

## **CoE Faculty RSCA Metric & Assigned Time Guidelines: Academic Year 2020-21**

During the past several academic years, the College of Engineering (CoE) Faculty Research Support Guidelines detailed the requirements for CoE faculty to reduce their teaching load based on research accomplishments (scholarly publications and extramural grants). The University Faculty RSCA Assigned Time Program, introduced in Fall 2018 (henceforth, University RSCA), is intended to achieve similar objective.

The CoE initiative is now merged with the University RSCA program. This document details the *CoE RSCA Metric Data* used to evaluate applications to the University RSCA and other CoE specific extensions. The metric is essentially identical to that adopted by the CoE during the past several years. All CoE faculty seeking research support release time (henceforth, assigned time) should do so by applying to the University RSCA Program.

The AY2010-21 (cycle 3) RSCA assigned time applications will be **due March 27, 2020**. An application packet, instructions, and all relevant documents will be posted on <https://engineering.sjsu.edu/research/> (click on the 'Research' tap at the top of the page).

### **I. AY2019-20 University Faculty RSCA Assigned Time Program (Cycle 3)**

Please refer to the CoE website above for two important documents providing detailed information about the initial University program and updates for cycle 3 (AY 2020-21). The information includes, details of the program, eligibility conditions, expectations, restrictions, the application process, among other information. The CoE website also provides additional CoE specific information.

### **II. CoE RSCA Metric Point System & Additional Granted CoE Assigned Time**

The COE RSCA metric point system evolved over the past several years and is based on refereed research published in quality journals and recognized national/international conference proceedings. It's also based on extramural grants awarded through competitive research proposals to government agencies and the industry, possibly in collaboration with other universities and research institutions.

The CoE adopts a point system as a quantitative metric to assess these achievements. The earned points each year (see below), averaged using a 3.5-year moving average, define the CoE RSCA metric used to assess yearly progress for an individual faculty member.

As stated in the University RSCA documents, provides up to 6 WTU assigned time (two 3 WTU courses release) per academic year. This is the maximum the CoE allows based on publications achievements only. *Budget permitting*, the CoE will provide an additional 3 WTU (one course) release per semester for faculty earning sufficient grant points if the F&A budgeted in the accepted proposal is the full on-campus rate (46% this year). The monetary fraction returned to the CoE from the charged F&A is used to support, in part, granted assigned time and other research initiatives.

To be considered for SJSU RSCA and the CoE extensions stated below, or to continue to receive the award, a faculty member needs to document in the CoE online database yearly publication and grant achievements. Information regarding accessing the online database is posted on the CoE website above. A faculty member must include a summary listing of the achievements as part of the first-time application

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packet and the following yearly progress update. The earned point system detailed below quantifies the CoE RSCA metric.

### A. Earned Points for Refereed Publications

- 1) 1 earned point is credited for each published paper in a journal listed in the Journal Citation Report (JCR) of Impact Factor  $\geq 0.8$ . See item A-6 below for point allocations for co-authored papers.
- 2) Publications in credible journals not listed in the JCR may still be granted  $\leq 1$  earned point if assessed deserving by a committee of three expert reviewers formed by the Department Chair. The reviewers can be from inside or outside SJSU. The committee may use additional quality metrics (e.g., Google Scholar rankings, number of citations, the fraction of submissions accepted by the journal, the journal reputation in the specific specialization area, and other objective evaluation criteria). The committee assessment, approved by the Chair with recommendation for earned points of 0.2 to 1 point must be uploaded to the online database. In the absence of a review, the paper is counted as conference paper, provided that the journal is well known in the related discipline.
- 3) Papers published in predatory journals do not earn any credit (please google “Predatory Journals” for more information). Please check the quality of a journal before submitting a manuscript.
- 4) 0.2 earned point for each reviewed paper presented at a national or international conference. The full text of the paper should be published in the conference proceedings and uploaded to the online database. The conference should be sponsored by well recognized organization in the discipline. A poster presentation counts as 0.1 earned point. Presentations at regional conferences sponsored by regional chapters of organizations do not qualify.
- 5) In *exceptional cases* where a reviewed conference paper is deemed of sufficiently high value, the faculty may petition the Department Chair to initiate a review and assessment process identical to that described in A.2 above for journal papers. The committee report approved by the Chair with a recommendation for an earned point credit between 0.2 and 1 point should be attached to the faculty application. The Department Chair will decide which exceptional cases merit a review. The final decision regarding an allocation of more than 0.2 earned point to a conference paper rests with the AD for Graduate Studies and Research and the Dean in light of the Department recommendation.
- 6) For conference or journal papers with multiple SJSU CoE faculty authors, the point credit will be divided between the authors. The full credit will be allocated to a faculty member if the paper is co-authored by his/her SJSU students, even if the faculty member isn't the first author. A paper co-authored with non-CoE authors will normally receive a fraction of the credit depending on the order of the authorship (50% if second author, 25% if third, 12.5% if fourth, no credit beyond fourth).
- 7) The “Corresponding Author” of a journal or conference paper earns  $\leq 1$  point depending on the number of CoE coauthors sharing the paper credit (see A.6 above). A corresponding author is not just the author who communicates the paper to the editor. He or she is usually the PI of an external grant funding a research team, leads the team, is the primary contributor, coordinates contributions of multiple co-authors, and is responsible for responding to inquiries after the paper is published.

