

# SOUTH DAKOTA SCHOOL OF MINES AND TECHNOLOGY

## Policy Manual

**SUBJECT:** Organizational Prior Approval System

**NUMBER:** Policy IX-12

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### **POLICY**

The Organization Prior Approval System (OPAS) is necessary for the approval of certain actions pertaining to externally-sponsored awards for research and educational projects. OPAS review and approval does not apply to actions included in the proposal, approved by the awarding agency, or otherwise delegated to the Principal Investigator (PI) by agency policies.

### **PROCEDURE**

1. Within certain agency constraints, SDSM&T has the authority to approve the following actions:
  - a. Alteration and renovation costs aggregating less than \$10,000 to adapt space or utilities within a completed structure to accomplish awarded project objectives.
  - b. Subcontracting a part of the project effort.
  - c. Purchasing equipment not in the original budget or award.
  - d. Retaining consultants for which provision was not made in proposal or award.
  - e. No-cost time extensions as allowed by the sponsoring agency.
  - f. Pre-award costs incurred within the 90-day period immediately preceding the effective date of the award.
  - g. Domestic travel expenditures exceeding the amount budgeted for travel.
  - h. Foreign travel and support of dependents.
  - i. Transfer of funds between budget categories.
2. The OPAS request form (Attachment A) shall be completed by the PI and then submitted to either their Department Chair or Center/Institute Director for review and approval signature. From there, the form will go to the Office of Sponsored Programs for review and approval signature.
3. Authority to approve the actions listed above is subject to the understanding that the general level of effort, the scope and the objectives of the approved project will not be altered. The proposed action must be reviewed in advance and must be consistent with the award conditions. Funding agencies have retained the authority to approve changes in Principal Investigators, objectives, or scope of approved projects.
4. The Office of Sponsored Programs will maintain a master file of all approved or disapproved OPAS requests.

5. The Department or Center/Institute requesting an OPAS approval shall be responsible for subsequent cost disallowances incurred as a result of an OPAS approval by SDSM&T.

ORGANIZATIONAL PRIOR APPROVAL SYSTEM FORM (OPAS)

SOUTH DAKOTA SCHOOL OF MINES AND TECHNOLOGY

Sponsored Programs / 394-1205

IMPORTANT: This form must accompany any request for expenditure that requires SDSM&T prior approval.

SDSM&T Account No.: \_\_\_\_\_ Award No.: \_\_\_\_\_

Principal Investigator: \_\_\_\_\_ Dept.: \_\_\_\_\_ PI Phone No.: \_\_\_\_\_

Requested Action:

- Requested Action options: Domestic Travel, Foreign Travel, Technical Consultant, Equipment Acquisition, No-Cost Time Extension, Pre-Award Costs, Subcontracting Project Effort, Other (specify below)

Justification (How is this action necessary to the project?):

(Continue on separate page if necessary)

If rebudgeting is required, list amounts (ROUNDED TO NEAREST DOLLAR) and budget categories affected.

Table with 3 columns: Budget Category, INCREASE, DECREASE. Rows include SALARIES, EMPLOYEE BENEFITS, DOMESTIC TRAVEL, FOREIGN TRAVEL, SUBCONTRACTS, ON CAMPUS LAB SERVICES, PUBLICATIONS, OTHER CONTRACTUAL SERVICES, SUPPLIES AND MATERIALS, TUITION REMISSION, FELLOWSHIPS/GRANTS/SUBSIDIES, EQUIPMENT/CAPITAL ASSETS, INDIRECT COSTS/OVERHEAD, and TOTAL ADJUSTMENTS.

This request is necessary to achieve the project objectives supported by the award and does not constitute a change in scope of work.

Requested by: \_\_\_\_\_ Principal Investigator Date

REVIEWER SIGNATURES

1. \_\_\_\_\_ Department Chair or Center/Institute Director Date
2. \_\_\_\_\_ Office of Sponsored Programs Date

## Instructions for Completion of OPAS Form

The OPAS form is completed by the Principal Investigator. Specific instructions for completing each item on the form are set forth below:

1. Indicate SDSM&T account number. Identify the Award Number exactly as awarded.
2. Indicate name, department or center/institute and phone number of the Principal Investigator. It is not necessary to list Co-Principal Investigators.
3. Identify the action(s) requiring approval by checking the appropriate box(es).
4. Provide an explanation, including a brief scientific rationale, for the requested action(s). The impact of the requested action(s) on the project budget, including the availability of funds, should also be discussed. If this request involves the purchase of scientific equipment, indicate the cost of the item(s). Any additional information useful in evaluating this request should be included.
5. If rebudgeting is required, list amounts (rounded to nearest dollar) and budget categories affected.

The Department Chair or Center/Institute Director must then review the request. The signature of the Department Chair or Center/Institute Director indicates that a substantive review of the scientific elements of the transaction has been performed and found to be appropriate and that the proposed action will result in the effective utilization of institutional resources and agency funds.

Upon receipt by the Office of Sponsored Programs, the request will be reviewed for consistency with SDSM&T and agency policies, as well as validity of budget information. If administrative questions arise during the review, the Office of Sponsored Programs will consult with the Principal Investigator. If this request meets with SDSM&T and agency policies, final institutional approval will be indicated by the signature of the Office of Sponsored Programs.

If the request is not approved, an explanation will be noted and conveyed to the Principal Investigator by the party responsible for disapproval. When approved, or disapproved, copies of the request will be forwarded to the Principal Investigator and the original to the Office of Sponsored Programs.