

7 **Amendment A to S18-5, Research, Scholarship, and Creative**
8 **Activity: Advisor-Student Relationship, Sponsored Projects,**
9 **and Proprietary and Confidential Information in RSCA.**

10 Whereas: University Policy S18-5 lists eligible categories for PI status for RSCA
11 projects as “tenure-line having the rank of Assistant, Associate or Full
12 Professor as described in their letter of appointment are eligible to be a PI
13 on sponsored projects. Additionally, Faculty Early Retirement Program
14 (FERP), emeriti, temporary (lecturers), adjunct, visiting, and volunteer
15 faculty, as well as University or auxiliary employees, may serve as PI upon
16 approval”

17 Whereas: Unit 3 faculty are defined in University Policy S15-6 to include librarians
18 (all ranks) and counselors; and

19 Whereas: Librarians and Counselors conduct RSCA at SJSU; and

20 Whereas: University Policy S18-5 also does not explicitly allow external individuals
21 who are not faculty members, students, or other University Personnel to
22 be full PI status at SJSU, which can hinder the university’s academic and
23 operational needs in RSCA; therefore, be it

24 Resolved: That the following amendment be adopted to update University Policy
25 S18-5.

26 Approved: November 1, 2021

27 Vote: 11-0-0
28

29 Present: Richard Mocariski (seat A), Thalia Anagnos (seat B), Marc d'Alarcao (seat
30 C), Gigi Smith (seat D), Cara Maffini (seat F), Katy Kao (seat G), Wei-
31 Chien Lee (seat H), Stefan Frazier (seat I), Brandon White (seat J, chair),
32 Marie Haverfield (seat K), Chloe Cramer (seat L)

33 Absent: None

34 Workload Impact: None anticipated

35 Financial Impact: None anticipated

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38 **Confidential Information in RSCA**

39 1. II. Sponsored Projects

40 ...

41 B. Principal Investigator Eligibility

42 1. Internal Eligibility

43 Any award is to the University and the University is thus responsible for ensuring fiscal
44 and other criteria are met. Not only must the PI and any CoPIs be qualified by
45 education, training and experience in the area in which the funded RSCA or other
46 project is being conducted, additional responsibilities to the institution are required as a
47 PI and Co-PI.

48 Faculty members at SJSU on the tenure-line ~~as defined in University Policy S15-6~~
49 ~~having the rank of Assistant, Associate or Full Professor as described in their letter of~~
50 ~~appointment~~ are eligible to be a PI on sponsored projects. Additionally, Faculty Early
51 Retirement Program (FERP), emeriti, temporary (lecturers), adjunct, visiting, and
52 volunteer faculty, as well as University or auxiliary employees, may serve as PI upon
53 approval. For academic personnel in these groups, the relevant department and/or
54 college will make a recommendation regarding their expertise. The Dean or designee
55 will make a recommendation regarding the stated willingness of the potential PI to
56 comply with administrative and fiduciary requirements. Non-academic personnel will use
57 a parallel recommendation process. The recommendations are forwarded along with a
58 Curriculum Vitae or resume to the AVP for Research for final decision. This approval
59 may provide limited eligibility for a specific proposal or provide status for submissions
60 for a specified period. If the AVP for Research does not approve the request, the dean
61 or unit head will be notified and alternative PI solutions will be discussed.

62 A Co-PI may be a faculty member, student, or other University personnel.

63 2. External Eligibility

64 ~~Certain sponsors or funders may specify PI or co-PI eligibility criteria. Individuals from~~
65 ~~outside SJSU may serve as co-PI upon approval from the AVP for Research.~~

66 ~~Certain sponsors or funders may specify PI or Co-PI eligibility criteria. An external party~~
67 ~~without affiliation with SJSU may not serve as PI or Co-PI. However, external personnel~~
68 ~~may request approval to serve as PI or Co-PI. The PI or Co-PI must provide an~~
69 ~~assurance of compliance with administrative, regulatory compliance, and fiduciary~~
70 ~~requirements. The appropriate department chair or school director and college dean will~~
71 ~~make a recommendation with rationale that is forwarded along with the curriculum vitae~~
72 ~~or resume to the AVP for Research for final decision. This approval may provide limited~~
73 ~~eligibility for a specific proposal or provide status for submissions for a specified period.~~

74 The PI status can be revoked upon recommendation by the chair or dean to the AVP at
75 any time. If the AVP for Research does not approve the request, the Dean or unit head
76 will be notified and alternative PI solutions will be discussed.