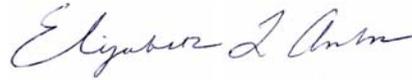


**Date:** October 13, 2008

**Code:** AA-2008-38

**To:** Academic Council



**From:** Rodney Rideau  
Budget Director

Elizabeth L. Ambos  
Assistant Vice Chancellor for  
Research Initiatives and Partnerships  
Academic Affairs

Business and Finance

**Subject:** 2008-2009 Allocations for Research, Scholarship, and Creative Activity

Campus allocations, proportional to reported fall 2007 full-time-equivalent faculty, are shown on the first attachment. The funding available for this activity remains at the 2007-2008 level of \$2,500,000. Please note that directions for the use of these funds that were applicable in previous years remain applicable. The funds may be used only to support research, scholarship, and creative activity of faculty. The funds should not be decreased or allocated to any other function. A copy of the detailed guidelines is attached.

An additional guideline that has been recommended is that campuses award summer stipends only to faculty who will remain employees of the California State University in the following term. Campuses may impose this guideline at their discretion.

As in recent years, it is not necessary for campuses to submit specific allocation instructions prior to release of the funds. Campuses may transfer funds among the defined programmatic categories of mini-grants, term leaves, and summer stipends at their discretion. Campuses must maintain appropriate records regarding the use of these funds, documenting the outcomes of the RSCA funding. We anticipate that a reporting template identical to the one used in the prior year will be used this year, and will be forwarding more information about RSCA outcomes reporting in spring 2009. Please direct questions regarding research, scholarship, and creative activity funding to Dr. Elizabeth L. Ambos, 562-951-4706; [eambos@calstate.edu](mailto:eambos@calstate.edu).

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**Distribution:** Presidents (with attachments)  
Vice Presidents, Administration (with attachments)  
Associate Vice Presidents, Academic Affairs (with attachments)  
Associate Vice Presidents/Deans of Graduate Studies (with attachments)  
Chairs, Academic Senates (with attachments)  
Chief Financial Officers (with attachments)  
Budget Officers (with attachments)

**2008-2009 ALLOCATIONS  
RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY**

	<b>Reported Fall 2007 FTEF*</b>	<b>Allocation</b>
Bakersfield	311.0	47,032
Channel Islands	191.8	29,005
Chico	722.9	109,323
Dominguez Hills	416.2	62,941
East Bay	680.2	102,867
Fresno	908.6	137,406
Fullerton	1,266.7	191,561
Humboldt	333.4	50,420
Long Beach	1,393.0	210,661
Los Angeles	863.1	130,526
Maritime Academy	81.4	12,310
Monterey Bay	161.1	24,363
Northridge	1,194.2	180,596
Pomona	808.1	122,208
Sacramento	1,124.6	170,071
San Bernardino	600.8	90,858
San Diego	1,322.4	199,984
San Francisco	1,072.3	162,163
San Jose	1,136.4	171,855
San Luis Obispo	885.9	133,973
San Marcos	334.9	50,646
Sonoma	352.8	53,353
Stanislaus	369.5	55,878
<b>Total</b>	<b>16,531.3</b>	<b>2,500,000</b>

\*From Fall 2007 APDB reports

ea 10/14/2008

## **SUMMARY OF PREVIOUSLY ISSUED GUIDELINES FUNDING FOR FACULTY RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY**

This document is a compendium of all guidelines issued up to date. It contains:

- Preliminary guidelines from AAP 88-26 (June 14, 1988) (Item A)
- Memorandum of Understanding (Item B)
- Special language provisions related to 1988/89 Support Budget (Item C)
- Additional guidelines for summer stipends (from AA 88-19/BA 88-17, September 12, 1988) (Item D)
- Additional guidelines for term leaves (Item E)

### **A. PRELIMINARY GUIDELINES (RECAP)**

The program change proposal, including the MOU, and subsequent correspondence establish the following guidelines.

1. Funds will be allocated to each campus on a prorated FTEF basis (Source: Program Change Proposal, page 5).
2. There shall be created a faculty-administrative committee on each campus that will develop a campus plan that provides for the allocation of funds to individual faculty based upon the review of proposals tailored to meet the needs of faculty on that particular campus, consistent with the systemwide policy framework. (Source: Program Change Proposal, page 5 and MOU, item 3.)
3. Funds must be limited to the three following categories:
  - a) Mini-grants for scholarly research up to \$5,000. “Funds would be provided to faculty, on a competitive basis, for mini-grants (\$4,000 to \$5,000 maximum). This program would allow faculty to test promising ideas and obtain preliminary results prior to seeking external support for an activity. These grants might be perceived as ‘seed’ money. The fund could allow faculty to buy adequate computer time, to pay undergraduate and graduate students to function as research assistants, and to purchase secretarial assistance for typing manuscripts and proposals. Part of these funds could be sequestered to provide start-up dollars to enable new, promising faculty to get scholarly endeavors underway.” (Source: Program Change Proposal, page 4.)
  - b) Summer fellowships for one or two months. “This program would allow qualified faculty to apply for summer stipends of one or two months to inaugurate, continue, or complete a project of creative scholarship or research. According to the literature, the most important factor in enhancing

research, scholarship, or creative activity is time. This program would provide faculty with time.” (Source: Program Change Proposal, page 4.)

