Policy Statement.

Certain legal and ethical obligations are stated or implied in award notices from funding external agencies. The University of North Texas Health Science Center (UNTHSC) 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 UNTHSC and over the full period of the award.

The Principal Investigator shall use all reasonable efforts to comply with the terms, conditions, and policies of both the sponsor and UNTHSC, including the submission of all required reports.

Application of Policy.

UNTHSC wide.

Definitions.

1. **Principal Investigator.** “Principal investigator (PI)” means, for the purpose of this policy, 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 and encompasses the terms Principal Investigator, Project Director, Program Director and the like.

Persons eligible to be principal investigators shall be full-time and/or part-time regular and/or non-regular faculty. UNTHSC encourages faculty members, individually or in collaborations, to seek outside support for research that will contribute to new knowledge. Although UNTHSC 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.

2. **Individuals without faculty status may serve as principal investigators under the following conditions:** (1) as co-principal investigators with an individual
of appropriate rant, or (2) with approval from the Vice President for Research.

3. Examples of individuals who generally need the approval of the Vice President for Research to be principal investigator are:
   - Undergraduate or graduate students (unless the sponsor’s award is to UNTHSC on behalf of a specific individual);
   - Visiting professors (any rank);
   - Visitors in post-doctoral position;
   - Adjunct Professors; and
   - Anyone not in a permanent employee status.

**Procedures and Responsibilities.**

An individual who wishes to obtain approval as a principal investigator from the Vice President for Research should follow these procedures.

1. 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. This request is to be submitted to the Office of Research for consideration by the Vice President for Research.

   Responsible Party:   PI and Office of Research.

**References and Cross-references.**

Approved: 07/13/2001
Effective: 07/17/2001
Revised: