



TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER EL PASO

Operating Policy and Procedure

HSCEP OP: 73.08, Requirements for Principal Investigator (PI) Status

PURPOSE: The purpose of this Texas Tech University Health Sciences Center El Paso (TTUHSC El Paso) Operating Policy and Procedure (HSCEP OP) is to define the criteria for PI status for all research projects, sponsored programs, or grants to be conducted at Texas Tech TTUHSC El Paso.

REVIEW: This HSCEP OP will be reviewed on September 1 of every odd-numbered year (ONY) by the Associate Managing Director of the Office of Sponsored Programs (OSP) and the Managing Director of the Office of Research Resources, with recommendations for revisions submitted to the Vice President for Research (VPR) by October 15.

POLICY/PROCEDURE:

Principal Investigator (PI) means the individual identified by TTUHSC El Paso to have the appropriate level of authority and responsibility to direct a research project, sponsored 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.

- I. **Background and Rationale:** Because a significant degree of authority and responsibility are vested in the PI, specific criteria are required for one to attain this status. Only PIs are permitted to submit applications to the OSP for review and submission to external funding agencies and only PIs are permitted to apply for research privileges and licenses through the Institutional Review Board (IRB), Institutional Animal and Care Use Committee (IACUC), Radiation Safety Committee, and Institutional Biosafety Committee.
- II. **Requirements:** A TTUHSC El Paso PI must have a faculty appointment and be a full-time (greater than 50%) employee of TTUHSC El Paso (compensated). A PI must have one of the following appointments:

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

The PI 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 El Paso website.

- A. Persons who do not meet the requirements for PI status may request an exception by submitting a “Request for Exceptions to Requirements for PI Status” to the VPR on **Attachment A**.

Students and postdoctoral fellows may submit proposals for research projects, sponsored programs or grants with the primary function to support the training of the applicant. However, students and postdoctoral fellows must submit a “Postdoctoral Fellow/Student Request for Exception to Requirements for PI Status” to the VPR on **Attachment B** identifying a sponsoring PI who meets the requirements above, and who will assume budgetary and reporting responsibilities at the institutional level.

- B. An exception will need to be requested and approved for each separate proposal submission.
- C. Exceptions will be reviewed with final approval at the discretion of the VPR.

Approvals will be kept on file in the VPR office and a copy will be sent to the individual requesting the exception.