

Pre-Award Procedures Manual

updated June 2022

The following document is intended for use as a resource by DSU faculty and staff who are engaging in (or planning to engage in) externally sponsored programming, including research. Because many research policies are continuously being updated, Principal Investigators (PI) should review research protocol prior to each submission using the “Research” portion of the DSU website and the portal>academics>research.

This document provides an overview of—and centralized place for—relevant policy, information, and institutional procedures. It is the researchers’ responsibility to comply with federal, institutional, and BoR policy as well as funder guidelines. Unless specifically noted, all guidelines and policies apply to faculty, staff, and student researchers.

The DSU Pre-Award Procedures Manual is updated on a regular basis and in no way takes the place of the policies it highlights.

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Part 1: Key Abbreviations & Contact Persons

PI (Principal Investigator)/ Co-PI

RED (Research and Economic Development)

Contacts: Beth.Delzer@dsu.edu Administrative Assistant

Ashley.Podhradsky@dsu.edu VP, Research and Economic Development (VPR)

OSP (Office of Sponsored Programs)

Contact: Peter.Hoesing@dsu.edu Director of Sponsored Programs

GCO (Grants & Contracts Office)

Contact: Sara.Hare@dsu.edu Director, Grants & Contracts Office

Office of Graduate Studies and **CTL** (Center for Teaching and Learning)

Contact: Mark.Hawkes@dsu.edu Dean of Graduate Studies

HR (Human Resources)

Contact: Debra.Roach@dsu.edu VP of Human Resources

SDBOR (South Dakota Board of Regents) Visit: www.sdbor.edu

IRB (Institutional Review Board)

Contact: irb@dsu.edu

Export Controls

BoR Contact: Nathan Lukkes, JD, SDBoR General Counsel

DSU Contact: ExportControls@dsu.edu (please use this contact first)

CITI (Collaborative Institutional Training Initiative)

Visit: www.citiprogram.org

Contact: beth.delzer@dsu.edu

DSU Office of Institutional Effectiveness, Assessment, and Policy

Contact: Jeanette.McGreevy@dsu.edu

Director of Institutional Effectiveness, Assessment, and Policy

IR: (Institutional Research)

Contact: Laura.Cross@dsu.edu Director of Institutional Research

ITS: Information Technology Services

Contacts: Brent.VanAartsen@dsu.edu

Chief Technology Officer

Shawn.Jaacks@dsu.edu

Chief Information Officer

Ben.Cable@dsu.edu

Chief Information Security Officer

Part 2: Research & Related Policies/ Information

Prior to submission, all principal investigators at DSU are required to acknowledge their awareness of and compliance with federal, BOR, and institutional policies related to their research. It is your responsibility as a researcher to be aware of policy and report all known and potential research risks to the Office of Sponsored Programs. Links to many relevant policies are provided below and are continually updated. Note: funding agencies and mechanisms vary – PIs should consult all materials provided by the specific funder at time of proposal submission and grant award.

Please contact OSP, GCO, or HR if you require assistance or have questions related to any of the following.

Relevant policies include (but are not limited to):

Office of Management and Budget Regulations:

- [Uniform Guidance](#) (2 CFR Part 200)

See also [DSU Post-Award Procedures Manual](#) for information on:

- Expenditures
- Financial Records
- Budget Revisions
- Cost Transfers
- Pre-Award Costs
- Record Retention
- Subcontracts
- Travel
- Effort Reporting

Proposal Submission & Lead Time

- [DSU Policy 03-04-00](#)

Sponsored Programs/Research Links:

- [BOR Policy 5:2: Externally-Sponsored Programs](#)
- [DSU Policy 04-80-00: University Research Committee](#)
- [DSU Portal: Research](#)
- [DSU Portal: Grants & Contracts](#)

Human Subjects:

- [OHRP Policy](#) (Office of Human Rights Protection/ Health and Human

Services; Code of Federal Regulations PART 46: Protection of Human Subjects)

- [DSU Policy 04-03-00: Use of Human Subjects in Research at DSU](#)
- [DSU Policy 01-20-00: Research-Based Data Collection and Release Policy](#)
- [CITI training link](#)
- [DSU IRB Evaluation](#)

Export Controls:

- [BoR Policy 4:48](#)
- [CITI training link](#)
- Links to federal resources:
 - <http://www.pmddtc.state.gov/>
 - <https://www.treasury.gov/about/organizational-structure/offices/Pages/Office-of-Foreign-Assets-Control.aspx>
 - <https://www.bis.doc.gov/>
 - <https://www.fbi.gov/file-repository/business-travel-brochure.pdf/view>

