
APPOINTING PIs

Appointing PIs Procedure

Procedure Sections

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Reason for Procedure

This policy outlines the policy for appointing PIs for Federal grants.

Who Should Know This Procedure

- Principal Investigators
- Administrative Staff
- Winter Conference/Summer Workshop Organizers
- Proposal Committee
- Officers
- Trustees
- General Members

Contacts

Subject	Contact
Appointing PIs	Officers Trustees Grant Committee

Applicable ACP Policies



- Conflict of Interest Policy
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Appointing PIs at ACP

Principal Investigator Eligibility

NSF is the ACP's cognizant agency since it is the ACP's largest grantor. The PI and Co-PI for the primary NSF grant are officers of the Aspen Center for Physics. For smaller grants that are usually, but not always, for specific winter conferences, the PI may be the ACP Corporate Secretary, one of the conference organizers, or another designated member of the ACP Board.

Rationale

The intent of this policy is to ensure that the responsibilities and authority vested in the role of Principal Investigator are reserved for the most qualified persons. Responsibility for setting the direction of ACP research rests squarely with the Board, whose members are primarily responsible for the quality of the research and the reputation of the Center. Because of the significant degree of authority vested in the Principal Investigator relative to a wide range of administrative matters, including the allocation of human, financial, and facility resources, the responsibilities of being Principal Investigator for the ACP's primary NSF grant must be primarily reserved to the trustees or officers, but can be delegated to other qualified individuals for smaller sponsored programs.

Definitions

Principal Investigator (PI): This title identifies the individual responsible for the conduct of the project. This responsibility includes the intellectual conduct of the project, fiscal accountability, administrative aspects, and the project's adherence to relevant policies and regulations. A project may have multiple individuals as PIs who share the authority and responsibility for leading and directing the project, intellectually and logistically. Each PI is responsible and accountable for the proper conduct of the project. The presence of more than one identified PI on a project diminishes neither the responsibility nor the accountability of any individual PI.

Co-Principal Investigator: This designation refers to individuals who share the responsibility for the project with the Principal Investigator and therefore requires the same qualifications.

Co-Investigator : This title designates key personnel for a project, but without the oversight responsibility of a Principal Investigator. Individuals do not need to meet the qualifications of PI under this policy, but should be considered key to performance of the project.

Project Director: This title is a synonym for Principal Investigator on non-research sponsored programs or for "program-project" grants.

All of the above titles are recognized as having official responsibility for the sponsored program.



Sponsors generally will require approval of their substitution.

Conflict of Interest Disclosure Statement

As a matter of ACP Center policy and Federal regulation, it is required that Principal Investigators and key personnel on sponsored projects must have completed a "Disclosure of External Interests and Time Commitments" form, also known as the "annual disclosure statement." The ACP Center Conflicts Policy is available in this manual.

Recognition of Authorship in Proposals

The title of Principal Investigator is primarily a designation of institutional responsibility for the conduct of a sponsored program. As such, the title does not necessarily represent the principal authorship of the proposal document. It is important that authorship is appropriately attributed in all proposal documents.

This attribution may be handled in any number of ways; the most common ways are described here:

- If the authors are all listed as Principal Investigator, Project Director, Co-Principal Investigator, or Co-Investigator, no further action is necessary.
 - If the proposal has been prepared on forms provided by the sponsor, such as those of a governmental agency, the authors may be identified in the Personnel section of the narrative, or as a footnote to the narrative.
 - If the proposal has been prepared without forms provided by the sponsor, as may be the case with a foundation or corporate sponsor, the authors may be identified on the cover page, or by using the methods described above.
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Roles & Responsibilities

Officers: Responsible for selecting a PI and a Co-PI.

Appendix: Applicable Federal Regulations & Criteria

From NSF 2014 PAPPG section II-3 C (1a):

NSF is committed to providing equal opportunities for participation in its programs and promoting the full use of the Nation's research and engineering resources. To aid in meeting these objectives, NSF requests information on the gender, race, ethnicity and disability status of individuals named



as PIs/Co-PIs on proposals and awards. Except for the required information about current or previous Federal research support and the name(s) of the PI/Co-PI, submission of the information is voluntary, and individuals who do not wish to provide the personal information should check the box(es) (on the proposal) provided for that purpose.

