

UNIVERSITY OF ARKANSAS, FAYETTEVILLE
REQUEST FOR APPROVAL UNDER ORGANIZATIONAL PRIOR APPROVAL SYSTEM

This form implements the Organizational Prior Approval System (OPAS) for the approval of certain actions under federal agency grants. The prior approval policy is contained In the University's OPAS Policy Statement. Principal Investigators should complete this form to request approval for any of the actions checked on the opposite side.

Authority to approve the actions listed above is subject to the understanding that the general level of effort and the scope of the objectives of the approved project will not be altered and that the proposed action is reviewed in advance by the OPAS Committee and is consistent with grant conditions. All funding agencies have retained the authority to approve changes in Principal Investigators and changes in objectives or scope of approved projects.

For actions requesting approval to establish relatedness between projects, a separate Form for each project (referencing each other) and submitted together. Authority to approve relatedness between projects under a common Principal Investigator or Co-Principal Investigator has been delegated to the University. Requests to establish relatedness between projects under different investigators may be approved by the University on a preliminary basis, but the agency must be notified of the transaction and then has 30 days to Indicate disapproval. Once approved, the relatedness designation is effective for the duration of the affected projects and costs for the benefit of one project can be charged to the related project. There will be no transfer of funds between the projects.

INSTRUCTIONS

Specific instructions for completing each item on the form is set forth below:

Item 1: Indicate name and department of the Principal Investigator.

Item 2: Identify Agency Grant Number exactly as awarded. Also indicate the University Account Number.

Item 3: Indicate the beginning and ending dates of the budget period affected by the requested action. If the budget period identified is prior to the current budget period, a complete explanation for the lateness of the request must be provided in Item 6.

Item 4: Identify the action(s) requiring approval by checking the appropriate box(es).

Item 5: Indicate whether the action will or will not require changes in the approved budget. For actions which require rebudgeting, the dollar amount for each transaction should be specified as well as the applicable budget categories.

Item 6: Please provide an explanation, Including the 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.

For requests to have two or more projects approved as related, the scientific or technical commonality of the work being performed must be described. Article 38 of NSF F.L. 171 cites the following examples of scientific or technical commonality: "(a) the theoretical approaches of projects are interrelated; (b) studies of the same phenomena are conducted by the same or different techniques; (c) specific instrumentation, which is central to the work being performed, is used."

Item 7: The Principal Investigator must sign and date the request. If approval is requested to establish the relatedness between projects, each individual named as Principal Investigator or Co-Principal Investigator in the NSF award letters for related projects must sign the request.

The signature of the Chair 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.

Upon receipt by RSSP, either the Director or the OPAS Committee will review the request for consistency with the University and agency policy. Final approval will be indicated by the Director or his designee. When fully approved, copies of the approved request will be forwarded to the Principal Investigator, Departmental Chair, and Research Accounting. If questions arise during the review, the OPAS Committee will consult with the Principal Investigator. If the request is not approved, an explanation will be conveyed to the Principal Investigator.