Responsible Conduct of Research:

- [DSU Policy 03-80-00](#)
- [CITI training link](#)

Conflict of Interest:

- [BOR Policy 4:19](#)
- [BOR Policy 4:35](#)

Intellectual Property:

- [BoR Policy 4:34](#)

Other important links:

- [Post-Award Procedures Manual](#)
- All DSU policies can be located at dsu.edu/policies.html
- All BoR policies can be located at <https://www.sdbor.edu/policy/Pages/Policy-Manual.aspx>

Part 3: Required Training

DSU uses the [Collaborative Institutional Training Initiative \(CITI\)](#) to manage training modules for basic research aptitudes. **CITI Training is required for the following:**

Responsible Conduct of Research (RCR): Per [DSU Policy 03-80-00](#), all DSU researchers involved in a given research project (funded or otherwise)

are expected to complete RCR training. It is the faculty supervisor/PI's responsibility to track students' completion of this requirement.

Export Controls: Per [DSU Policy 03-80-00](#), all DSU researchers involved in a given research project (funded or otherwise) are expected to complete Export Compliance training. It is the faculty supervisor/PI's responsibility to track students' completion of this requirement.

Human Subjects Research: All faculty, staff, and students who plan to conduct research involving human subjects are required to complete CITI training as part of the IRB application process. Applications cannot be reviewed unless or until CITI training is complete.

CITI training is valid for three (3) years. After two years, additional training (often in the form of a refresher course) is required to meet policy expectations. To begin training, visit citiprogram.org

Part 4: Identifying Funding

Researchers are encouraged to explore various types of funding sources, including:

- Federal funding
- State funding
- Local funding
- Private/Non-Profit agencies, Foundations
- Companies (for-profit)
- Internal (FRI, SRI, START)

Institutional Database Subscriptions

In addition to federal entry points available online (nsf.gov, grants.gov, the Federal Registry, etc.), DSU subscribes to a database called Foundation Directory Online, a CANDID resource. FDO may help identify funding sources. Access is available via the library website ("[Databases A-Z](#)," search under "F").

The Office of Sponsored Programs and Karl Mundt Library are available to assist all faculty, staff, and students with individual funding searches. Investigators should feel free to utilize all available resources (available through the library website) and/or contact OSP for assistance.

SD Board of Regents Funding Opportunities

State funding through the SDBOR is posted annually [here](#).

Faculty Research Initiative (see also Student Research Initiative in Section 8): The Faculty Research Initiative (FRI) is intended to encourage and facilitate faculty Scholarship/research/creative activity. FRI proposals are reviewed in a competitive process by the University Research Committee. Successful proposals receive funding through the Office of Sponsored Programs. The intent of this competitive program is to foster and reward scholarship/research/creative activities among DSU's faculty. Funding priority will be given to new faculty and to faculty who need assistance establishing a research agenda.

Additional Funding Notifications

The Office of Sponsored Programs shares select funding opportunities as they become available through email to all faculty/deans. Sponsored Programs is committed to assisting all faculty and staff identify possible funding sources. Should you wish to discuss your specific project or general funding goals, please reach out to the OSP (Peter.Hoesing@dsu.edu) to facilitate individualized funding searches.

Part 5: Proposal Submission Processes at DSU

When a PI is aware they will be responding to a specific RFP, PIs should fill out a form declaring their [*Intent to Propose*](#).

The purpose of the *Intent to Propose* form is to:

- ensure that DSU is eligible to apply for the grant
- facilitate initial discussions, often related to resources and capacity, with university leadership
- determine if multiple PIs are interested in responding to the same RFP
- and allow sufficient time to resolve potential research risks (COIs, Export Controls licenses, IRB clearances, etc.) in the proposal planning stages.

Completing the *Intent to Propose* does not require a researcher to have a fully articulated and final research protocol. A reference-only PDF file of the questions you can expect on the form is available on the Research page of the portal.

If the research protocol involves human subjects, the PI must complete a [*Human Subjects Evaluation*](#). This should typically be submitted prior to proposal submission, but the determination from the IRB needn't be documented prior to submission.

In the days leading up to the submission, the Office of Sponsored Programs will use the final draft of the proposal and budget to generate the *Proposal Endorsement Form* and secure approval of final documents. The purpose of this short form is to automatically route final documents for review and approval by the College Dean in the PI's academic area, the Provost and the VPR. Appropriate signatures must be secured in the *Proposal Endorsement Form* before the Sponsored Programs Office can be authorized to submit a proposal on behalf of DSU.

