

**SAN JOSÉ STATE UNIVERSITY  
ONE WASHINGTON SQUARE  
SAN JOSÉ, CA 95192**

**Amendment A to University Policy S18-5,  
Research, Scholarship, and Creative Activity (RSCA):  
Advisor-Student Relationship, Sponsored Projects, and  
Proprietary and Confidential Information in RSCA.**

**Legislative History:**

At its meeting of November 8, 2021, the Academic Senate approved Amendment A to University Policy S18-5, Research, Scholarship, and Creative Activity (RSCA): Advisory-Student Relationship, Sponsored Projects, and Proprietary and Confidential Information in RSCA presented by Senator White for the Curriculum and Research Committee. Amendment A is as follows below.

**Approved and signed by  
President Mary A. Papazian  
on December 6, 2021.**

- Whereas: University Policy S18-5 lists eligible categories for PI status for RSCA projects as “tenure-line having the rank of Assistant, Associate or Full Professor as described in their letter of appointment are eligible to be a PI on sponsored projects. Additionally, Faculty Early Retirement Program (FERP), emeriti, temporary (lecturers), adjunct, visiting, and volunteer faculty, as well as University or auxiliary employees, may serve as PI upon approval”
- Whereas: Unit 3 faculty are defined in University Policy S15-6 to include librarians (all ranks) and counselors; and
- Whereas: Librarians and Counselors conduct RSCA at SJSU; and
- Whereas: University Policy S18-5 also (in conflict with current practice) does not explicitly allow external individuals who are not faculty members, students, or other University Personnel to be full PI status at SJSU, which can hinder the university’s academic and operational needs in RSCA; therefore, be it
- Resolved: That the following amendment be adopted to update University Policy S18-5.

Approved: November 1, 2021  
Vote: 11-0-0  
Present: Richard Mocarski (seat A), Thalia Anagnos (seat B), Marc d'Alarcao (seat C), Gigi Smith (seat D), Cara Maffini (seat F), Katy Kao (seat G), Wei-Chien Lee (seat H), Stefan Frazier (seat I), Brandon White (seat J, chair), Marie Haverfield (seat K), Chloe Cramer (seat L)  
Absent: None  
Workload Impact: None anticipated  
Financial Impact: None anticipated

# **Amendment A to University Policy S18-5, Research, Scholarship, and Creative Activity: Advisor-Student Relationship, Sponsored Projects, and Proprietary and Confidential Information in RSCA**

## **II. Sponsored Projects**

...

### **B. Principal Investigator Eligibility**

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

#### **1. Internal Eligibility**

Faculty members at SJSU on the tenure-line as defined in University Policy S15-6 are eligible to be a PI on sponsored projects. Additionally, Faculty Early Retirement Program (FERP), emeriti, lecturer, visiting, and volunteer faculty, as well as University or auxiliary employees, may serve as PI upon approval. For academic personnel in these groups, the relevant department and/or college will make a recommendation regarding their expertise. The Dean or designee will make a recommendation regarding the stated willingness of the potential PI to comply with administrative and fiduciary requirements. Non-academic personnel will use a parallel recommendation process. The recommendations are forwarded along with a Curriculum Vitae or resume to the AVP for Research for final decision. This approval may provide limited eligibility for a specific proposal or provide status for submissions for a specified period. If the AVP for Research does not approve the request, the dean or unit head will be notified and alternative PI solutions will be discussed.

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

#### **2. External Eligibility**

Certain sponsors or funders may specify PI or Co-PI eligibility criteria. An external party without affiliation with SJSU may not serve as PI or Co-PI. However, external personnel may request approval to serve as PI or Co-PI. The PI or Co-PI must provide an assurance of compliance with administrative, regulatory compliance, and fiduciary requirements. The appropriate department chair or school director and college dean will make a recommendation with rationale that is forwarded along with the curriculum vitae or resume to the AVP for Research for final decision. This approval may provide limited eligibility for a specific proposal or provide status for submissions for a specified period. The PI status can be revoked upon recommendation by the chair or dean to the AVP at any time. If the AVP for Research does not approve the request, the Dean or unit head will be notified and alternative PI solutions will be discussed.