

Policy Name: Principal Investigator Eligibility

Policy Number: F/UNTHSC/RES/OGCM-015

Scope: All Researchers

Created/Revised: Created 7/13/01, Revised 12/2007

Effective: 12/1/07

I. PURPOSE

Certain legal and ethical obligations are stated or implied in award notices from funding external agencies. The Health Science Center becomes responsible for the proper performance of the stated work and for fiscal management of the funds received from the sponsor. Sponsors usually require that an individual be named to oversee the project with the reasonable assurance that the agreed responsibilities will be discharged faithfully and prudently in the mutual interest of the sponsor and the Health Science Center and over the full period of the award.

For the purpose of this policy, the term "Principal Investigator" shall encompass the terms Principal Investigator, Project Director, Program Director and the like, and shall mean a single individual who in the event of an award from an external funding agency shall have the full and final responsibility for the conduct of the project as proposed. The Principal Investigator shall use all reasonable efforts to comply with the terms, conditions, and policies of both the sponsor and the Health Science Center, including the submission of all required reports.

II. POLICY

Persons eligible to be Principal Investigators shall be full-time and/or part-time regular and/or non-regular faculty. The Health Science Center encourages faculty members, individually or in collaborations, to seek outside support for research that will contribute to new knowledge. Although the Health Science Center has established various procedures related to the conduct of research projects, the responsibility for managing these projects lies with authorized principal investigators or project directors.

Individuals without faculty status may serve as Principal Investigators under the following conditions: (1) as Co-Principal Investigators with an individual of appropriate rank, or (2) with approval from the Executive Vice President of Academic Affairs and Research or designee.

III. PROCEDURE

An individual who wishes to obtain approval as a Principal Investigator from the Executive Vice President of Academic Affairs and Research or designee should follow these procedures;

When an academic staff member without one of the above listed ranks considers submitting a proposal as a Principal Investigator, a written request must be prepared which provides the rationale for the individual to serve as Principal Investigator. This request must be endorsed by the appropriate departmental chair and should include a current C.V for the proposed PI. This request is to be submitted to the Office of Research for consideration by the Executive Vice President of Academic Affairs and Research or designee.

A written determination will be returned within 10 working days.

A few examples of individuals who generally need the approval of the Executive Vice President of Academic Affairs and Research or designee to be a principal investigator/project director are:

- Undergraduate or graduate students (unless the sponsor's award is to the Health Science Center on behalf of a specific individual)
- Visiting professors (any rank)
- Visitors in a post-doctoral position
- Adjunct Professors
- Anyone not in a permanent employee status