It is at this point a researcher will certify their compliance with various university, BoR, and federal policy and where Dean(s) and VP(s) will endorse the proposal for submission (certifying its alignment with the College and/or University's mission, reviewing discipline-specific content to the extent they are able, and confirming resource availability and/or project sustainability, if applicable).

Part 6: Proposal Preparation Guide & Checklist

NSF publishes an updated Proposal and Award Policies and Procedures Guide (PAPPG) each year, usually in January. [Bookmark their link](#) to ensure use of the updated version.

Part of the PAPPG furnishes a [checklist](#) for those preparing proposals. Even proposals under development from other agencies can benefit from the use of this checklist, which can also be tailored to specific projects. Please note that this is most useful as a collaborative document, as some items are already addressed by OSP and Business Office staff.

Part 7: Student Research at DSU

Council on Undergraduate Research (CUR)

Dakota State University's membership in the Council on Undergraduate Research (CUR) includes [access](#) for all faculty, staff, and students.

Undergraduate Student Mentored Research Initiative (SRI)

The Undergraduate Student Mentored Research Initiative (SRI in brief) program is intended to encourage and facilitate undergraduate student research and creative activities and to reward and recognize superior intellectual and creative activity. Students from all colleges on campus are invited to apply. Successful applicants will work closely with a faculty member of their choosing. Projects must be initiated and completed by the students and are expected to achieve a level of scholarly sophistication beyond the expectations of a class assignment.

SRI proposals are reviewed by the University Research Committee each fall in a competitive process. Award recipients present their research or creative project at the university's annual Research Day in the spring. More information (including application materials) can be found in the "Research" portion of the student portal or at dsu.edu/research. Questions can be directed to Undergraduate Research Coordinator Dr. Stacey Berry (Stacey.Berry@dsu.edu).

Graduate Student Research Initiative (GRI)

Like the SRI program, GRI encourages and facilitates graduate student research with a similar philosophy, process, and expectation of deliverables at the spring Research Day. More information (including application materials) available at dsu.edu/research. Questions should be directed to the Office of Graduate Studies.

Part 8: Committees

University Research Committee

Chaired *ex officio* by the VPR, the University Research Committee brings all elements of institutional and faculty research together, including human subject review functions to enhance and deploy University resources in support of research and scholarship. The role of the University Research Committee is to encourage and support faculty and students in engaging in scholarly and creative activities. Scholarly/creative activities are defined as applying for research grants, conducting and publishing peer-reviewed research, applying for patents and copyrights, and disseminating research results through presentations in local, national, and international conferences and exhibitions.

Export Controls Committee

The Export Controls committee is co-chaired by the Directors of OSP, International Programs, and Grants & Contracts. It includes representation from campus security, human resources, and ITS.

Institutional Review Board

The IRB serves as the administrative and oversight body established to protect the rights of human beings in research endeavors as directed by the Belmont Report, "Ethical Principles and Guidelines for the Protection of Human Subjects of Research." Based on recommendations in the Belmont Report, federal rules require the development of an Institutional Review Board for the protection of research endeavors involving human subjects, and in particular, research for which institutions receive federal funding. The IRB at Dakota State University ensures that human subjects used in any research activity, in any capacity, are adequately protected, as is governed by federal law. The Federal Policy for the Protection of Human Subjects, also referred to as the Common Rule, has been codified at 45 CFR 46 Protection of Human Subjects, Subparts A-D and can be found on [the Office of Human Research Protection \(OHRP\) website](#).

All research involving human participants conducted by Dakota State University (DSU or this institution) faculty, staff, or students requires the approval of the IRB. All projects must be fully approved before any use of human participants occurs.

Part 9: Surveys & Data Requests

To request existing data and/or permission to survey staff and students, please email the [Office of Institutional Research](#).

Part 10: Marketing & Promotional Opportunities

All PIs must comply with funder guidelines related to public access of their research results (see Public Access policies in Part 1).

Additionally, the Research and Sponsored Programs Offices (along with DSU's marketing personnel) welcome the opportunity to share your research news and updates with internal and external audiences through the following avenues:

- Research Report (issued annually each spring)
- Research Day (held annually each spring)
- University Press Releases and/or DSU.edu (prepared in collaboration with the Office of Marketing and Communication)

Note: Students must sign a Photo Release Form in order for their photo to be

included in university publications. Please email marketing@dsu.edu with any questions related to this process.