Initiate and Prepare a NEW Proposal Development Routing Form (PDRF)

1) Log into the SeRA web portal at https://sera.stanford.edu/
2) Depending on your level of SeRA access, on the right hand side of your Home screen (landing page) you will either see either a...
   - “Start Proposal” teal button. Click here, and then select PDRF from the drop down menu.
   - “Start PDRF” teal button. Click here

3) Select an “Agreement Type” by clicking on the drop down menu and highlight your desired selection, then click “Start”
   - *Note* - located at the top RIGHT of your screen underneath the “Search” and “Navigate” action items, you can expand/ compress the “Hamburger” menu for each page within your transaction
   - “Actions” (this is also located at the bottom left of your screen)
     - Save
     - Reassign
     - Review for Completeness
     - Submit for Approval
     - Terminate
“Quick Links”

- View PDRF
- Add Project Comments
- View Project Comments (number in parenthesis reflect number of comments)
- Add Attachments (at the Transaction Level)
- View Project Attachments

Navigate through each of the pages by utilizing the left-hand navigation (LHN) or by clicking on the “Previous” or “Next” buttons located at the bottom right of your screen.

PI & Project Location

5) In the “Principal Investigator” (PI) field, key in the first 3 letters of the PI’s last name to populate and select from the name list- for best results, key in their SUNet ID

6) Select the “Appointment Type”

7) Fill in the “Effort”

8) Answer:

   - Will all of the PI’s effort be direct charged to the project?
     - If “No”, answer “How is the effort being accounted for?”

   - Is this person identified in the proposal as Key Personnel?
9) In the “Project Location” field, key in the first 3 characters of the building name to populate the building list

- For Clinical Trial Agreements, there is an additional drop-down menu for you to select a hospital location from

- If your building is not listed, please utilize the “Other Location” field

10) Answer:

- “Is all of the above space assigned to you or otherwise approved for your use?”
  - If “No”, Department Chair approval is required - attach department approval

- “Do you anticipate rental space, construction or renovations will be required to house this project or any equipment acquired for this project?”
  - If “No”, answer “Has this been approved by Facilities Planning and Management?”

Admin & Sponsor Details

11) In the “Administrative Details” section, all fields are required with the exception of the “Proposal Nickname”

12) In the “Sponsor Details” section, the “Sponsor” is linked to the database that is maintained by the SeRA Team and also certain members of the Central Office units in the Office of Sponsored Research (OSR) and the Research Management Group (RMG) - if the sponsor you are trying to enter does not exist, or no matches are found, please contact your Contract Officer for further guidance
If you answer “Yes” to the “Sponsor Deadline” question, a date field will display and the “Internal Deadline” field will be calculated.

Calculated dates are business days and do not account for Stanford holidays.

**Project Personnel**

13) **Stanford Faculty**

- Click “Add Stanford faculty member” to add all participating Stanford Faculty, **excluding the PI**, whose effort is budgeted or cost shared for this project.
  - All participating faculty must approve their participation in the project. Other approvers should be added as required.
  - In the default “OSF Information” tab, select the Role, key in the first 3 letters of the Faculty’s last name to populate and select from the name list- *(for best results, key in their SUNet ID)*, and any other information that you have available.
  - You may route approvals to Other Stanford Faculty (OSF) **prior to** the PI approving their PDRF action item.
    - In the “Approvers & FYI’s” tab, enter approvers not already listed.

14) **SLAC**

- List any select SLAC personnel (paid by SLAC) that will be paid by this project by clicking “Add SLAC Personnel”
Key in the first 3 letters of the SLAC personnel’s last name to populate and select from the name list- *(for best results, key in their SUNet ID)*

- Enter their percentage of effort
- Navigate and click on the “Project Personnel” page to verify that the information is displaying correctly
  - Use the “Edit” pencil icon to update/ change the information if necessary
  - Attach the SLAC Statement of Work and SLAC Budget in this section using the blue hyperlink

