

## C1. Fiscal Resources

The school has financial resources adequate to fulfill its stated mission and goals. Financial support is adequate to sustain all core functions, including offering coursework and other elements necessary to support the full array of degrees and ongoing operations.

**1) Describe the school's budget processes, including all sources of funding. This description addresses the following, as applicable:**

There are seven main sources of revenue that comprise the college's budget: (1) tuition and fees collected based on credit hours taught by college faculty; (2) state support to cover additional costs associated with the education and research missions of the college, such as the hiring of additional faculty; (3) grants and contracts awarded to college faculty; (4) revenues generated by faculty who provide clinical and consulting services; (5) tuition and fees generated by self-funded educational programs delivered by the college without direct state support; (6) gifts, donations, and expendable funds from the college's endowment; and (7) other support such as the College of Medicine's share of the costs of support to the Departments of Biostatistics and Epidemiology.

Each spring after the Governor of the State of Florida signs the legislation authorizing the state's budget for the following fiscal year, the University of Florida releases to each college the state portion of its budget. The specific budget amount includes (a) tuition and fees collected by the college during the prior academic year, (b) funds to cover faculty and staff raises, and (c) resources for new faculty positions associated with special educational and research initiatives authorized by the legislature. At the college level, the dean decides on specific departmental budget allocations, taking into account departmental productivity (i.e., student credit hours taught during the prior year) and the assignment of new faculty positions associated with legislative mandates. Funds emanating from contracts and grants, philanthropy, clinical and consulting services, and self-funded educational activities are distributed to the departments based on the departments' contributions to generating those revenues.

**a. Briefly describe how the school pays for faculty salaries. If this varies by individual or appointment type, indicate this and provide examples.**

Faculty salaries are fully guaranteed. The sources of funding for faculty salaries vary by individual. For example, faculty members who have 40% of their assigned effort committed to extramurally funded research have 40% of their salaries paid by the associated grants or contracts, and the remaining 60% paid by state revenues to cover the portion of the faculty members' effort associated with teaching and service. Similarly, faculty members who provide clinical services or teach within the college's self-funded educational program have the corresponding portions of their salaries funded by clinical or self-funded revenues.

**b. Briefly describe how the school requests and/or obtains additional faculty or staff (additional = not replacements for individuals who left). If multiple models are possible, indicate this and provide examples.**

There are two mechanisms for obtaining funding for additional faculty positions. The first involves initiatives authorized by the legislature. The second encompasses plans that emanate from within the college.

Over the past seven years, there have been two programs authorized by the legislature to expand the size of the faculty at the University of Florida. These initiatives were designed to enhance the national and international stature of the university's scholarly and academic endeavors by expanding leading-edge programs of research and improving educational programs via reductions in class sizes and the overall student/faculty ratio.

The first program, labeled “The Preeminence Initiative,” was designed to attract 100 senior scholars with outstanding records of research accomplishments to the University of Florida. From 2014-2016, each college at the University of Florida submitted competitive applications for the hiring of preeminence faculty across 12 areas of research in which the university already had nationally recognized strengths and had the potential for developing international renown. The College of Public Health and Health Professions gained approval for 10 new faculty positions from this initiative (five more than the number expected based on the size of the college’s faculty). Six of these positions are in departments with public health programs and four are in departments with health professions programs (see table below).

<b>Table C1-1a: New Faculty Positions in the College Acquired Through the Preeminence Initiative</b>		
<b>Faculty</b>	<b>Department</b>	<b>Focus Area</b>
Somnath Datta, PhD, MS	Biostatistics	Genomic Medicine
Susmita Datta, PhD, MS	Biostatistics	Metabolomics
Kimberly Driscoll, PhD	Clinical and Health Psychology	Early Childhood Development
Russell Hepple, PhD	Physical Therapy	Muscle Biology
Zhigang Li, PhD, MS, MPH	Biostatistics	Informatics
Anthony Maurelli, PhD	Environmental and Global Health	Emerging Pathogens
Gordon Mitchell, PhD	Physical Therapy	Neuroscience and Brain
Mattia Prosperi, PhD, MEng	Epidemiology	Informatics
Glenn Smith, PhD	Clinical and Health Psychology	Neuroscience and Brain
Jinying Zhao, MD, PhD, MS	Epidemiology	Informatics

The second program, known as the “Faculty 500 Initiative,” was authorized by the Florida Legislature to help the university enhance its educational effectiveness by reducing class sizes to 49 or fewer students and lowering the overall student/faculty ratio from 21/1 to 17/1. From 2017 to 2019, each college at UF submitted competitive applications for new faculty positions to reduce class size, lower the student/faculty ratio, and enhance the quality of the educational experiences for our students. The College of Public Health and Health Professions succeeded in securing 26 additional faculty positions through this initiative (a greater number of positions than any of the other five colleges in the UF Academic Health Center). Eleven of these positions are in departments with public health programs and 15 are in departments with health professions programs (see table C1-1b).

