

SOUTH DAKOTA SCHOOL OF MINES AND TECHNOLOGY

Policy Manual

SUBJECT: Organizational Prior Approval System

NUMBER: Policy 9-6 (formerly Policy IX-12)

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, South Dakota Mines 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 Mines.

Instructions for Completion of OPAS Form

The OPAS form is completed by the Principal Investigator (PI or the Office of Sponsored Programs). Specific instructions for completing each item on the form are set forth below:

1. Indicate Mines account number. Identify the Grant/Contract Number exactly as awarded.
2. Indicate name, department/center, 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/Director must then review the request. The signature of the Department Chair/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 Mines 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 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 signatories and the original to the Office of Sponsored Programs.

**ORGANIZATIONAL
PRIOR APPROVAL
SYSTEM FORM(OPAS)**



SOUTH DAKOTA MINES
An engineering, science and technology university

Sponsored Programs / 394-1218

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

SDSM&T Account No.:

Grant/Contract No.:

Principal Investigator:

Dept:

PI Phone No.:

Requested Action:

Domestic Travel

Equipment Acquisition

Subcontracting Project Effort

Foreign Travel

No-Cost Time Extension from

to

Technical Consultant

Pre-Award Costs

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.

	<u>INCREASE</u>	<u>DECREASE</u>
1. SALARIES	\$ _____	\$ _____
2. EMPLOYEE BENEFITS	_____	_____
3. DOMESTIC TRAVEL	_____	_____
4. FOREIGN TRAVEL	_____	_____
5. SUBCONTRACTS	_____	_____
6. ON CAMPUS LAB SERVICES	_____	_____
7. PUBLICATIONS	_____	_____
8. OTHER CONTRACTUAL SERVICES	_____	_____
9. SUPPLIES AND MATERIALS	_____	_____
10. TUITION REMISSION	_____	_____
11. FELLOWSHIPS/GRANTS/SUBSIDIES	_____	_____
12. EQUIPMENT/CAPITAL ASSETS	_____	_____
13. INDIRECT COSTS/OVERHEAD	_____	_____
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 Date

2. _____
Vice President for Research Date