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The corresponding author is usually listed as the last author of team publications. A corresponding author must be identified as such in the published text of the paper. Being the person who corresponded with the editor is not sufficient justification. Justification should be provided online. Standard point credit will be awarded otherwise.

### **B. Earned Points for Externally Funded Research Grants**

Only competitive research grants/contracts submitted through the College of Engineering and channeled through the SJSU Research Foundation are eligible for grant points. This is partly to ensure that fraction of the Facilities and Administrative allocation (F&A) is channeled back to the CoE to be used to support research. Collaborative research grants/contracts submitted jointly with other SJSU Colleges through the Research Foundation are also eligible provided the CoE is credited for its share of the F&A return. Grants to research some aspect of engineering education (e.g., NSF EHR Core Research and similar programs) are within the domain of the research guidelines. The CoE Dean will decide on the eligibility of a specific engineering education grant and may request additional information.

- 1) 0.5 earned point for every \$25K external research grants per 12 months of funding period. The grant amount is divided (quantized) into \$25K increments and 0.5 points are granted for each increment. The earned points do not scale linearly with the grant amount.
- 2) The point credit above requires that the full on-campus Facilities and Administrative (F&A) rate be included in the proposal budget (46.0% this cycle). Should the sponsoring agency not allow recovery of the full F&A rate or for any other reason, the earned points will be scaled down linearly in proportion to the actual F&A rate charged in the budget.
- 3) If the funding extends over more than 12 months, the amount to invoke in a given application cycle is that allocated in the budget for the 12-month period overlapping the cycle year.
- 4) For grants involving multiple investigators, an agreement established upon receiving the award by the Research Foundation should identify the fraction of the total budget credited to each investigator for each 12-month period. The agreement should be uploaded to the CoE online database.
- 5) Instead of the point credit approach described above, a faculty member may elect to earn 1 point for every 20% 'buy-out' time fraction per semester (i.e., 1 point for each 3 WTU buy-out per semester). The buy-out time must be explicitly listed on the cost breakdown of the SJSURF approved grant budget and the F&A must be the full on-campus rate (46%). This is equivalent to 1:1 matching. A faculty may elect to invoke this option, or the other option above, but not both for any given grant.

### **C. Owed Points for CoE Research Support Internal Funding**

- 1- "Owed Points" account for publications and grants achievements expected from faculty internally funded by the College through any of its research support initiatives (e.g, Research Professors, Small Group Projects, etc.). The announcements for these initiatives usually state that publications and grants are expected outcomes for the provided monetary support.

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- 2- One owed point counts for each \$20,000 provided internal CoE funding. Awarded faculty are informed about the expected number of owed points at the time they accept the internal funding. Owed points *accumulate* if a faculty member continues to successfully receive CoE internal research funding. If you owe points, you are required to complete and submit the owed points form with your assigned time application.
- 3- Owed points are cleared by an equal number of publications and/or grants earned points.

