$23,870	\$47,741	\$1,435,387	\$10,927	\$24,586	\$49,173	\$1,478,448	\$11,265	\$25,324	\$50,548
Fringes	\$428,629	\$2,500	\$850	\$2,000	\$441,488	\$2,575	\$876	\$2,060	\$454,733	\$2,652	\$902	\$2,122	\$468,374	\$2,732	\$929	\$2,185	\$482,426	\$2,814	\$957	\$2,251
Travel	\$22,000	\$1,000	\$1,000	\$18,000	\$22,660	\$1,030	\$1,030	\$18,540	\$23,340	\$1,061	\$1,061	\$19,096	\$24,040	\$1,093	\$1,093	\$19,669	\$24,761	\$1,126	\$1,126	\$20,259
Telephone & Telecommunications	\$16,000	\$30,000	\$40,000	\$7,500	\$16,480	\$30,900	\$41,200	\$7,725	\$16,974	\$31,827	\$42,436	\$7,967	\$17,484	\$32,782	\$43,709	\$8,195	\$18,008	\$33,765	\$45,020	\$8,441
Contractual Services	\$252,000	\$2,500	\$2,000	\$15,000	\$259,960	\$2,575	\$2,060	\$15,450	\$267,347	\$2,652	\$2,122	\$15,914	\$275,367	\$2,732	\$2,185	\$16,391	\$283,628	\$2,814	\$2,251	\$16,883
Computer Related Materiel/Supplies	\$2,000	\$500	\$1,000	\$1,000	\$2,060	\$515	\$1,030	\$1,030	\$2,122	\$530	\$1,061	\$1,061	\$2,185	\$546	\$1,093	\$1,093	\$1,993	\$2,251	\$563	\$1,126
Motel, Supplies & Equipment	\$21,000	\$35,000	\$150,000	\$40,000	\$21,630	\$36,050	\$154,500	\$41,200	\$22,279	\$37,132	\$159,135	\$42,436	\$22,947	\$38,245	\$163,909	\$43,709	\$23,636	\$39,393	\$168,826	\$45,020
Repairs, Maintenance, Renovation	\$453,000	\$42,000	\$150,000	\$30,000	\$476,890	\$43,260	\$154,500	\$30,900	\$491,197	\$44,588	\$159,135	\$31,827	\$505,933	\$45,895	\$163,909	\$32,782	\$521,111	\$47,271	\$168,826	\$33,765
Risk Management	\$0	\$10,000	\$40,000	\$0	\$0	\$10,300	\$41,200	\$0	\$0	\$10,609	\$42,436	\$0	\$0	\$10,927	\$43,709	\$0	\$0	\$11,255	\$45,020	\$0
Food	\$0	\$20,000	\$30,000	\$0	\$0	\$20,600	\$30,900	\$0	\$0	\$21,218	\$31,827	\$0	\$0	\$21,855	\$32,782	\$0	\$0	\$22,510	\$33,765	\$0
Fuel	\$0	\$60,000	\$70,000	\$10,000	\$0	\$61,800	\$72,100	\$10,300	\$0	\$63,654	\$74,263	\$10,609	\$0	\$65,564	\$76,491	\$10,927	\$0	\$67,531	\$78,786	\$11,255
Other Operating Expenses	\$230,000	\$20,000	\$3,650	\$56,000	\$236,900	\$20,600	\$3,760	\$50,000	\$244,007	\$21,218	\$3,872	\$51,500	\$251,327	\$21,855	\$3,988	\$53,045	\$258,867	\$22,510	\$4,108	\$54,636
Reserves (KML)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Bellows Replacement Commitment	\$500,000	\$0	\$0	\$0	\$250,000	\$0	\$0	\$0	\$250,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Shipped (Bellows/Weatherbird II)	\$0	\$150,000	\$250,000	\$0	\$0	\$70,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$275,000	\$0	\$0	\$0
Est. Total Authorized Expenditures Budget	\$3,248,211	\$383,500	\$761,000	\$224,500	\$3,080,657	\$310,505	\$525,330	\$223,558	\$3,165,577	\$247,720	\$542,120	\$230,262	\$3,003,044	\$305,152	\$833,383	\$237,169	\$3,093,136	\$262,806	\$575,135	\$244,285
Est. Ending Operating Balance	\$9,615	\$2,750	\$39,000	\$5,500	\$177,169	\$105,495	\$323,670	\$13,345	\$92,249	\$168,280	\$357,880	\$13,745	\$254,782	\$145,348	\$164,117	\$14,158	\$164,690	\$187,694	\$422,365	\$14,582

