

# **SOUTH DAKOTA SCHOOL OF MINES & TECHNOLOGY**

## **Policy Manual**

**SUBJECT:** Proposal Submissions for Sponsored Programs

**NUMBER:** Policy 9-5 (formerly Policy IX-10)

**Revised Date:** February 2025

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The Office of Sponsored Programs (OSP) is responsible for the coordination and administration of all applications for contracts and grants with a defined scope of work and deliverables. The PI and, if applicable, their co-PIs and other members of a research team will develop the technical components of the proposal and other required ancillary documents (biographical sketches, current and pending support, post-doctoral mentoring plans, etc.). The PI works with OSP on budget development and review, documenting facilities and administrative (F&A) cost distributions (if applicable), documenting cost sharing commitments (if applicable), compliance with required components of the submission packet, and final submission to the agency.

A PI notifies OSP of their intention to submit a proposal through submission via the designated online portal. Notice of Intent (NOI, also referred to as Intent to Propose) deadlines are in place and are enforced. These deadlines are as follows:

- If a Mines PI is submitting a proposal directly to an agency and there are no subawards, the PI must submit the NOI at least 10 BUSINESS days prior to the proposal submission deadline (submission deadline date + 10 working days).
- If a Mines PI is submitting a proposal directly to an agency and there are one or more subawards, the PI must submit the NOI at least 11 BUSINESS days prior to the proposal submission deadline (submission deadline date + 11 working days).
- If a Mines PI is submitting a subaward and another entity is the lead, the PI must submit the NOI at least 15 BUSINESS days prior to the proposal submission deadline (submission deadline date + 15 working days, allowing 5 days for the submitting entity to do their own routing).

For some RFPs, many Mines PIs choose to submit for the same deadline (e.g., SDBOR Research Competitiveness Grants). In these cases, additional days may be required to handle the high volume of submissions. These special deadlines will be announced by OSP shortly after an RFP is published.

In addition to proposal components, other disclosures are required as part of the proposal approval process. Some affirmative disclosures may require additional documentation and approvals if they are related to:

- submission through an approved research center or designated university research laboratory
- space reallocation, renovation or alteration (as defined in SDBOR 6.6) within buildings or on campus grounds

- location(s) where research will take place, including international activities.
- financial conflicts of interest, related parties' transactions, or self-dealing disclosures.
- use of human subjects or animals.
- use or production of radioactive materials, radiation producing equipment, controlled substances, or hazardous materials.
- confidential treatment of the results of proposed research, or the use of information proprietary to the sponsor.
- use or development of export-controlled items; International Traffic in Arms Regulations (ITAR) data or items; or transmission of funds, goods, or technology to sanctioned countries. Related to this is disclosure of involvement of foreign nationals in a project.
- documentation of Responsible Conduct of Research (RCR) training.
- inclusion of minors in project activities.
- intellectual property disclosures.
- whether the sponsor disallows or caps allowable indirect costs and/or whether there is required cost sharing.
- whether a portion of the project will be performed through a subaward or contract.

Failure to accurately disclose information could result in return of awards.

At least 3 business days prior to the proposal submission deadline, OSP will upload the budget, F&A form, and cost sharing form, as appropriate, to the Cayuse portal. OSP is solely responsible for final budget approval. At the same time the PI will upload the project description and other internal documents needed for approval to the Cayuse portal.

Prior to any proposal submission the following signatures are required:

- Principal Investigator and Co-Investigator(s);
- Department Head(s) of involved department(s);
- Research Center or Institutional Laboratory Director, if applicable;
- Vice President for Research
- Provost and Vice President for Academic Affairs

While the proposal is being routed for signatures, OSP will upload the budget and budget justification to the agency portal, while the PI, or designee, uploads other required documents for the proposal packet.

Once routing is complete, OSP will submit the proposal package, on behalf of the PI. OSP is the only agent authorized to submit proposals at Mines. Submissions must take place within normal business hours, even if the agency deadline occurs outside those hours.

Researchers should be aware that once a proposal is submitted it may become part of the public domain and available through a Freedom of Information Act (FOIA) request to the funding agency or to Mines.

**Source:** Office of Research Affairs

**Revision History:** Established: unknown, Revised: May, 2015; Revised: February, 2025 to clarify policy.

**Procedure Documents:**

[Proposal Submission Guidelines](#)

[Guidelines for Use of Human Subjects, Animals in Research](#)

[Guidelines for Grant Funding for Minor Travel](#)

**BOR or Mines Policy:**

[SDBOR 1.6.4 Minors on Campus](#)

[SDBOR 4.9.2 Private Practice, Consultation, or Outside Employment](#)

[SDBOR 4.9.3 Conflict of Interest](#)

[SDBOR 4.9.4 Investigator Financial Disclosure](#)

[SDBOR 4.9.5 Public Health Service Investigator Financial Disclosure](#)

[SDBOR 4.9.6 Export Controls](#)

[SDBOR 5.4 Purchasing](#)

[SDBOR 7.6 Technology Purchases](#)

[Mines 4-20 Conflict of Interest](#)

[Mines 6-7 University Space Policy](#)

[Mines 9-1: Distinguishing Among Gifts, Grants, and Contracts for Administration of External Funds](#) (formerly IX-01)

[Minex 9-3: Cost Sharing for Research and Other Sponsored Activity](#) (formerly IX-04)

[Mines 9-4: Authorization and Review of Research Centers](#) (formerly IX-07)

[Mines 9-14: Training Requirement in Responsible Conduct of Research \(RCR\)](#) (formerly IX-20)

[Mines 9-16: Facilities and Administrative Cost Distribution](#) (formerly IX-22)