

San Jose State University
Charles W. Davidson College of Engineering
Faculty Research Support Guidelines

Updated Spring 2018 for Academic Year 2018-19 Applications

The College of Engineering (CoE) Faculty Research Support Guidelines (Guidelines for short) are intended to acknowledge achievements by research active faculty and enable time for continued successful research efforts. The support is for tenured and tenure-track faculty in the form of release-time to reduce teaching load.

Recognized achievements include basic and applied *refereed* research published in quality journals and well-recognized national/international conference proceedings. They also include successful grants generation through competitive research proposals to government agencies and the industry, possibly in collaboration with other universities and research institutions.

This document updates the Guidelines for the Academic Year (AY) 2018-19 cycle. Specific updates include:

- 1- Starting this cycle, and as announced in Spring 2017, the application process will follow an academic-year-long cycle. Release-time applications for the fall and spring semesters of a given academic year (AY) will be requested near the end of the spring semester of the prior AY.
- 2- Because of budget constraints, starting this cycle, a maximum of one course release per semester (0.2 release time) will be granted based on journal and conference publications achievements. Release from a second course (a second 0.2 release time) requires securing grants. Release from two courses could be based on secured grants only (no publications). Grants are deemed crucial for sustaining the long-term health of faculty research, enabling publications, conference attendance, student support, and improvement of research infrastructure. Grants also help with the College budget supporting research.
- 3- Starting this cycle, release-time will be granted based on the “averaged” yearly net points (earned points minus owed points; see Sec. C below). This cycle, the average is over 1 year (no averaging), next cycle the average will be over two years, and the cycles to follow the average will be computed as a running (or moving) average of three years duration. This allows clean phase-in of the averaging system disentangled from release-time awards granted the past years.
- 4- Starting AY 2018-19, a proposed SJSU initiative to reduce the teaching load of “[research active](#)” faculty to 3/3 (1/1 course release) may be introduced (no decision made yet). A CoE faculty will be considered research active if her/his publication and grant achievements are deserving of a 1/1 course release according to the CoE Guidelines,

hence correspond to a minimum of 2 yearly averaged net points. Faculty with sufficient *grant* achievements may gain an additional up to 1/1 course release if the yearly averaged net points exceed 3. Internally funded research-related course release is capped at 2/2.

- 5- Starting this cycle, to be considered for any CoE or SJSU research-related teaching load reduction (release-time), faculty will need to document their yearly research achievements using an **online database** (to be announced separately). The database allows better tracking of cumulative achievements over the three years averaging period. You still need to complete and submit an application form and an owed points form. The application form is completed based on the information provided online.

Applications for AY 2018-19 are **due by 4 pm Friday May 04, 2018**. Only **achievements over the full year period 6/1/2017 to 5/31/2018** may be invoked. **Please include ALL your publication and grant achievements** during this 12 months period. Achievements already invoked during prior cycles cannot be invoked again. See Sections A and B of the Guidelines for achievements eligibility conditions.

Please note that this is an evolving initiative enabled by finite CoE supporting budget. The initiative reflects the CoE Dean's vision for utilization of available funding to promote faculty research. The Dean makes final decisions regarding the policy and the fraction of release-time granted to a faculty.

I. Release-Time Guidelines

All tenured/tenure-track faculty are eligible to receive up to 0.4 release time (two courses) per semester, awarded on the basis of measurable research performance, budget permitting. This includes support provided by this initiative as well as *all* other internal CoE research support initiatives. It also includes any teaching load reduction programs initiated by the university starting Fall 2018 or later to support faculty research.

Two types of research performance are considered: publications and external research grants. The point system described below is used to determine the fraction of release-time granted.