<b>Table C1-1b: New Faculty Positions in the College Acquired Through the Faculty 500 Initiative</b>	
<b>Faculty</b>	<b>Department</b>
Candice Adams-Mitchell, SLPD, MS	Speech, Language, and Hearing Sciences
Shakeel Ahmed, PhD, MPT	Physical Therapy

Keith Benson, PhD, MBA, MHA	Health Services Research, Management and Policy
Eric Coker, PhD, MS	Environmental and Global Health
Santanu Datta, PhD, MBA, MS	Health Services Research, Management and Policy
Sharon Difino, PhD	Speech, Language, and Hearing Sciences
Joy Gabrielli, PhD, MA	Clinical and Health Psychology
Carolyn Hanson, PhD, MA	Occupational Therapy
Ara Jo, PhD, MS	Health Services Research, Management and Policy
Lindsey King, PhD, MPH	Health Services Research, Management and Policy
Jessica Kramer, PhD, MS	Occupational Therapy
John Kramer, PhD, AM	Occupational Therapy
C.J. Liu, PhD, MS	Occupational Therapy
Catalina Lopez-Quintero, PhD, MPH, MD	Epidemiology
Qing Lu, PhD, MS	Biostatistics
Matthew Masapollo, PhD, MS	Speech, Language, and Hearing Sciences
Rebecca Pearl, PhD	Clinical and Health Psychology
Purna Poojary, PhD, MRS	Occupational Therapy
Federico Pozzi, PhD, MA	Physical Therapy
Arkaprava Roy, PhD, MS	Biostatistics
Jerne Shapiro, MPH	Epidemiology
Zheng Wang, PhD, MDBS, MS	Occupational Therapy
Sarah Westen, PhD, MS	Clinical and Health Psychology
Rachel Yoho, PhD	Environmental and Global Health
Yichao Yu, PhD, MS	Biostatistics
Zulma Santiago Zayas, MA	Speech, Language, and Hearing Sciences

In addition to state-funded new positions, the college is permitted to create new faculty or staff positions, provided that the college can arrange funding from existing resources. Chairs may request dean's approval to create a new faculty or staff position by providing a *pro forma* business plan that includes the rationale for adding the new position along with details showing the source(s) of funding. Revenues for new positions may come from salary savings that have accrued from grants and contracts on existing faculty positions or income generated by self-funded educational programs or clinical/consulting service activities.

**c. Describe how the school funds the following:**

**a) operational costs (schools define "operational" in their own contexts; definition must be included in response)**

Non-salary expenses (except for those associated with specific grants or contracts) are classified as "operational costs." Expenditures for laboratory and office equipment and supplies, computing hardware and software, educational materials (including the studio for recording teaching videos), expenses related to the recruitment of faculty and staff,

and expenditures associated with travel for faculty, staff, and invited speakers are considered operational costs. These expenses are incorporated in the college budgetary process. The budget allocations for each department include funds for operational expenditures, as well as faculty and staff salaries and benefits and student support.

**b) student support, including scholarships, support for student conference travel, support for student activities, etc.**

The college provides a variety of mechanisms to support students including scholarships, fellowships, teaching and research assistantships, and funds to assist with various student activities including travel to conferences. A sampling of some of these student support mechanisms are described below.