- c) Semester or Quarter Leaves with Pay. “This program would reinstate one of the most successful development programs ever instituted in the California State University. Faculty, particularly newer faculty, would apply, again on a competitive basis, for leaves of one term duration to develop or complete an appropriate activity related to their academic discipline. *Title 5* already contains the policy framework for such a program.” (Source: Program Change Proposal, page 4. Guidelines on leaves for research, scholarship, and creative activity from *Title 5*, Article 5.1 are on page 5 of this attachment.)

The MOU stipulates that funds shall be available for the three programs above and that “in the event that all or part of the above-referenced funds are made available, they shall be divided equally among the programs enumerated . . . or as otherwise decided by the systemwide committee.” (MOU, item 5.)

4. A competitive process will be used by each campus to select faculty recipients based on a review of proposals. (Source: Program Change Proposal, page 4 and MOU, item 3.)

In addition, the Program Change Proposal calls for a broadly representative systemwide committee to develop a systemwide policy framework. That committee has met, and consisted of representatives of the Academic Senate, California Faculty Association, California State Student Association, and administration. The committee has agreed that in addition to the above, the systemwide policy framework should be as follows:

1. The campus committee developing the plan shall be comprised of a majority of faculty who shall be elected by the probationary and tenured faculty or who shall be members of an existing elected committee, such as the professional leave committee. The campus committee developing the plan shall include student representation. The planning committee is urged to consider seriously including a student on the committee reviewing the proposals. When a student is included, that student shall be a graduate student in good standing in a graduate degree program, who has participated in a faculty research project.
2. The campus committee reviewing the proposals shall be comprised of a majority of faculty who shall be elected by the probationary and tenured faculty or who shall be members of an existing elected committee, such as the professional leave committee or the planning committee in #1 above.
3. Normal campus processes for the appointment of students to committees will be observed.
4. As each campus develops its plan, it will have discretion to allocate funds among the three categories enumerated above in a way most appropriate to that campus.

5. Campus criteria for evaluating proposals must explicitly address the educational impact of the proposal on students, and the nature of student involvement.
6. Faculty defined, as members of Unit 3 are eligible to compete for funding.
7. Funding for term leaves for Research, Scholarship, and Creative Activity shall be at replacement level. Benefits shall not be funded from this allocation.
8. The collective and separate judgment of the campus committee(s) shall not be subject to the grievance procedure except on procedural grounds.

The crucial importance of judicious project selection and careful record keeping to future success in maintaining and increasing State funding for research, scholarly, and creative activity should be noted as campus plans are made and proposals selected. In this regard, the Assembly Ways and Means Committee has recommended explicit budget language regarding legislative intent in approving these funds (See page 4 of this attachment, Source: AAP 88-26).

B. MEMORANDUM OF UNDERSTANDING

“The California State University and the California Faculty Association agree that for fiscal year 1988/89, the CSU shall advance a program change proposal in the amount of seven and one-half million dollars (\$7,500,000) for faculty professional development for research, scholarship and creative activity in support of the undergraduate and graduate instructional mission of the California State University.

1. In the event all or part of the above-referenced sum is appropriated and made available to the CSU, the University hereby agrees said funds shall be allocated to the campuses on a FTEF basis.
2. A systemwide committee will be established to develop a systemwide policy framework for distribution of these funds.
3. In the event all or part of the above-referenced funds are available, there shall be created a faculty-administrative committee on each campus that will develop a campus plan that provides for the allocation of funds to individual faculty based upon the review of proposals tailored to meet the needs of faculty on that particular campus, consistent with the statewide policy framework.
4. The funds shall be available for the following programs:
  - a. mini-grants for scholarly research up to \$5,000;
  - b. summer fellowships for one or two months;
  - c. semester or quarter leaves with pay.

5. In the event that all or part of the above-referenced funds are made available, they shall be divided equally among the programs enumerated in section 4 or as otherwise decided by the systemwide committee.”

Original signed by Virginia Ann Shadwick, President, CFA, Jacob M. Samit, Assistant Vice Chancellor, CSU, and Paul B. Worthman, Associate General Manager, CFA.

C. SPECIAL LANGUAGE PROVISIONS RELATED TO 1988/89 SUPPORT BUDGET

“Research. It is the intent of the Legislature that CSU allocate \$2.5 million for research, creative, and scholarly activities in a manner which affirms the commitment of the faculty to the instructional mission of the system. Further, it is the intent of the Legislature that student learning, not publication, remain the central measure of the success of CSU faculty and academic programs. These funds are intended to ensure that faculty (1) remain current in their disciplines, (2) pursue new ways to enrich student learning and (3) contribute to knowledge that will strengthen California socially, culturally and economically.”