---

**15) Other Key Personnel**

- The Other Key Personnel section is to list any other Stanford Non-Faculty or Non-Stanford Individuals who are identified as Key Personnel on this project.
- Please note that entering individuals in this section will **NOT** be routed any notifications, tasks, etc.
- This section is merely used as a log for recording/ logging purposes **ONLY** and will not reflect in any reports that are run with respect to percentage of effort, Other Support reports, etc.
  - From the left-hand navigation (LHN), click on **“Project Personnel”**
    - Click **“Add Other Key Personnel”** to list any other Stanford Non-Faculty or Non-Stanford Individuals who are identified as Key Personnel on this project
• Answer “Yes or No” to the “Is this key member from another institution” question
  • Yes - To add non-Stanford personnel not showing as a selection, please click on the blue hyperlink to add them to the database, then click “Add”

• No - To add Stanford personnel not showing as a selection, key in the first 3 letters of their last name to populate and select from the name list- (for best results, key in their SUNet ID)

• Enter the percentage of effort
  • Please note that they system sets default effective dates based on the information provided for the faculty member- please click “Save” to update the dates
  • Navigate and click on the “Project Personnel” page to verify that the information is displaying correctly
  • Click the “Edit” pencil icon to update/ change the information if necessary
Budget Questions

16) Budget Information
   - Enter in the “Total Requested Budget/Contract Value”
   - Answer:
     - “Does the Sponsor have salary cap?”
     - “Does the proposal require Modular budget format?”
     - “Does the proposal require Modular budget format?”
     - “Integral Administrative Salaries?”

17) Indirect Costs (IDC)
   - Answer “Yes” or “No” to “Does this proposal apply an F&A rate less than Stanford’s negotiated rates?”
   - If “Yes”, select “Program” or “Program not listed”
     - If “Program not listed” is chosen, answer “Does this sponsor have a published policy regarding indirect costs?”
   - Click on the blue hyperlink to view the Pre-Approved IDC Exception List
   - If “Yes”, contact DoR Research Compliance Group with the URL of the sponsor’s published policy on indirect costs
   - If “No”, click the "Project-Specific IDC Waiver" button to start the “Project-Specific IDC Waiver Process”

18) IDC Waiver Process
   - Project Information
     - Anything marked with a red asterisk is required, and you will not be able to proceed without filling this in
• **Budget Information & Rationale**
  - In order to identify the amount of waived IDC, please fill out the fields to compare the negotiated MTDC IDC amount and the requested waived amount
  - Indirect costs represent true facilities and administrative costs for the University
  - Describe the special circumstances that justify the University covering these costs for your research

### Budget Information

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>MTDC IDC Amount</td>
<td></td>
</tr>
<tr>
<td>IDM IDC Amount</td>
<td></td>
</tr>
<tr>
<td>Requested MTDC IDC Amount</td>
<td></td>
</tr>
<tr>
<td>Requested IDM IDC Amount</td>
<td></td>
</tr>
<tr>
<td>Directly Non-Allowable</td>
<td></td>
</tr>
<tr>
<td>Directly Allowable</td>
<td></td>
</tr>
<tr>
<td>Indirect Cost Share Allowable</td>
<td></td>
</tr>
<tr>
<td>Indirect Cost Share Non-Allowable</td>
<td></td>
</tr>
</tbody>
</table>

*The total indirect cost to be incurred by Stanford University for this project:*

---

• **Approvers & FYI**
  - Click on the “Add Approver” button to enter the PI’s Dean’s Office approver prior to routing
  - Once these approvals have been obtained, this request will be automatically routed to the Dean of Research office
  - You can change the routing order by clicking the “Up” or “Down” arrows in the “Routing Order” column
  - Click on the “Add FYI” button to add any users you would like to be notified once the IDC request has been completed

### Approvers

- **Routing Order**: 1<br>  - Name: [Name]
  - Email: [Email]
  - Notes: [Notes]

- **Add Approver**

### Transaction History

- The transaction history will provide information on which tasks have been generated, who it is assigned to, when it was assigned/completed, and any comments that apply to that task

### Transaction History

<table>
<thead>
<tr>
<th>Action Item</th>
<th>Status</th>
<th>Assigned</th>
<th>Assigned</th>
<th>Completed</th>
<th>Comment</th>
<th>Reasons</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request IDC Waiver Request</td>
<td>In Progress</td>
<td>[Name]</td>
<td>[Name]</td>
<td>1/10/2017 11:15 PM</td>
<td>Message</td>
<td>Message</td>
</tr>
</tbody>
</table>