- **College and Department Funded Awards** provide PhD students with 0.50 FTE research or teaching assistantships that include a stipend of \$25,000 or more per year, plus health insurance, and a full waiver of tuition. All PhD students in the college are guaranteed an assistantship with this level of support or greater.
- **Graduate School Funding Awards** are offered by the college to a select number of incoming PhD students as 0.50 FTE assistantship for four years at \$31,000 per year or for five years at \$25,000 per year. These awards include health insurance and full waiver of tuition and fees.
- **McKnight Doctoral Fellowships** for African American and Hispanic students are administered by the Office of Graduate Diversity Initiatives in partnership with the Florida Education Fund. Each fellow receives a base stipend of \$26,080 with health insurance and a waiver of tuition and fees for up to five years
- **McNair Graduate Assistantship Program** provides support for PhD students who have successfully completed the McNair Post-Baccalaureate Achievement Program. This assistantship includes a base stipend of \$26,080, in-state tuition and fees, and health insurance for up to four years.
- **Delores Auzenne Dissertation Award** offers funding to underrepresented PhD candidates in the advanced stages of their dissertations who need additional financial assistance to complete their degrees. The award provides up to \$15,000 and five credit hours of in-state tuition and fees.
- **Graduate School Doctoral Dissertation Awards** provide need-based support to PhD students in final stages of degree completion who have exhausted other sources of funding. The award provides up to \$15,000 and five credit hours of in-state tuition and fee assistance to allow recipients the time and resources to focus exclusively on the completion of their dissertations.
- **Supplemental Retention Scholarships** are provided by the Office of Graduate Diversity Initiatives for UF doctoral students who are three or fewer semesters away from graduation but are no longer eligible to receive a fellowship, assistantship or other funding from their department or college. These scholarships provide financial support for three credit hours of in-state tuition in the fall and spring semesters and two credit hours in the summer.
- **Grinter Fellowships** provide \$2,000 to \$4,000 per year to supplement 0.50 FTE funding of \$25,000 per year to help recruit truly exceptional students to graduate degree programs at UF.

- **Miscellaneous Scholarships, Gifts, and Awards** include 96 individual scholarships (42 of which are endowed), eight student research awards (three endowed) and four student travel/professional development awards (two endowed).

**c) faculty development expenses, including travel support. If this varies by individual or appointment type, indicate this and provide examples.**

There are three key mechanisms that support faculty development including travel support.

**Department and college support:** On initial hire, faculty are provided with start-up resources from the department and college that include funds for travel and professional development. Some departments provide faculty with annual allotments for professional development while others provide support on a case by case basis upon faculty request.

**Support from Indirect Cost returns:** Faculty who are principal investigators on grants, contracts, or sub-awards generally receive 10% of the total indirect costs associated with the portion of the grant or contract that they oversee. This source of revenue is earmarked for faculty use to facilitate their effectiveness in future research endeavors, thereby providing funds for professional development.

**University support:** The university provides “Faculty Enhancement Opportunity (FEO)” awards to advance the academic, professional and scholarly abilities of full-time faculty members. While similar to sabbaticals, FEOs are more flexible in nature and duration than traditional sabbaticals. They may include a full-time activity over the course of a semester or intermittent activities over the course of an entire year. FEO funds cover salary/benefit offset for the faculty member who is away from campus and may include travel costs and fees for conferences or similar learning experiences. Applications for FEOs are accepted each semester, and most applications are approved.

**d. In general terms, describe how the school requests and/or obtains additional funds for operational costs, student support and faculty development expenses.**

For the most part, funds for operational costs, student support and faculty development are incorporated in the college’s base budget. Exceptions include FEO funding and selected student scholarships, fellowships and assistantships, which are awarded on a formulaic or competitive basis by other units on campus such as the Provost’s Office for FEOs or the Graduate School for student support. In addition, the Offices of the Provost and the Senior Vice President for Health Affairs consider special funding requests at the request of the dean on an ad hoc basis.

**e. Explain how tuition and fees paid by students are returned to the school. If the school receives a share rather than the full amount, explain, in general terms, how the share returned is determined. If the school’s funding is allocated in a way that does not bear a relationship to tuition and fees generated, indicate this and explain.**

The University Budget Model determines the annual amount of revenue that the college receives from state sources. There are two components to this computation. The first involves tuition and fees based on the number of student credit hours delivered by faculty teaching (minus “taxes” assessed according to the total square footage occupied by the college). The college receives 70% of the tuition for courses taught within the college and 30% of tuition for all courses taken by students matriculated in the college’s degree programs. The second component, known as the “state support,” provides an additional amount (derived originally from calendar year 2015) to provide support for education and research activities and includes increments for faculty and staff raises plus allotments for new faculty positions authorized by the legislature (see Section C.1.1 for details). Thus, the

revenues provided to the college exceed the amount of tuition and fees paid by the students in the college.