### D. CoE RSCA Metric and Course Release (Assigned Time)

The CoE RSCA metric is a moving average of the sum of earned points from publications and grants computed over a period of 3.5 years. (The '0.5' is a result of a compressed half-year period for reporting achievements for the AY2019-20 cycle). The averaging period is shorter to start but increases progressively with time to eventually reach 3.5 years (1 year for the AY2018-19 cycle; 1.5 years for the AY2019-20 cycle; 2.5 years for the AY2020-21 cycle and 3.5 years for the AY2021-2022 cycle and beyond).

- 1- Before the introduction of the SJSU- RSCA program, CoE faculty with no owed points earned 3 WTU release per semester for each earned point, with a maximum of 3 WTU release per semester based on publications only. An additional 3 WTU release required one or more additional *grant points*. A 6 WTU release was also possible based on 2 or more earned grant points with no publication points.

Similar research achievements expectation continues to hold for faculty accepted to the SJSU-RSCA program. The main difference is that the averaged owed points will now be used. One average earned point for publications or grants is expected for each SJSU RSCA 3 WTU release per semester. This is the maximum assigned time granted based on publication achievements only. An additional average earned grant point per semester enables an additional 3 WTU release. This is an extension of the SJSU RSCA to motivate generation of research grants. No assigned time is granted based on fractional points.

- 2- As part of the first SJSU RSCA application, and to continue to receive the award the years to follow, faculty need to document each year (usually in March) in the CoE online database their publication and grant achievements. Information about accessing the online database is provided with the request for applications. Faculty also need to include a summary listing of this information as part of a new application or yearly progress report. The summary listing and corresponding claimed earned points constitute the *CoE RSCA metric data* part of an application.
- 3- The CoE RSCA metric data and reported earned points are reviewed by the CoE AD for Graduate Studies and Research and provided to the Dean as one of two main components for evaluating submitted assigned time applications. The second is the Scholarly Agenda (see I-5 above), submitted only with new applications or, for tenured faculty, after completion of the first 5 years of participation in the program. It's reviewed and evaluated by the CoE Research Committee.

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- 4- For faculty with owed points at the time of applying, the difference between the averaged earned points and owed points (define as “*net points*”) constitutes a modified metric based on which assigned time is assessed. The process above still applies but based on net rather than averaged earned points.

### E. Research Support of Probationary Faculty in Their 1<sup>st</sup> to 4<sup>th</sup> Year of Service

- 1) Faculty in their 1<sup>st</sup> and 2<sup>nd</sup> year of service (without service credit transferred from other institutions), are usually granted up to 6 WTU release per semester as part of their appointment contract. No additional release time is granted through the SJSU RSCA program or the CoE point system.
- 2) Faculty in their 3<sup>rd</sup> year of service may use their cumulative earned points during their 1<sup>st</sup> and 2<sup>nd</sup> years to apply for assigned time in their 3<sup>rd</sup> year. All publications should be based on research completed at SJSU, and all research grants must have originated while at SJSU and were submitted through the SJSU Research Foundation.
- 3) Faculty in their 3<sup>rd</sup> and 4<sup>th</sup> year of service will be granted an additional 3 WTU release for each averaged earned point (net point in case of owed points), effectively *doubling* their assigned time award. The doubling is a CoE incentive to allow faculty close to the starting point of their research career to continue to be released half-time to pursue research if they accumulate  $\geq 2$  average earned points per academic year ( $\geq 2$  net points). The maximum granted assigned time remains 6 WTU per semester. Granted course release can't be “banked” for future academic years.
- 4) The standard policy outlined above applies to all faculty in their 5<sup>th</sup> year and beyond.

### F. Important Limitations

- 1) In this point system, no fractional course release will be given. The maximum research support course release provided through the combined SJSU RSCA and COE RSCA programs is 6 WTU per semester, *subject to availability of funds*.
- 2) If the Department Chair approves, faculty may be able to earn assigned time greater than 6 WTU. Examples are assigned time for performing department or university services or awards from other SJSU programs such as the SJSU Office of Research UGA and other RSCA programs. All faculty members are required to teach at least one course per semester.
- 3) If the combined course release awarded from all sources exceeds 9 WTU a semester, the CoE research support award will be reduced so that the total release (assigned) time is no more than 9 WTU per semester.
- 4) Authored academic textbooks, workforce training grants, equipment acquisition grants, software/hardware donation grants, and similar types of achievements are valuable but do not qualify for earned points under the present CoE RSCA Metric. Only the Dean may make exceptions.