- **Click on “Next”**

• **Attachments**
  - Attach a draft budget and scope of work for your project in the attachments by clicking the “Add Attachment” or “Link to Existing Document” button
  - **Click on “Submit for Approval”**
  - Add any comments and click “Submit for Approval” again
19) **Cost Share**

- Enter in the “**Requested Indirect Cost Rate (%)**”

- **Answer:**
  - “Does this project include costsharing?”
    *Unsure? Please check out the Stanford Policy on Costsharing*
    - If “Yes”, check “Mandatory Committed” *(Required by the sponsor and is included in the proposal)*
    - Check all which applies
    - **Cash**
      - Enter the Cost Sharing Amount
    - **In-Kind**
      - The value of non-cash contributions to the project including, with sponsor approval, the third-party organization’s approved federally negotiated indirect cost rate or, a rate in accordance with the Uniform Guidance. An in-kind or matching contribution made by a party other than Stanford requires documentation from the third party supporting the use of the funds as in-kind/matching and may require a certification of fair market value
      - If “Yes”, check “Voluntary Committed” *(Not required by sponsor but included in proposal)*
      - Check all which applies

20) **Subawards**

- Answer:
  - “Are subawards included in this proposal?”
    - If “Yes”, click on “Add Subrecipient” button
    - Enter the Subrecipient’s Institution Name in the “Add Subrecipient” field
    - If the subrecipient is not in the database, please contact your Institutional Official to have the subrecipient added
    - Key the PI name in the “Subrecipient PI Name” field
    - Click “Add”
Project Questions

21) Research Compliance Information

- Answer whether or not this project involves any of the following at Stanford or subrecipient sites:
  - Animal Subjects (APLAC)
    - If “Yes”, click “Add APLAC” button, and check off the appropriate protocol, then click “Add Protocol”
  - Human Subjects (IRB)
    - If “Yes”, click “Add IRB” button and check off the appropriate protocol, then click “Add Protocol”
    - Answer:
      - “Does this study meet the NIH definition of a clinical trial, regardless of funding source?”
        - If “Yes”, answer:
          - “Is the Stanford Investigator responsible for registering through ClinicalTrials.gov?”
        - “Will you be enrolling participants outside of the United States?”
          - If “Yes”, and if this project is awarded, the project will need insurance coverage through Risk Management
      - “Budget & Billing Workbook used for patient care costs?”
        - If “Yes”, a billing & budget workbook is required
        - Attach workbook (Category: Detailed Budget & Justification, Subcategory: Budget & Billing Workbook)
      - “Will Clinical and Translational Research Unit (CTRU) Services be utilized?”
    - Cancer Center Research (SRC)
      - If “Yes”, click “Add SRC” button, and check off the appropriate protocol, then click “Add Protocol”
    - Human Stem Cells (SCRO)
      - If “Yes”, click “Add SCRO” button, and check off the appropriate protocol, then click “Add Protocol”

22) Genomic Data Sharing Plan

- Answer:
  - “Are you creating, generating, or using large-scale genomic data?”

23) Export Control

- Stanford research must comply with US export control regulations and university policies, and must be assessed for export license applicability. For guidance refer to the Export Controls Decision Tree or contact Steve Eisner.
Answer:

- “Will the project involve access to:”
  - “Third-party technical information or software source code that is disclosure-restricted?”
  - “Items on the US Munitions List (ITAR)?”
    - Answering “Yes” to this question will trigger an Export Control task
    - Not sure? Visit Stanford's Export Controls Decision Tree or please consult with Stanford’s Export Control Officer, Steve Eisner, at (steve.eisner@stanford.edu or (650) 724-7072) for guidance prior to submitting your proposal
  - “Will the project involve international shipments or hand carries of equipment, components, materials, or third-party software?”
    - Answering “Yes” to this question will trigger an FYI for Export Control

Stanford policy requires all international shipments and Stanford-owned or loaned property hand carried abroad to be documented for export control compliance

Use the Export Controls Decision Tree for property exports and/or see DOR’s Temporary Exports Page for Stanford documentation requirements for items such as Stanford laptops taken on short-term international travel

Please note that certain Sponsors will also trigger an automatic Export Control task for review, e.g., Department of Defense, DARPA, NASA, etc.

