Prepare PDRF
Quick Guide
Principal Investigator (PI)
July 2017
Prepare a PDRF

1. Log into the SeRA web portal at: https://sera.stanford.edu/
2. On the right hand side of your screen, click on the button titled “Initiate New Proposal”
3. Select an “Agreement Type” by clicking on the drop down menu and highlight your desired selection
4. Click on “Next” located at the bottom right of your screen

A. *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

i. “Actions” (this is also located at the bottom left of your screen)
   1. Save
   2. Reassign
   3. Review for Completeness
   4. Submit for Approvals
   5. Terminate Transaction

ii. “Quick Links”
   1. View PDRF
   2. Add Project Comments
   3. View Project Comments (number in parenthesis reflect number of comments)
   4. Add Attachments (at the Transaction Level)
   5. View Project Attachments
**Proposal Development & Routing Form (PDRF)**
**PREPARE**

**PI & Project Location**
1. 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**
2. 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
   A. This information is linked to the database that is maintained by Land, Building, and Real Estate (LBRE)- if you are unable to locate your building name, please click on the LHN to quickly submit a HelpSU ticket to the SeRA Team
3. Toggle between screens using the “Previous” and “Next” buttons at the bottom right of your screen

**Admin & Sponsor Details**
1. In the “Administrative Details” section, all fields are required with the exception of the “Proposal Nickname”
2. 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
3. If you answer “Yes” to the “Sponsor Deadline” question, a date field will display and the “Internal Deadline” field will be calculated
   A. Calculated dates are business days and do not account for Stanford holidays
Project Personnel

1. Stanford Faculty
   A. Click “Add Stanford faculty member” to add all participating Stanford Faculty, excluding the PI, whose effort is budgeted or cost shared for this project
      i. All participating faculty must approve their participation in the project. Other approvers should be added as required
   B. 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
   C. You may route approvals to Other Stanford Faculty (OSF) prior to the PI approving their PDRF action item
      a. In the “Approvers & FYI’s” tab, enter approvers not already listed.

2. SLAC
   A. List any select SLAC personnel (paid by SLAC) that will be paid by this project by clicking “Add SLAC Personnel”
   B. 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)
   C. Enter their percentage of effort
   D. Navigate and click on the “Project Personnel” page to verify that the information is displaying correctly
      i. Use the “Edit” pencil icon to update/change the information if necessary
      ii. You may also attach the SLAC Statement of Work and SLAC Budget in this section using the blue hyperlink
3. **Other Key Personnel**
   A. 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
   B. Answer “**Yes**” or “**No**” to the “**Is this key member from another institution**” question
   C. 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)
      i. To add non-Stanford personnel not showing as a selection, please submit a HelpSU ticket to the SeRA support team with the following information:
         a. Person’s name (First, middle, last)
         b. Person’s email address
         c. Person’s phone number
         d. Name of Institution
      i. After the SeRA support team has added the non-Stanford personnel, you will be able to select that person from the name list
   D. Enter the percentage of effort
   E. Navigate and click on the “**Project Personnel**” page to verify that the information is displaying correctly
   F. Click the “**Edit**” pencil icon to update/change the information if necessary

**Budget Questions**

1. **Budget Information**
   A. Enter in the “**Total Requested Budget/Contract Value**”
   B. Answer “**Yes**” or “**No**” to “**Does the Sponsor have salary cap?**”

**Budget Information**

<table>
<thead>
<tr>
<th>Budget Information</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Requested Budget/Contract Value</td>
<td>$12,700.00</td>
</tr>
<tr>
<td>Does the Sponsor have salary cap?</td>
<td>Yes</td>
</tr>
<tr>
<td>Does the proposal require a modular budget format?</td>
<td>Yes</td>
</tr>
<tr>
<td>Integral Administrative Salaries?</td>
<td>Yes</td>
</tr>
</tbody>
</table>

2. **Indirect Costs (IDC)**
   A. Answer “**Yes**” or “**No**” to “**Does this proposal apply an F&A rate less than Stanford’s negotiated rates?**”
   B. If “**Yes**”, please see **Pre-Approved IDC Exception List** and answer “**Yes**” or “**No**” to “**Does this sponsor have a published policy regarding indirect costs?**”
      i. If “**Yes**”, you must request a reduced IDC rate for this project
         1. Click the “**Project-Specific IDC Waiver**” button to start the “**Project-Specific IDC Waiver Process**” - (For questions, please direct an email to the Dean of Research Compliance Group at...
Proposal Development & Routing Form (PDRF)

PREPARE

PI
dor_research_compliance_group@lists.stanford.edu

a. Project-Specific IDC Waiver Process
i. Once created, action buttons on the top and bottom of the IDC Waiver Request are available for your convenience

1. Project Information
   • Anything marked with a red asterisk is required, and you will not be able to proceed without filling this in

2. 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 represents true facilities and administrative costs for the University
   • Describe the special circumstances that justify the University covering these costs for your research

3. 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 either

4. Attachments
   • Attach a draft budget and scope of work for your project in the attachments by clicking the “Add
5. Routing History
   - The routing 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.

