University Research Awards PDRF Process

Departments receiving a University Research award must submit a SeRA Proposal Development Routing Form (PDRF) to the Office of Sponsored Research (OSR) to issue an Award Approval Notification (AAN) and trigger the account (Oracle PTA) set-up process. All University Research PDRFs and awards are processed by OSR. Select the Office of Sponsored Research as the Institutional Organization and your assigned OSR Institutional Official from this assignment list.

Processing University Research Awards
1. Go to the SeRA Dashboard (http://sera.stanford.edu)
2. Click on the Start Proposal menu and select PDRF
3. Select Agreement Type > University Research Agreement and click Start. You will be directed to the Principal Investigator & Project Location (Proposal – New) Page.

Left Hand Navigation
The left hand navigation (LHN) displays:

- SeRA Home Page - My Dashboard (for administrators) / My Projects (for faculty)
- SPO number
- Proposal (P#)
- Transaction ID#
- Transaction Home page
- PI & Project Location
- Admin & Sponsor Details
- Project Personnel
- Budget Questions
- Budget Detail
- Project Questions
- Proposal & Attachments
- Approvers & Comments
- Transaction Log
ID#: Unique identifier in PDRF(#######) format
Assignee: Name of current transaction assignee
Status: The current state of the transaction

**Actions** provide options to:

- **Save** the transaction and return to the SeRA home page without routing the request
- **Reassign** the transaction to another person
- **Review for Completeness** - review fields to determine if all required fields were completed
- **Submit for Approval** - Routes the PDRF for approvals
- **Terminate** - terminate the request

**Quick Links** provide links to:

- **View PDRF** - the Proposal Development Routing Form routed for the project proposal
- **Add Project Comments** – add a new or edit an existing comment pertaining to the project
- **View Project Comments**- lists comments that have been added pertaining to the project
- **Add Attachments** – add attachments needed or the appropriate documents
- **View Project Attachment** – view all previously added project attachments
4. Principal Investigator & Project Location

**Principal Investigator & Project Location (Proposal - New)**

- **Enter PI Name or SUNet ID**
- **Select appointment type**
- **Enter 0% for Effort**
- **Select “No”**
- **Select “Other”**
- **Enter “University Research”**
- **Select as applicable**

**Project Location**

- **Enter primary bidg and room number where work will be done**
- **Enter any other locations of project, if applicable**
- **Select “Yes” or “No”**

*Locations for other participating Stanford faculty can be entered on the Other Stanford Faculty page*
5. Administrative & Sponsor Details

Administrative & Sponsor Details (Proposal - New)

- **Administrative Details**
  - Enter Project Start and End Dates
  - Select Research
  - Identify if project is on/off campus
  - Enter Title of Project
  - Optional Field
  - Optional Field
  - Enter Dept/Lab/Institute that will receive the award
  - Enter Dept/Lab/Institute administrative contact for the award
  - Enter Dept/Lab/Institute PTA contact for the award

- **Sponsor Details**
  - Enter Stanford internal sponsor
  - Select “No”
  - Enter Stanford internal sponsor reference # if provided, otherwise enter NA
  - Select “Yes - Other”
  - Allow for OSR 5 day internal processing time
  - Select “Internal Processing Only”
  - Leave boxes unchecked
  - Select as appropriate. If yes, please upload program announcement as an attachment
  - Select “No”
6. **Project Personnel (if applicable)**

![Diagram of Project Personnel Form]

- **Stanford Faculty**: 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. Click the ROUTE button to initiate the approval routing process for each faculty member listed. Please note, the following information must be entered in the PDF before routing can be initiated: Principal Investigator, Sponsor, Project Title & Administering Organization.

  - Ensure Dates: Faculty without an end date identified are considered active on the project. To re-activate a faculty member shown with an end date, click Set Dates to update the effective dates.

- **SLAC**: List any SLAC personnel (paid by SLAC) that will be paid by this project by clicking Add SLAC Personnel. Please note, SLAC requires review and approval of all SLAC personnel participating in sponsored projects. By adding SLAC personnel, the system will automatically trigger a SLAC approval task.

- **Other Key Personnel**: List any other Stanford Non-Faculty or Non-Stanford Individuals who are identified as Key Personnel on this project.