24) International & Global Business
- Stanford’s Global Business Services (GBS) provides compliance and operations support for activities abroad including sponsored research activities. To more effectively serve and support projects which have global infrastructure and regulatory compliance components Global Business Services captures important information about activities which involve resources being expended outside of the United States.
  - Answer “Yes” or “No” to the various questions outlined specifically to GBS

25) SLAC
- The Stanford Linear Accelerator Center (SLAC) National Accelerator Laboratory is a U.S. Department of Energy Office of Science laboratory operated by Stanford University. The use of SLAC resources for research activities requires review and approval by SLAC and Stanford administrative departments
  - Answer the various questions outlined specifically to SLAC

26) Training
- Stanford requires each principal investigator (PI) training to properly execute the responsibilities of protecting the University and individuals, compliance with laws and regulations, terms and conditions and other obligations related to research activities
  - If your PI or COI training is not current, please click on “Complete your PI/COI Training” links
  - If you have issues, please click on “Submit a STARS/OPACS ticket” links

27) COI
- Investigators are required to declare if they have financial interests that reasonably appear to be related to proposed research. Conflicts of Interest (COI) must be disclosed, reviewed, eliminated or managed prior to conducting research (i.e. accepting the award or completing a JIT)
  - This section is merely to advise you of whether or not there are any current known conflicts

28) Health and Safety
- Identification of cancer related research, use of blood, body fluids, radiological or biohazard
materials or recombinant DNA molecules must be declared for environmental health and safety purposes to manage and minimize safety, health and environmental and regulatory risks to the University community.

29) Waivers
- Status and information for applicable waivers (PI eligibility, PI effort, IDC, Budget Development, IRB Fee) related to the proposal will be displayed in this section
- To add or update Waivers, please go to the “Transaction Log” page to do so

Proposal & Attachments
30) Please attach full proposal, detailed budget and justification, and other supporting documents that will facilitate the review and submission process on the “Proposal & Attachments” page
- Click the “Add New Attachment” button
  - Select a “Category” & “Sub Category”
  - Based on your level of access, the Categories available to you may differ than that of another user
  - Choose your file location
  - Add a “File Tag(s)” if so desired
  - Click “Attach”

- To link to an existing attachment, click the “Link to Existing Document” button
  - Select which attachments you’d like to link the transaction to and click “Add Attachments”
  - The linked attachment will now show up on the list of attachments in that transaction
**Approvers & Comments**

31) Enter in any pertinent information in the “Instructions/ Remarks” free text section

- All default approvers for the PI's department will be listed in the “Approvers” section
  - Please review and make updates if required by keying in the first 3 letters of the approver’s last name to populate and select from the name list— for best results, key in their SUNet ID
- The PDRF will route in the routing order specified
  - You can change the routing order by clicking the “Up” or “Down” arrows in the “Routing Order” column
- In the “FYI” section, add any users you would like to be notified once the proposal once all approvals have been completed
  - Select your Institutional Official based on the Institutional Organization

**Transaction Log**

32) Dependent on your department’s workflows, you may be required to track certain activities, milestones, documents received/ requested, etc. in this section *(Check with your department manager and/or Institutional Official to determine if anything needs to be entered here)*

- Applies to sections that have the “calendar” icon
  - You can manually enter the date in the field next to the “calendar” icon
  - You can utilize the “back” and “forward” arrows, or the “up” and “down” arrows which will display the months and years selections *(note that clicking within the region of the icons/arrows will allow the selections to display)*
- Applies to sections that have a “green plus sign” with “Comment” as a hyperlink
  - You can define whether the comment you are entering is:
    - “Private Comment”- Viewable only by Central Office Personnel
    - “Project Level Comment”- Viewable only on the Project Level screen
  - Click “Add to Log” to save your comment
33) After navigating through all of the pages of the PDRF, click on “Review for Completeness” on the right side of your screen under the “Actions” menu button

- **NO** - all fields have **NOT** been answered
- A screen will display detailing the missing information

34) Click the “Submit for Approvals” button underneath the message or via the RHN

35) You will be returned to your Home page and the PDRF will no longer be listed in “Action Items”