

# Principle Investigator (PI) Eligibility FAQs

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1. Do I need a PI Waiver if I am submitting a proposal directly to DOE?

No.

2. Do I need a PI Waiver if I am submitting as a sub to a DOE funded FOA and the funding is coming directly to SLAC?

No, SLAC does not require a PI to submit a PI waiver. However, there have been cases when the Sponsored Research Office of the lead institution requires SLAC PI to submit a PI waiver.

3. Do I need a PI Waiver if I am submitting a proposal to Non-DOE?

Yes.

4. Do I need a PI Waiver to be listed as a Co-Principal Investigator (Co-PI)?

Yes. The same PI eligibility rules apply to Co-PI-ship as to being a PI, and a waiver will need to be processed.

5. Do I need a PI Waiver to be listed as a Co-Investigator (Co-I)?

No. PI eligibility requirements do not apply to being a Co-Investigator. Any staff member has the ability to be a Co-I.

6. Can I be a PI or Co-PI on DOE funded proposal if I am not in the SLAC Scientist or Engineer job series?

Yes, and PI Waiver form is NOT required

7. Can I be a PI or Co-PI on NON-DOE funded proposal if I am not in the SLAC Scientist or Engineer job series at levels 3-6?

No, unless the research you are leading is part of a large interdisciplinary program, or if the grant is to be administered by the DOE. A PI Exception form has to be approved by SLAC CRO in the case of a large interdisciplinary program.

For this purpose, a "large interdisciplinary program" is defined as a research program which: a) is directed by a member of the Academic Council or MCL faculty, b) has an expected duration beyond the involvement of any individual faculty participant, c) has more than one faculty member involved, and d) requires expertise in more than one discipline or technical area. All of the following conditions must be met in order for the department chair and school dean to approve PI exceptions in such cases:

- The proposed project must be a demonstrably important component of the success of the overall interdisciplinary program, as defined above,
- There is no member of the faculty or staff scientist or engineer levels 3-6 associated with the large interdisciplinary project who is qualified to take responsibility for the scientific direction of the prospective research project,

- No incremental space will be required for the project,
- For each graduate student participating on the project, a qualified faculty member has been identified to assure that the student's research program and the education derived from it are consistent with the degree for which the student is a candidate,
- Exceptions approved under this provision will be reported to the Dean of Research on an annual basis.

8. Can I be a PI or Co-PI on NON-DOE funded proposal if I am not in the SLAC Scientist or Engineer job series AND the proposal is submitted by SLAC Proposal Advancement Office?

No, See the answer to Question 6 above.

9. Can I be a PI on a DOE funded Early Career Research Program if I am holding a fixed-term Associate Staff Scientist position?

Yes. The PhD year must meet the criteria in the Funding Opportunity Announcement (FOA).

10. Can I be a PI on a DOE funded Early Career Research Program when I am holding a full-time permanent position and my job title is not in the Scientist and Engineer series?

Yes. Management approval is required.

11. Do I need a PI Waiver to be listed as a PI on a Memorandum of Purchase Order (MPO)?

No. MPOs are DOE-funded activities, so any staff member has the ability to be a PI.

12. Do I need a waiver for a proposal that has been submitted, prior to October 1, 2020?

No, we are not processing waivers retroactively. If you add scope to your project you will need to request a waiver at that time.

13. Do I need a waiver if I am a co-investigator on a Stanford led proposal?

No. Co-Investigator does not require a waiver. Waiver is required for Principal or Co-Principal investigator only.

14. What if I am an associate staff scientist or staff engineer doing an SPP agreement with an industry partner?

All agreements with proposals submitted or TARC entries completed prior to Oct 1, 2020 are grandfathered. All agreements with proposals submitted or TARC entries completed after Oct 1, 2020 need to abide by Principal Investigatorship waiver or exception requirements.

15. Do I need a waiver if I am submitting a SBIR?

Yes

16. How do I check my training?

Visit the SLAC Training website: <https://slactraining.slac.stanford.edu/>. Required PI Training are under the "Courses Assigned by Director's Office". Status must show "Complete" for each course.

17. How long will it take to get the waiver request approved?

The CRO office requires 5 business days. Additional lead time is required by Stanford Office of Research (OSR) and SLAC's Proposal Advancement Office (PAO). Work with your directorate finance team to start the process early.

18. Where can I find additional resources?

Email [OCRO@slac.stanford.edu](mailto:OCRO@slac.stanford.edu) for additional questions.

The Help Tab of the PI Waiver/Exception Form Management System (PIW) provides additional resources.