A. Earned Points for Publications

- 1) 1 earned point is credited for each published paper in a journal listed in the Journal Citation Report (JCR) and of Impact Factor ≥ 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 ≤ 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 in areas close to the publication area. The review committee may consider other quality metrics,

- including Google Scholar rankings, number of citations, “Influence Factor,” the fraction of submissions accepted by the journal, the journal reputation in the specific specialization area, and other objective evaluation metrics. The committee assessment, approved by the Chair with a recommendation for an earned point credit between 0.2 and 1 point will need to be attached to the faculty application form. In the absence of a review, the paper is counted as conference paper, provided that the journal is well known in the paper’s 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 paper to it.
 - 4) 0.2 earned point for each reviewed paper presented at a conference and the full text published in the conference proceedings. The conference must be a national or international conference sponsored by recognized professional national or international organizations. Regional conferences sponsored by regional chapters of the above organizations are not applicable.
 - 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 recommendation for an earned point credit between 0.2 and 1 point should be attached to the faculty application. Because of the time and effort demands imposed by the review process, a Department Chair is at liberty to decide which exceptional cases merit completion of a review. The final decision regarding allocation of more than 0.2 earned point to a conference paper rests with the Associate Dean for Graduate Studies and Research and the Dean in the light of the Department recommendation.
 - 6) For conference or journal papers with multiple SJSU CoE faculty authors, the points credit will be divided up by the authors among themselves. The full credit will be allocated to a faculty if the paper is co-authored by his/her [SJSU students](#), even if the faculty 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% credit if the faculty is the second co-author, 25% if the third, 12.5% if the fourth, no credit beyond that).
 - 7) The “Corresponding Author” of a journal or conference paper earns ≤ 1 point depending on the number of CoE coauthors sharing the credit (see A.6 above). A corresponding author is [not](#) just the author who communicates the paper to the editor.

S/he 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. 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. Please [attach justification](#) to your application form explaining your role as a corresponding author. Being the one who corresponded with the editor is not sufficient justification. Normal earned points apply without justification.

- 8) For the AY 2018-19 cycle, only papers published or accepted for publication without condition during the 12-month period [June 1, 2017 to May 31, 2018](#) are eligible to invoke for earned points in the publications application form. [Please include ALL published papers on your application form.](#)

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 the point system below. This is partly to ensure that part of the Facilities and Administrative allocation (F&A or Indirect Cost) is channeled back to the College to partially alleviate research initiatives cost.

The faculty PI may choose [one of the following two methods](#) for determining earned points.

- 1) 1 earned point for every 0.2 ‘buy-out’ time (i.e., for each course buy-out). This is equivalent to 1-to-1 matching. The buy-out time must be explicitly listed as faculty release time on the cost breakdown of the SJSURF approved grant budget.
- 2) 0.5 earned point for every \$25K external research grants per 12 months funding. The grant amount is quantized to \$25K increments and 0.5 point credit is granted for each increment. The earned point credit does not scale linearly with the grant amount.
- 3) For grants involving multiple investigators, points earned from the grants should be shared by the investigators according to an agreement established before the submission of the proposal. A signed agreement should be included with the release time application.
- 4) Proposal budgets should include the [full](#) Facilities and Administrative (F&A) rate per the University’s rate agreement with the federal government at the time of the proposal submission (44.5% for research proposals this cycle). Should the sponsoring agency not allow for recovery of the full rate F&A, or for other reasons, the allocation

of earned points will be scaled down linearly in proportion to the actual F&A rate charged in the official budget.

- 5) Earned points from external research grants can be exercised during up to two semesters overlapping a year-long grant period. However, if the release time gained through points has been proposed as in the form of cost share or matching funds to the sponsoring agency, then that release time must be used during the time as required by the sponsoring agency.
- 6) Please note that the research grants supported do not include teaching focus grants. Support for teaching focus grants is not within the domain of this research support guidelines, thus the support does not include grants that purely implement or administer innovative teaching or student success programs.
- 7) Grants to research some aspect of engineering education (e.g., NSF EHR-CORE and similar programs) could be within the domain of the research guidelines. The Dean decides on the eligibility of a specific engineering education grant and may request submitting additional supporting information.
- 8) This research support initiative is not intended to support authoring teaching textbooks, equipment acquisition grants, software grants, and similar type of achievements.

