

Pre-Award: Procedures Manual

The following document is intended for use as a resource by DSU faculty, staff, and students who are engaging in (or planning to engage in) externally sponsored 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 researcher’s 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

REDA (Research and Economic Development Affairs)

Contacts: sarah.olson@dsu.edu

Program Assistant

josh.pauli@dsu.edu

VP of Research and Economic Development

OSP (Office of Sponsored Programs)

Contact: Peter.Hoesing@dsu.edu

Director, Office of Sponsored Programs

GCO (Grants & Contracts Office)

Contact: Sara.Hare@dsu.edu

Director, Grants & Contracts Office

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

Contact: Mark.Hawkes@dsu.edu

Dean, Graduate Studies

HR (Human Resources)

Contact: Angi.Kappenman@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: Katie Ludvigson, JD, Empowered Official

Katie.Ludvigson@sdsmt.edu

DSU Contact: Jayne.Valnes@dsu.edu

Compliance Manager

CITI (Collaborative Institutional Training Initiative)

Visit: www.citiprogram.org

Contact: Jayne.Valnes@dsu.edu

OIEA (Office of Institutional Effectiveness & Assessment)

Contact: Jay.Kahl@dsu.edu

Director, Office of Institutional Effectiveness & Assessment

IR: (Institutional Research)

Contact: Kristy.Ullom@dsu.edu

Director, Office of Institutional Research

ITS: Information Technology Services

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 Offices of Sponsored Programs and Research Compliance. 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, GSR, 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 related to:
 - 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](#)
- [BoR Policy 3:19: Student E-mail Accounts](#)
- [BOR Student Opinion Surveys Administration Guidelines](#)
- [CITI training link](#)
- [DSU IRB Application](#)

Export Controls:

- [BoR Policy 4:48](#)
- [System Export Control Webpage](#)
- [CITI training link](#)
- DSU Policy (coming soon)

Links to federal resources:

- <http://www.pmdtdc.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 4:21](#)
- [BOR Policy: 4:21.1](#)
- [BOR Policy 4:35](#)
- [BOR Policy 4:19](#)

Intellectual Property:

- [BoR Policy 4:34](#)

Research Data Collection & Retention:

- BoR Policy
- DSU Policy
- [Data/Survey Request Form](#)

Public Access:

- DSU Public Access Policy (coming soon)
- Researchers should review funding agency guidelines as the policies vary among agencies. Many policies/plans can be found here:
http://www.cendi.gov/projects/Public_Access_Plans_US_Fed_Agencies.html

Other important links:

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

Part 3: Identifying Funding

Funding Sources:

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)

Institutional Database Subscriptions:

In addition to federal entry points available online (nsf.gov, grants.gov, the Federal Registry, etc.), DSU subscribes to the following databases that may help you identify funding sources. To access these databases, visit the Library website ("[Databases A-Z](#)").

- SPIN Plus
- Foundation Directory Online

Detailed instructions are available; please contact the Office of Sponsored Programs for training.

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) or contact OSP for assistance.

SD Board of Regents Funding Opportunities:

State funding through the SDBOR is posted annually at: <https://www.sdbor.edu/administrative-offices/academics/research/Pages/Request-for-Proposal.aspx>

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 and successful proposals receive funding through the Office of Academic Affairs. 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 either 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 4: Submission Approval Processes at DSU

When a PI is aware they will be responding to a specific RFP, PIs should fill out an *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.

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 Research Dean, and relevant Vice President(s). Appropriate signatures must be secured in the *Proposal Endorsement Form* before the Sponsored Programs Office is 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 5: Internal Forms for Grant-seekers

[Intent to Propose](#)

Human Subjects Clearance Application (revision coming soon)

Part 6: Proposal Preparation Guide & Checklist

(resource coming soon)

Part 7: Required Training:

CITI Training is required for the following:

- **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. [DSU Policy: Human Subjects](#)

Additional IRB-specific resources are available in the Research section of the University portal.

- **Responsible Conduct of Research:** Per [DSU Policy 03-80-00](#), all students who assist with or are otherwise involved in a 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. The Sponsored Programs Office can assist students in accessing the training and/or creating a CITI account.
- **Export Controls:** See BoR policy 4:48. If you have questions related to whether or not this training applies to you, contact the Dean of Graduate Studies and Research at DSU.

CITI training is valid for two (2) years. After two years, additional training (often in the form of a refresher course) is required to meet policy expectations.

To begin training, contact Sponsored Programs Office or visit citiprogram.org

Part 8: Student Research at DSU

Council on Undergraduate Research (CUR)

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

To join, please visit: https://members.cur.org/members_online/members/newmember.asp

Student Research Initiative (SRI)

The Student Research Initiative (SRI) program is intended to encourage and facilitate undergraduate and graduate student research and creative activities for the purpose of rewarding and recognizing 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, but 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. Questions can be directed to either the Graduate Office (gradoffice@dsu.edu) or the Office of Sponsored Programs (kacie.fodness@dsu.edu).

Part 9: Committees

University Research Committee

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 activities. Scholarly activities are defined as applying for research grants, conducting research, applying for patents and copyrights, and disseminating research results through presentations in local, national, and international conferences and publishing in peer-reviewed publications.

Export Controls Committee

The Export Controls committee is chaired by the Dean of Graduate Studies & Research and includes representation from Sponsored Programs, Grants & Contracts, Human Resources, and International Programs.

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 10: Surveys & Data Requests

To request existing data and/or permission to survey staff and students, please complete the [Data/Survey Request Form](#), after which, a representative from Institutional Research and/or the IRB will be in contact with you.

Researchers can also email irb@dsu.edu or the Office of Institutional Research with any questions.

Part 11: 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)
- BoR Quarterly Updates
- University Press Releases (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.