

# Principle Investigator (PI) Eligibility FAQs

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1. Do I need a PI Waiver if I am a faculty at SLAC or Stanford?

No. Faculty is a member of the Academic Council. Members of Academic Council have PI Privileges and are eligible to submit proposals to outside agencies, DOE or Non-DOE, as long as the proposal is in line with SLAC's DOE mission.

Academic Council members include the ranks of Assistant Professor, Associate Professor and Professor, Professor AR and Professor Research.

2. I am not a faculty. Am I eligible for the PI Waiver Process at SLAC?

Depends. The PI Waiver Process is available for staff in the Science and Engineer Job Series levels 3 to 6. The PI waiver process is not available to anyone outside of this job series.

For the staff being reclassified into these job series and with the approval of the lab director and CRO, the PI Waiver Process can be granted during the transition period.

3. Do I need a PI Waiver if I am submitting as a PI or Co-PI a proposal to DOE AND the funding comes to SLAC DIRECTLY?

No.

4. Follow on to #3 above, how do I know whether the funding is coming to SLAC DIRECTLY?

There is usually a standard language in the eligibility section of a funding opportunity announcement (FOA) about DOE/NNSA laboratory. SLAC is a DOE/NNSA Laboratory. If funds come to SLAC DIRECTLY, one will see language such as this: "funding will be provided through the DOE Field-Work Proposal System and work will be conducted under the laboratory's contract".

If not sure, please send an inquiry to your finance team or [PAOTeam@slac.stanford.edu](mailto:PAOTeam@slac.stanford.edu).

5. Do I need a PI Waiver if I am submitting as a subaward to a DOE funded proposal AND the funding is coming directly to SLAC?

No, SLAC does not require a PI to submit a PI waiver in this case. However, a PI waiver might be needed by the Sponsored Research Office of the lead institution, such as Stanford OSR. As a result, a PI waiver might still need to be done.

6. Do I need a PI Waiver if I am submitting as the PI or Co-PI on a proposal to Non-DOE?

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

7. 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.

8. 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. However, as with any proposal submission, one needs to receive management's prior approval

9. 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 either at Stanford or at another institute of higher education, 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.

Attach documents in the [PIW](#) system to illustrate that 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.

10. 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 9 above.

11. Can I be a PI on a DOE 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. Must meet the required PhD year requirement in the FOA and management approval is required.

12. Can I be a PI on the DOE Early Career Research Program (aka ECA) if I am holding a fixed-term Associate Staff Scientist position?

Yes. Associate Staff is a fixed term appointment, thus not “permanent” as required by the ECA program. SLAC has received an exception to by the ECA program office to allow Associate Staff at SLAC to participate in the ECA program when the requirement of the PhD year is met.

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

No. MPOs are DOE-funded activities. Any staff member with the required skills and ability can be a PI or Co-PI.

14. 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.

15. Do I need a PI Waiver if I am doing an SPP agreement with an industry partner?

Yes. Principal Investigatorship waiver or exception requirements apply to SPP agreements.

16. Do I need a waiver if I am submitting a DOE SBIR?

Yes. This is because the funding to SLAC will come from the small business, not directly from DOE if awarded.

17. Do I need a waiver if I am submitting to Stanford’s seed grants or France/Stanford?

Yes.

18. 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.

19. Are CRO training required for the PI Waiver process? How do I check my training?

Yes. 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.

20. 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.