C. Owed Points, Net Points, and Release Time

The awarded release time is based on “Net Points,” computed based on the “Earned Points” for publications and grants (Sections A & B above) and the “Owed Points,” defined below.

- 1- “Owed Points” account for publications and grants achievements expected from faculty funded as Endowed Chairs, Research Professors, Corporate Professors, or contributors to the Centers of Excellence. The announcements for these initiatives explicitly state that publications and grants are main expected outcomes for the CoE support provided. Please see the Owed Points application form for instructions regarding how to compute and report Owed Points for received monetary compensation, research grants, and release-time through initiatives other than this initiative.
- 2- Owed Points *accumulate* if a faculty successfully continues to receive CoE research funding as Endowed Chair, Research Professor, Corporate Professor, or contributor to a Center of Excellence. Release time will be granted if the difference between the Earned Points (*EP*) and the Owed Points (*OP*), defined as the “*Net Points*” (*NP*), is 1 point or more ($NP = EP - OP \geq 1$).

- 3- A faculty may earn a maximum of one course release per semester based on ≥ 1 Net Points for journal and conference publications, reported on the Publications application form. [Release from a second course is based on \$\geq 1\$ Net Points from secured grants](#), reported on the grants application form. Release from two courses per semester can also be earned based on ≥ 2 Net Points from grants only (and no publications).

- 6- Starting AY 2018-19, release-time will be granted based on the “[averaged](#)” [yearly net points](#). For the AY 2018-19 cycle, the average is over 1 year (no averaging). The next cycle, the average will be over two years. All cycles to follow (AY 2020-21on), the average will be computed as a running (or moving) average over three years duration. This allows phasing-in the averaging system decoupled from release-time awards granted before AY 2018-19.

D. Support for New Tenure-Track Faculty Members

All new tenure-track assistant professors without service credit transferred from other institutions will receive the following support.

For the first two years of service:

- 1) Up to two courses release (0.4 release-time) per semester. No additional points from this point system can be earned. However, faculty may use their *cumulative* points for publications and research grant achievements during their *first and second* years to apply for release-time in their third year. An important condition is that [ALL publications must be based on research completed at SJSU, and all research grant proposals must originate while at SJSU](#) and submitted through the SJSU Research Foundation.

- 2) Faculty granted additional 0.2 release-time funded by sources other than the College of Engineering, e.g., the SJSU Office of Research UGA and other RSCA programs, may exercise the additional release time during the semester awarded [if the Chair of the Department approves](#). If the Chair limits the release-time to a maximum of 0.4, then 0.2 out of the CoE 0.4 will be “banked” by the College for the faculty to exercise during their third year. This is the only form of banking allowed in this CoE initiative.

- 3) \$10k for each summer in support for research and proposal development. A statement of work and a summary of accomplishment should be submitted to the Dean via the department chair within a month before and after the summer period.

For the third and fourth years of service:

- 4) The number of courses released based on the Net Points for publications and/or externally funded research grants are *doubled*. Faculty in their third year may invoke earned points accumulated during their *first and second* years.
- 5) The course doubling above allows third and fourth year faculty to continue to be released from two courses (0.4 release time) each semester to pursue research activities provided they earn either 1 net publications point and 1 net grants point, or 2 net grants points.

Fifth year of service and thereafter, tenure-track faculty enjoy the same support as tenured faculty.

E. Important Limitations

- 1) In this point system, except the buy-out matching, no fractional course release will be given.
- 2) The maximum release time a faculty under this program AND through all other CoE initiatives supporting faculty research on internal funding is 0.4 (two courses) per semester, *subject to availability of funds*. If the Department Chair approves, faculty may earn additional release time, for example, 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 release time awarded from all sources exceeds 0.6 in a semester, the 0.4 maximum earned from all CoE research initiatives will be reduced so that the total release time is no more than 0.6 per semester.
- 4) *No release time will be assigned to faculty members teaching on overload*. The main objective of this research support initiative is to enable time to do research. Teaching or performing CoE or SJSU funded tasks on overload defeats that purpose. However, overload is allowed if funded through a faculty own external research grant.