Notes:

FY 2016-2020

Allow for 3% increase in expenditures

FY 2016-17

Bellows rate \$5,200/day; WB rate \$10,500

Projected Days Bellows: 85WB: 85

FY 2017-18

Bellows rate \$5,200/day; WB rate \$10,000

Projected Days Bellows: 85WB: 90

FY 2018-19

Bellows or (NEW RV FIO) rate to \$5,300/day; WB increase to \$10,500/day

Projected Days Bellows (or NEW RV FIO): 85WB: 95

FY 2019-20

Bellows or (NEW RV FIO) rate \$5,300/day; WB rate \$10,500/day

Projected Days Bellows (or NEW RV FIO): 85WB: 95

Appendix D: MOU between FIO/USF-DSR for Reduced Indirect Cost Agreement



FLORIDA INSTITUTE OF OCEANOGRAPHY

830 First Street South
St. Petersburg, Florida 33701
Telephone: (727) 553-1100
Fax: (727) 553-1109



February 25, 2015

Re: USF-DSR & FIO Reduced Indirect Costs Agreement

Dear President Genshaft, Provost Wilcox and Dr. Sandberg;

Thank you all for taking the time last Friday, February 20th to discuss the role of FIO as a statewide Academic Infrastructure Support Organization (AISO) and particularly the Indirect Cost Rate(s) concerns raised by some members.

It is my understanding from our conversation, as the Host Institution, the University of South Florida, its Division of Sponsored Research in Tampa (USF/DSR) and the Florida Institute of Oceanography (FIO) have agreed to a reduced Indirect Cost Rate of 10% for FIO submitted proposals and contracts. FIO will work with DSR on proposal and/or contract submissions to the appropriate funding agencies to ensure FIO proposals, contracts and practices meet the required application guidelines set by granting agencies.

USF's commitment to support FIO with a reduced Indirect Cost rate for FIO is greatly appreciated as it will allow FIO to enable the maximization of valuable resources to be directed to oceanographic research and education as envisioned by the Florida State Legislature and the Florida Board of Governors (BOG).

Thank you for your continued support.

Sincerely,

William T. Hogarth, Ph.D.
Director
Florida Institute of Oceanography

Concurrent:


Judy Genshaft
USF System President


3/4/15
Date


Dr. Ralph Wilcox
Provost & Executive Vice President
of Academic Affairs


2/27/2015
Date

Appendix E: MOU between USF and FIO Regarding Roles and Responsibilities for Centers of Excellence Research Grant Program



Memorandum Of Understanding Between The University Of South Florida Board Of Trustees And The Florida Institute Of Oceanography Regarding Roles and Responsibilities for Centers of Excellence Research Grant Program

The University of South Florida Board of Trustees ("USF"), a Public Body Corporate of the State of Florida, and the Florida Institute of Oceanography ("FIO"), a State University System Academic Infrastructure Support Organization for the State of Florida currently hosted by USF and established by Florida Board of Governors Regulation 10.014, hereby enter into this Memorandum of Understanding ("MOU") to clarify their respective roles and responsibilities under the Resources and Ecosystems Sustainability, Tourist Opportunities, and Revived Economies of the Gulf Coast States Act of 2012 ("RESTORE Act").¹ As evidenced by the signatures below, the following paragraphs are understood and agreed to by USF and FIO.

1. The RESTORE Act establishes a Gulf Coast Restoration Trust Fund in the Treasury of the United States, which is funded by civil penalties arising from the 2010 *Deepwater Horizon* oil spill. RESTORE Act funds collected by the Department of the Treasury ("Treasury") will be paid out in several defined areas, including the establishment of Centers of Excellence Research Grant Programs ("CERGP") in the five Gulf Coast states affected by the oil spill. The RESTORE Act designates FIO as Florida's Gulf Coast State Entity to carry out the CERGP for the State of Florida.
2. FIO is hosted by USF pursuant to sec. 1004.33 (5) (b), Florida Statutes, which requires USF, as FIO's host institution, to provide administrative services to FIO, including but not limited to, support for accounting, legal, banking, audit, payroll and general grants

¹ Academic Infrastructure and Support Organizations (AISOs) provide underlying technology, equipment, facilities, services, and resources for academic programs and research in the State University System of Florida. Such organizations must be approved by the Board of Governors (BOG) and may use "Institute" or "Center" in their names. Although each AISO's operational budget shall remain in the base of its host institution, the BOG may consider additional budget requests accompanied by recommendations, positive or negative, from the State University System Council of Academic Vice Presidents (CAVP).

