



TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER EL PASO

Operating Policy and Procedure

HSC OP: 73.08, **Requirements for Principal Investigator Status**

PURPOSE: The purpose of this Health Sciences Center Operating Policy and Procedure (HSC OP) is to define the criteria for principal investigator status for all research projects, sponsored programs, or grants to be conducted at TTUHSC.

REVIEW: This HSC OP will be reviewed on September 1 of every odd-numbered year (ONY) by the Director of the Office of Sponsored Programs and the Director of the Research Integrity Office, with recommendations for revisions submitted to the Senior Vice President for Research (SVPR) by October 15.

POLICY/PROCEDURE:

“Principal Investigator” (“PI”) means the individual identified by TTUHSC to have the appropriate level of authority and responsibility to direct a research project program or grant and who is responsible for the scientific and technical direction, and all compliance requirements for a research project, sponsored program or grant.

1. **Background and Rationale:** Because a significant degree of authority and responsibility are vested in the Principal Investigator, specific criteria are required for one to attain this status. Only Principal Investigators are permitted to submit applications to the Office of Sponsored Programs, and apply for research privileges and licenses through the Institutional Review Board, Institutional Animal and Care Use Committee, Recombinant DNA Biosafety Committee, Radiation Safety Committee, and Institutional Biosafety Committee.

2. **Requirements:** A TTUHSC Principal Investigator must have a faculty appointment and be a full-time (greater than 50%) employee of TTUHSC (compensated). A PI must have one of the following appointments:

- Professor
- Associate Professor
- Assistant Professor
- Research Professor
- Research Associate Professor
- Research Assistant Professor
- Research Instructor

The Principal Investigator must have the requisite training, expertise and resources, as well as approval from the appropriate compliance committees for the proposed research. For example, a full time faculty member may not be granted permission to work with select agents or radioactive materials unless specific training is documented. Similarly, a full-time faculty proposing to conduct clinical research using human subjects or animals must also comply with the responsibilities set out in the IRB or IACUC policies and procedures manuals available on the TTUHSC home page.

a. Persons who do not meet the requirements for Principal Investigator status may request an exception by submitting a “Request for Exceptions to Requirements for Principal Investigator Status” to the Senior Vice President for Research (SVPR) on **Attachment A**.

- b. Students and Postdoctoral Fellows may submit proposals for research projects, programs or grants with the primary function to support the training of the applicant. However, students and postdoctoral fellows must submit **Attachment A** to identify a sponsoring Principal Investigator who meets the requirements above, and who will assume budgetary and reporting responsibilities at the institutional level.
- c. Exceptions will be reviewed by the applicant's Department Chair, a Sponsoring Principal Investigator, and Dean, with final approval at the discretion of the SVPR.