

University Health Network Policy & Procedure Manual Research: Principal Investigator Eligibility

Policy

A [Principal Investigator \(PI\)](#) is the leader of a research project. At University Health Network (UHN), the following individuals may assume the role of PI:

- individuals appointed to a UHN Research Institute in the categories of scientist, senior scientist, emeritus scientist and clinician investigator; **or**,
- clinicians in the active, associate or consultant categories of medical appointment, as defined by the [UHN Medical Staff by-laws](#); **or**,
- individuals who are paid by UHN, approved by a UHN department head, **and** appointed to a university formally affiliated with UHN, where such appointment and affiliation permits the individual to assume the role of PI.

All other UHN personnel wishing to act as PI require the approval of the department/division head (or equivalent) and the executive vice-president (EVP) Science and Research. The EVP Science and Research and department/division head (or equivalent) must ensure that an individual seeking to be a PI is qualified and has adequate resources, skills and experience to conduct the research.

PI eligibility can be revoked by the EVP Science and Research, in consultation with the executive vice-president and chief medical officer (EVP CMO), as appropriate. PI eligibility may be revoked for (including, but not limited to) failure to adhere to UHN policies and/or applicable standards, agreements or regulations.

Responsibilities

Principal Investigator

- Ensure the integrity of the research, including having accountability for the responsible conduct of all members of the research team.
- Attend and successfully complete all required training and/or certification programs, in accordance with [Qualifications of Research Personnel](#) policy 40.40.004.
- As steward for all research data generated from research in which they are engaged as PI, has operational and management accountability for the data.
- Ensure that authorship of published work includes those people, and only those people, who have materially contributed to, and share responsibility for, the contents of the publication (see [Research Authorship](#) policy 40.60.001).

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- Adhere to guidelines governing the area of research, and regulations and policies concerning all aspects of the conduct of research, including, but not limited to, the [Tri-Agency Framework: Responsible Conduct of Research](#).
- Manage [Research personnel](#) in accordance with UHN Human Resources requirements.
- Ensure administrative, contractual, and financial oversight of the research.
- Ensure [Institutional Authorization](#) is obtained prior to the conduct of research.
- Inform Research Institute directors and/or department/division head of any change that may affect eligibility status under this policy.

Research Institute Director & Department/Division Head

- Ensure that an individual seeking to be a PI is qualified and has adequate resources, skills and experience to conduct the research.
- Ensure that an individual seeking to be a PI has attended and successfully completed all required training and/or certification programs.
- Seek approval from the EVP Science and Research, in consultation with the EVP CMO, as appropriate, to revoke PI eligibility.

UHN Related Policies

- [Data Ownership, Stewardship & Security of Health Information](#) policy 40.50.004
- [Responsible Conduct of Research](#) policy 40.90.001
- [Conflict of Interest of Research Personnel](#) policy 40.90.002
- [Institutional Authorization for Research Involving Humans](#) policy 40.20.008
- [Research Authorship](#) policy 40.60.001

Definitions

Institutional Authorization: Authorization to perform research under the auspices of UHN; granted by the EVP Science & Research or designate.

Principal Investigator (PI): The leader of a research project who is responsible for the conduct of the research, and for the actions of any member of the research team.

Research personnel: All personnel, paid by UHN or other sources, involved in the conduct of research at UHN.

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Reference

1. Panel on Responsible Conduct of Research. [Tri-Agency Framework: Responsible Conduct of Research \(2016\)](#). Government of Canada.

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