Complete as applicable
For each Other Stanford Faculty participant, complete the following two tabs. The OSF Information section at minimum must have the OSF's Role and Faculty Member Name selected before adding the Approvers and FYIs.
7. Budget Questions

Budget Questions (Proposal - New)

- **Budget Information**
  - Total Requested Budget/Contract Value
  - Does the Sponsor have salary cap?
    - Yes
    - No
    - Enter Award Amount

- **Indirect Costs (IDC)**
  - Does this proposal apply an F&A rate less than Stanford’s negotiated rates?
    - Yes
    - No
  - Requested Indirect Cost Rate (%)
    - Enter N/A

- **Cost Share**
  - Does this project include costsharing?
    - Yes
    - No

- **Subawards**
  - Are subawards included in this proposal?
    - Yes
    - No

*NOTE: Subawards outside, non-Stanford entities*
8. Budget Details

For each budget period enter Start and End date, $ values for category, as per internal budget.

Select 'Project Only Waiver'

Select 'TDC (Total Direct Costs)'

Last Revised: April 12, 2018
### Project Questions (Proposal - New)

#### Compliance

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does this project involve the following (at Stanford or any subrecipient site):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Animal Subjects</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Human Subjects</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Human Stem Cells</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Note:** If animal or human subjects are involved in the project, remember that this project must be added on a funding source to the approved IRB or APLAC protocol.

#### Export Control

Stanford research must comply with all export control regulations and university policies, and must be assessed for export license applicability. For guidance refer to the Export Control Decision Tree or contact Steve Essex.

- Will the project involve access to:
  - [ ] Third-party technical information or software source code that is disclosure restricted?
  - [ ] Items on the US Munitions List (EAR 121)?

- Will the project involve international shipments or land carries of equipment, components, materials, or third-party software?

#### International & Global Business

- Will there be any international activity as part of this project, including travel, subawards or the use of resources (e.g., funding, people, equipment, etc.) outside of the United States?

#### SLAC

- Will research be done at SLAC?
- SLAC resources be required to perform research (e.g., computers, computer processing, laboratories, equipment)?
- Will any RUC personnel paid by SLAC be paid by this project?

**SLAC Office Review**

No Review Comments have been recorded.

**Review Comments**

No Comments have been recorded.

#### Training

- IT Training
  - Must be completed prior to Notice of Award
  - No data found
  - Complete your IT Training
  - Issue and Submit a STARS HelpSU Ticket

#### Research Risks

<table>
<thead>
<tr>
<th>Risk Area</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cancer-related risks</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Human blood or body fluids</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infections/Biohazardous agents</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recombinant DNA molecules</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Biological hazards</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Waivers

Add or update Waivers on the Transaction log page.
10. Attachments

**Proposal & Attachments**

In this section attach all documents of the award. Please include the following items:

- Proposal Guidelines
- Copy of Final Proposal
- Proposal Budget
- Proposal Budget Justification
- Awarding letter from University internal sponsor

For each attachment click on the 'Add New Attachment' button, and a pop-up window will open for you to label and attach the document.

Attach documents into the correct **Category** and **Sub Category** as detailed in the following screens.

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**a. Attaching Program Guidelines**

Upload Program Guidelines

Category: Select 'Program Guidelines'

Sub Category: Select 'Program Guidelines'

Optional, File Tag(s): Program Guidelines
b. Attaching Final Proposal

File Location: Click 'Choose File' & Find file

Category: Select 'Proposal Documents'
Sub Category: Select 'Proposal - New'
Optional, File Tag(s): Final Proposal

Upload Final Proposal

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c. Attaching Budget

File Location: Click 'Choose File' & Find file

Category: Select 'Detailed Budget & Justification'
Sub Category: Select 'Budget - New'
Optional, File Tag(s): Budget

Upload Budget
d. Attaching **Budget Justification**

- File Location: Click 'Choose File' & Find file
- Category: Select 'Detailed Budget & Justification'
- Optional, File Tag(s): Justification

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e. Attaching **Award Letter**

- File Location: Click 'Choose File' & Find file
- Category: Select 'Proposal Documents'
- Sub Category: Select 'Other'
- Optional, File Tag(s): Award Letter
11. Approver & Comments

Departments manage their Default Approver and FYI lists for all PDRF’s. For most departments, the Approver and FYI’s will auto populate on all PDRF’s. The following instructions are for ‘Manually’ adding approvers or FYI’s that may not be listed.

Enter any instructions or remarks here if applicable

Approvers:
Enter approver Name or SUNet ID, based on your department and/or school approval requirements.

For Independent Labs, Institutes and Centers that fall under the Dean of Research, also be sure to select Dean of Research

Enter any FYI’s if applicable

Select ‘Office of Sponsored Research’

Select your Contract & Grants Officer from the Institutional Officials list

Click ‘Submit for Approval’ to begin the PDRF approval routing

All attachments must be uploaded before routing the PDRF for approval.