“Allocation. The CSU shall allocate these funds pursuant to guidelines developed in consultation with the Academic Senate, the faculty bargaining unit and the students. It is the intent of the Legislature that campuses allocate these funds in a manner which:

- recognizes the need to encourage and support non-tenured faculty, particularly those in disciplines with few outside resources to support research, creative and scholarly activity;
- demonstrates, as directly as possible, the link between the research, creative and scholarly activity and the development of student learning and courses;
- complements and promotes the affirmative action and education equity goals of the CSU system.”

“Reporting. The CSU shall report to the Legislature by March 1, 1989, on its expenditures for research, creative and scholarly activity. The report shall include, but not be limited to the following:

- A description of the criteria used on each campus to allocate funds and the relative weight given to each criterion;
- A list of the projects by title, amount and category (mini-grant, summer fellowship, or leave, research, creative or scholarly activity);
- A profile of faculty who received funding by discipline, tenure status, gender and ethnicity;

- A description of how research findings have been or will be used, whether for publication in referred journals, presentation in artistic exhibitions, development of curricular materials or other use;
- A description of the impact of the projects on specific courses;
- A description of the amount and nature of undergraduate and graduate student involvement in funded projects;
- An analysis of the impact of State funding on the availability of federal or other funds for these purposes.”

D. ADDITIONAL GUIDELINES FOR SUMMER STIPENDS

(From AA 88-19/BA 88-17, September 12, 1988)

1. “The beginning date of the fellowship will be no earlier than the official close of the spring term (semester or quarter) and within the 1988-89 fiscal year. The closing date must be prior to the official opening date of the Fall, 1989 term.
2. The length of the fellowship may be only one or two months. No other time periods are allowable.
3. Stipends for the term of the fellowship will be provided to faculty at the beginning of the term of the fellowship.
4. Faculty awarded a summer fellowship under this program may accept no additional employment funded by the CSU or CSU auxiliaries during the specified term of the summer fellowship (i.e., no summer session, summer quarter, extension, grants, etc.).
5. The summer fellowship stipend will be equivalent to the faculty member’s monthly salary in effect at the close of the academic year. (See procedures, Attachment 2, item 1.)
6. Payroll processing procedures for the summer fellowship stipends are provided in Attachment 2.”

Payroll Processing Procedures

1. “Bargaining Unit 3 employees designated by the campus shall receive a one-time payment equal to one or two times the employee’s monthly salary in effect on the first day of the June pay period of each year, as reflected on the PIMS data base record.
2. In June of each year, the request for stipend shall be submitted to the State Controller’s Office, Payroll Services Division, using Form 674, Payroll Adjustment document. Detail instructions concerning completion of the payroll document and pay type codes will be provided by the State Controller’s Office at

a later date. The payroll document should be submitted by the campus early in June so that the payment is available to the recipient when the fellowship period commences following the close of the Spring term.

3. Stipends will be recorded by the Controller's Office against blanket serial number 934 which has been assigned by the Chancellor's Office, Division of Budget Planning and Administration and will be identified on the Allocation Order which provides funding. Campuses will not use blanket serial 934 for any other purpose and will be required to submit Form 607 to establish and fund the blanket.
4. In preliminary discussions with both the Controller's Office and Public Employee's Retirement System, it is our understanding that the stipend is considered taxable income for Federal, State, and Medicare tax and covered earnings for retirement purposes. The Controller's Office is currently seeking a formal opinion on the matter. If the preliminary assumption is correct, the Controller's Office will deduct withholding tax at the rate of 20% Federal and 3% State. Depending upon the employee's retirement member status, payments will be subject to PERS, Social Security, and/or Medicare tax, as appropriate."

E. ADDITIONAL GUIDELINE FOR TERM LEAVES  
(From AAP 88-19/BA 88-17, September 12, 1988)

Term Leaves for Research, Scholarship, and Creative Activity

All policies set forth in *Title 5, California Code of Regulations*, Sections 43050 through 43053, will govern the award and receipt of these leaves. Note especially Section 43052, which requires that faculty who are granted and who accept such a leave are obligated to teach in the California State University for the equivalent of two terms for each term of such a leave. Thus, each campus must insure that each member of the faculty awarded such a leave supply appropriate signed documentation that s/he will return for the specified amount of time. Forms currently in use on the campuses for sabbatical leaves may be modified to fulfill this purpose. Note also that the systemwide policy framework stipulates that funding for term leaves for Research, Scholarship, and Creative Activity shall be calculated, for funding purposes, at the replacement level. Note that staff benefits are not to be funded from this allocation. (See AAP 88-26, page 4, item 7). Term leaves provide only full-time pay for faculty to pursue a defined program of research, scholarship, or creative activity. No equipment, administrative, or other support funds are provided.