10.014 (1): Academic Infrastructure and Support Organizations

http://www.flbog.edu/documents_regulations/regulations/10_014_Academic_Infrastructure_and_Support_Org.pdf

administration. Pursuant to Florida Board of Governors Regulation 10.014, FIO's purpose is to provide scientific expertise in support of Florida's state-wide ocean science education and research programs. Neither the Florida Board of Governors nor the Florida Legislature intended for FIO to have an extensive administrative infrastructure, but instead to obtain needed services from its host institution. This structure has been in place for decades and was in place at the time the RESTORE Act was enacted and Treasury regulations regarding the RESTORE ACT were finalized.

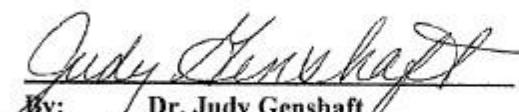
3. This MOU shall serve as an internal delegation that will permit FIO to become the Authorizing Official to submit CERGP applications utilizing its unique Dun and Bradstreet D-U-N-S Number. The delegation will also permit FIO to accept awards under the CERGP. CERGP funds will be deposited in a unique USF account and segregated from other USF funds and only accessible by FIO, absent good faith allegations by USF of incompetence or misconduct on the part of FIO. All decisions regarding the disbursement of CERGP funds shall reside exclusively with FIO and shall be made pursuant to FIO's established processes for carrying out its functions as the Gulf Coast Entity for the State of Florida under the RESTORE Act.
4. USF and FIO shall cosign all required certifications and assurances, and agree to the terms and conditions, that are required of Treasury's RESTORE Act grant recipients as a condition of receiving a grant. These certifications, assurances, and terms and conditions shall be reviewed according to USF's standard processes, which includes review by USF's Office of the General Counsel and USF-ORI.
5. USF will not participate in the execution of external scientific review of prospective subawards. Rather, FIO's CERGP Management Team will make the final award of CERGP subawards following external scientific review. USF will not review, revise or restrict FIO's decisions regarding the award and disbursement of RESTORE Act funds provided that USF, in its reasonable discretion, determines that funds are not subject to abuse or mismanagement by FIO. Consistent with its long established practice, USF will not direct FIO's day-to-day operations and decision-making, including but not limited to, all programmatic decisions regarding CERGP, absent documented misconduct or incompetence on behalf of FIO.
6. FIO agrees to assume primary responsibility for compliance with the RESTORE Act and funds received. FIO also agrees to be the primary point of contact with Treasury regarding CERGP, but FIO may designate or refer matters to appropriate administrative divisions within USF in response to requests from Treasury or from Treasury's Office of Inspector General for RESTORE Act award information or documentation.

Notwithstanding the foregoing, FIO and USF shall be jointly and severally liable for compliance with CERGP requirements.

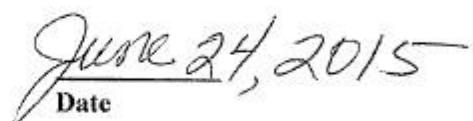
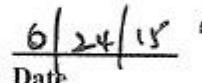
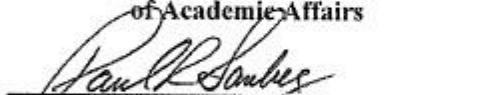
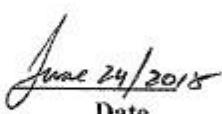
7. FIO and USF understand that Treasury will rely upon this MOU in evaluating FIO's application for an award under Section 1605 of the RESTORE Act.

**BY THEIR DULY AUTHORIZED SIGNATURES BELOW, THE PARTIES
HEREBY ENTER INTO THIS MOU:**

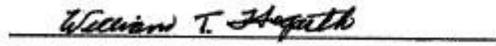
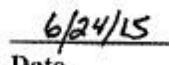
**For the UNIVERSITY OF SOUTH FLORIDA
BOARD OF TRUSTEES:**



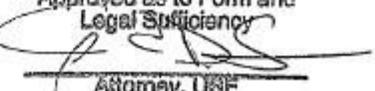
By: Dr. Judy Genshaft
Position: President, USF System


Date
By: Dr. Ralph Wilcox
Position: Provost & Executive Vice President
of Academic Affairs
Date
By: Dr. Paul R. Sanberg
Position: Senior Vice President for Research,
Innovation & Economic Development
Date

For the FLORIDA INSTITUTE OF OCEANOGRAPHY:


By: Dr. William T. Hogarth
Position: Director, Florida Institute of Oceanography
Date

Approved as to Form and
Legal Sufficiency


Attorney, USF