- f. **Explain how indirect costs associated with grants and contracts are returned to the school and/or individual faculty members. If the school and its faculty do not receive funding through this mechanism, explain.**

Indirect cost (IDC) recovery rates range from 8% to 52.2% depending on the negotiated or allowable charges in specific contracts and grants. The university's Division of Sponsored Programs (DSP) distributes the college's IDCs in a formulaic manner to the principal investigators (10%), departments (7.5%), and centers (7.5%) with the remainder of the pool (minus administrative costs incurred by DSP) to the college (typically ranging from 30% to 40%).

**If the school is a multi-partner unit sponsored by two or more universities (as defined in Criterion A2), the responses must make clear the financial contributions of each sponsoring university to the overall school budget. The description must explain how tuition and other income is shared, including indirect cost returns for research generated by the school of public health faculty appointed at any institution.**

N/A

- 2) **A clearly formulated school budget statement in the format of Template C1-1, showing sources of all available funds and expenditures by major categories, for the last five years.**

<b>Table C1-1c: Sources of Funds and Expenditures Over Past Five Years</b>					
	<b>FY15-16</b>	<b>FY16-17</b>	<b>FY17-18</b>	<b>FY18-19</b>	<b>FY19-20</b>
<b>Funds</b>					
Tuition and Fees	\$15,841,057 <sup>1</sup>	\$13,010,983	\$12,910,978	\$13,013,594	\$13,858,023
State Support	\$4,097,563	\$7,038,764	\$7,943,404	\$9,649,093	\$11,468,396
Grants and Contracts	\$24,329,588	\$28,090,841	\$34,820,550	\$33,937,134	\$32,005,183
Clinical/Consulting Services	\$7,167,311	\$6,923,164	\$7,193,152	\$3,994,729	\$5,279,551
Self-Funded Education Programs	\$3,742,135	\$3,920,518	\$3,373,352	\$3,800,682	\$3,652,650
Gifts and Spendable Endowment	\$868,898	\$931,366	\$1,073,546	\$894,204	\$939,974
Other Support	\$2,191,596	\$1,757,412	\$1,638,108	\$1,487,926	\$994,436
<b>Total</b>	<b>\$58,238,148</b>	<b>\$61,673,048</b>	<b>\$68,953,090</b>	<b>\$66,777,362</b>	<b>\$68,148,213</b>
<b>Expenditures</b>					

Faculty Salary and Benefits	\$20,922,345	\$23,648,688	\$24,873,221	\$25,683,916	\$27,611,605
Staff Salary and Benefits	\$12,344,810	\$13,378,485	\$13,893,910	\$14,688,857	\$15,111,570
Student Expenses	\$7,238,707	\$7,511,117	\$7,551,245	\$8,397,335	\$9,367,869
Operations	\$8,258,727	\$9,491,751	\$8,980,391	\$11,681,637	\$12,058,398
Subcontracts	\$6,124,120	\$6,717,196	\$12,037,489	\$11,208,215	\$4,907,638
<b>Total</b>	<b>\$54,888,709</b>	<b>\$60,747,237</b>	<b>\$67,336,256</b>	<b>\$71,659,960</b>	<b>\$68,842,458</b>

<sup>1</sup>Tuition and fees in FY15-16 included a weighted increment based on the prior funding model used by the university. For all other years, the dollars reported for tuition and fees reflect the actual amount generated by the college minus taxes to the university based on space occupied by the college.

**If the school is a multi-partner unit sponsored by two or more universities (as defined in Criterion A2), the budget statement must make clear the financial contributions of each sponsoring university to the overall school budget.**

N/A

**3) If applicable, assess strengths and weaknesses related to this criterion and plans for improvement in this area.**

Strengths:

- The University of Florida has a well-established process for funds distribution, with associated policies that are modified periodically to reflect changes in the environment.
- Over the past five years, the state allocation to the college has increased from \$4.1 million to \$11.5 million per year and has included funding for 36 new faculty positions. Tuition and fees generated by the college over the past four years have risen from \$13.0 million to \$13.9 million. Similarly, from FY 15-16 to FY 19-20, the college has increased revenues from contracts and grants from \$24.3 million to \$32.0 million.
- Collectively, the increases in college revenues associated with educational and research activities reflect the high productivity of the college's faculty and a university culture supportive of this success.

Weaknesses:

- The amounts of state revenue (tuition, fees, state allocation) that the college receives each year is often not known in advance of the start of the fiscal year, thereby limiting the college's ability to plan expenditures.

Plans:

- Continue to diversify sources of income to the college.
- The university plans to review the budget model and related processes every five years. This review is slated to begin in FY20-21.