b. If “No”, enter in the “Requested Indirect Cost Rate (%)”
3. Cost Share
   A. Answer “Yes” or “No” to indicate whether or not this project includes costsharing
      *Unsure? Please check out the Stanford Policy on Costsharing
   b. If “Yes”, and “Mandatory Committed” (Required by the sponsor and is included in the proposal)
      i. Check all which applies
         1. Cash
            a. Enter the Cost Sharing Amount
         2. In-Kind
            a. 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
   b. If “Yes”, and “Voluntary Committed” (Not required by sponsor but included in proposal)
      i. Check all which applies
         1. Cash
            a. Enter the Cost Sharing Amount
         2. In-Kind
            a. 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

4. Subawards
   A. Answer “Yes” or “No” to indicate whether or not Subawards are included in this proposal
      i. If “Yes”, click on “Add Subrecipient”
      ii. Enter the Subrecipient’s Institution Name in the “Add Subrecipient” field
      3. If the subrecipient is not in the database, please contact your Institutional Official to have the subrecipient added
      iii. Key the PI name in the “Subrecipient PI Name” field
Project Questions

1. Compliance

   A. Answer “Yes” or “No” to indicate whether or not this project involves any of the following at Stanford or subrecipient sites:
      a. Animal Subjects
      b. Human Subjects
         i. If “Yes”, answer “Yes” or “No” to
            1. “Utilize services at CTRU?” *(Clinical & Translational Research Unit)*
               a. CTRU is a required field when Human Subjects are involved
            2. “Is this a Clinical Trial?”
               a. If “Yes”, answer “Yes” or “No” to
                  i. “Will you be enrolling participants outside of the United States?”
                     1. If “Yes”, and this project is awarded, it will need insurance coverage through Risk Management
            3. “Budget & Billing Workbook used for patient care costs?”

   c. Cancer Center Research

   d. Human Stem Cell
B. Export Control
   A. Answer “Yes” or “No” to indicate whether or not this project involves access to
      a. Disclosure-restricted technical information?
      b. Disclosure-restricted software code?
      c. Commercial items on the US Munitions List (ITAR)?
         1. 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
   C. Answer “Yes” or “No” to “Will Stanford personnel ship or hand carry laptops, equipment, components, materials or software on media internationally?”
      1. 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
         iv. Please note that certain Sponsors will also trigger an automatic Export Control task for review, e.g., Department of Defense, DARPA, NASA, etc.

B. International & Global Business
   i. 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 or acquired outside of the United States.
   ii. Answer “Yes” or “No” to the various questions outlined specifically to GBS
C. SLAC

iii. 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.

iv. Answer the various questions outlined specifically to SLAC.

D. Training

v. 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.

vi. In the previous version of SeRA, the “PI Training” is actually a clickable link which directs to DoResearch’s “PI Training: Stewardship and Compliance for Principal Investigators” web page. It is no longer a clickable link.

vii. If the PI has completed their PI Training and it is still displaying as “Not Completed”, please submit a HelpSU ticket to the STARS Team.

E. COI (formerly Conflict of Interest Status)

viii. 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).

ix. This section is merely to advise you of whether or not there are any current known conflicts.
F. Research Risks (formerly Project Questions and Study Details)
  x. 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.

G. Waivers
  xi. 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
  xii. To add or update Waivers, please go to the “Transaction Log” page to do so

Proposal & Attachments
  1. 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
     A. Click the “Add New Attachment” button
        i. Select a “Category” & “Sub Category”
           1. Based on your level of access, the Categories available to you may differ than that of another user
        ii. Choose your file location
        iii. Add a “File Tag(s)” if so desired
        iv. Click “Attach”
     B. To link to an existing attachment, click the “Link to Existing Document” button
        i. Select which attachments you’d like to link the transaction to and click “Add Attachments”
        ii. The linked attachment will now show up on the list of attachments in that transaction
Approvers & Comments

1. Enter in any pertinent information in the “Instructions/ Remarks” free text section

2. All default approvers for the PI's department will be listed in the “Approvers” section
   A. 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

3. The PDRF will route in the routing order specified
   A. You can change the routing order by clicking the “Up” or “Down” arrows in the “Routing Order” column

4. In the “FYI” section, add any users you would like to be notified once the proposal once all approvals have been completed

5. Select your Institutional Official based on the Institutional Organization
Transaction Log

1. 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)*

   A. Applies to sections that have the “calendar” icon
      
      i. You can manually enter the date in the field next to the “calendar” icon
      
      ii. 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/arrow will allow the selections to display)*

   B. Applies to sections that have a “green plus sign” with “Comment” as a hyperlink
      
      i. You can define whether the comment you are entering is:
         1. “Private Comment” - Viewable only by Central Office Personnel
         2. “Project Level Comment” - Viewable only on the Project Level screen
         3. There is a maximum character count of 4000
         4. Click “Add to Log” to save your comment

Review for Completeness

1. 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
   
   a. NO - all fields have NOT been answered
      
      i. A screen will display detailing the missing information
   
   b. YES - all fields ARE completed and answered
      
      A green message will be displayed that reads: “All required information in this PDRF is complete. Please route the PDRF for approvals.”

2. Click the “Route for Approvals” button underneath the message or via the RHN

3. You will be returned to your Home page and the PDRF will no longer be listed in the “Action Items” section