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**WEST VIRGINIA  
CLINICAL & TRANSLATIONAL SCIENCE INSTITUTE**

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## **Change in Compensation and/or Effort Connected to WVCTSI Funds**

### **Overview**

The West Virginia Clinical & Translational Science Institute (WVCTSI) funds personnel, in whole or in part, to advance the mission of the institute. Any changes to WVCTSI supported salary or effort must be requested in a written document that provides the justification for the change in compensation and/or effort. All changes to salary or effort must be resolved within ninety (90) business days from the date of the proposed change.

### **Purpose**

The purpose of this policy is to identify the procedure by which a promotion or position upgrade, salary increase or decrease, change in effort, or an addition or deletion of a position from the WVCTSI should be processed. As the Principal Investigator, the WVCTSI director has the sole authority to issue approval or denial of WVCTSI funds for personnel support, thereby assuring compliance with granting agencies and availability of funds.

### **Scope**

This policy applies to all personnel supported by WVCTSI funds, including West Virginia University employees, West Virginia University Medicine employees, and WVU Research Corporation employees.

Employees at West Virginia School of Osteopathic Medicine and Charleston Area Medical Center will request any changes to compensation and/or effort as relates to CTI funds (including cost share) from the director of research administration. After initial review, the director of research administration will then forward the request to the WVCTSI director for approval; approval from the WVCTSI director must be obtained prior to implementing any changes. Subsequently, approved changes will be reflected in the quarterly subcontract invoices submitted to WVCTSI.

## Policy

All salary changes for WVU/WVU Research Corporation employees partially or completely supported by WVCTSI funds requires approval endorsed by the WVCTSI director. For WVU/WVURC personnel, once the WVCTSI director approves the change, the departmental EBO must submit a completed Payroll Distribution Adjustment form (see attached) to the director of research administration.

## Procedures

If considering a promotion or position upgrade, salary increase or decrease, change in effort, or an addition or deletion of a position from the WVCTSI project, the core chair will send a request to the director of research administration. After initial review, the Director of Research administration will then forward the request to the WVCTSI Director for approval. The request for a change in compensation and/or effort must be approved before a required Payroll Distribution Adjustment form (for WVU/WVURC employees only; see attached) is submitted by the EBO to the director of research administration.

Although the WVCTSI director may not have the supervisory or hierarchical authority to approve or deny personnel requests, the PI does have the authority to approve or deny funding of these changes from WVCTSI funds. Decisions regarding classification and compensation resides within the Human Resources Department of each respective WVCTSI organization (WVU, WVUH, WVURC, WVSOM, and/or CHERI).

## Responsibilities

### *Involved with the Change in Compensation and/or Effort from WVCTSI Funds*

- **Core Chairperson:** responsible for the initial review and consideration of the change in compensation/effort request; sends the request to the Director of Research Administration
- **Grant Administrator(s):** works with the PI and other business office personnel to initiate the request for Core Chairperson's consideration
- **Expert Business Officer (EBO):** prepares the fiscal information needed to accompany the change in compensation and/or effort request

- **Director of Research Administration:** reviews the change in compensation and/or effort for compliance with sponsor guidelines, institutional policies, and availability of funding to support the request
- **WVCTSI Finance Unit:** carefully reviews the availability of funding to support the request; works with the departmental EBOs to finalize any approved request by submitting required documents to central administrative units

## **References and Authority**

The cost principles are set forth in the following documents and are incorporated by reference in 45 CFR parts 74.27 and 92.22. As noted below, OMB Circulars A-21, A-87 and A-122 have relocated to Title 2 in the Code of Federal Regulations (2 CFR) :

- OMB Circular A-21 (relocated to 2 CFR 220) — Cost Principles for Educational Institutions.
- OMB Circular A-87 (relocated to 2 CFR 225) — Cost Principles for State and Local Governments and Indian Tribal Governments.
- OMB Circular A-122 (relocated to 2 CFR 230) — Cost Principles for Non-Profit Institutions. Larger non-profit organizations that are specifically listed in Attachment C to OMB Circular A-122 are subject to the Federal cost principles applicable to commercial organizations (48 CFR 31.2) rather than to the cost principles for non-profit organizations.
- 45 CFR 74, Appendix E — Principles for Determining Costs Applicable to Research and Development under Grants and Contracts with Hospitals.
- 48 CFR 31.2 (Federal Acquisition Regulation) — Contracts with Commercial Organizations.
- WVU Human resources Policies located at: <http://www.hr.wvu.edu/policies>
- WVU Administration and Finance Policies including Payroll & Tax, Financial Services, and Business Services located at: <http://adminfin.wvu.edu/policies>
- WVU Research Corporation Human Resources Policies located at: <http://hr.research.wvu.edu/>

# Approval and Authority to Proceed

I approve the project as described above, and authorize to proceed.

Name	Title	Date
Sally L. Hodder, MD	Director, West Virginia Clinical and Translational Science Institute	4/18/16



4/18/2016

Approved By

Date

MOUNTAINEER  
ADMINISTRATIVE PROCESSES

West Virginia University  
**PAYROLL DISTRIBUTION ADJUSTMENTS FORM**

**Employee**

Full Name:

Assignment Number:

**Transfer Period**

Begin Date:

End Date:

Earnings Element (i.e. Regular Pay, Time Entry Wages, Special Pay, etc.):

**From Actual Distributions**

<b>GL</b>	Campus	Dept. Activity	Fund	Line Item	Function	Project <b>99999999</b>	Amount
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OR

<b>OGM</b>	Project	Task	Award	Expenditure Organization	Expenditure Type	Amount
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**To Adjusted Distributions**

<b>GL</b>	Campus	Dept. Activity	Fund	Line Item	Function	Project <b>99999999</b>	Amount
<b>GL</b>	Campus	Dept. Activity	Fund	Line Item	Function	Project <b>99999999</b>	Amount
<b>GL</b>	Campus	Dept. Activity	Fund	Line Item	Function	Project <b>99999999</b>	Amount
<b>GL</b>	Campus	Dept. Activity	Fund	Line Item	Function	Project <b>99999999</b>	Amount
<b>GL</b>	Campus	Dept. Activity	Fund	Line Item	Function	Project <b>99999999</b>	Amount

<b>OGM</b>	Project	Task	Award	Expenditure Organization	Expenditure Type	Amount
<b>OGM</b>	Project	Task	Award	Expenditure Organization	Expenditure Type	Amount
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<b>OGM</b>	Project	Task	Award	Expenditure Organization	Expenditure Type	Amount
<b>OGM</b>	Project	Task	Award	Expenditure Organization	Expenditure Type	Amount

Preparer Comments

Preparer \_\_\_\_\_ Phone # ( ) \_\_\_\_\_ - ext. \_\_\_\_\_ Date \_\_\_\_\_

Approver \_\_\_\_\_ Phone # ( ) \_\_\_\_\_ - ext. \_\_\_\_\_ Date \_\_\_\_\_

## MEMORANDUM

DATE:

TO: Name  
Research & Tax Accounting

FROM: Your Name

APPROVED: Debbie Ballard

Labor Distribution Adjustment to move the following payroll expense:

**EMPLOYEE NAME:**

**ASSIGNMENT NUMBER:**

**PAYROLL DATES INVOLVED:**

**TOTAL DOLLAR AMOUNT:**

**FROM FUNDING:**

**TO FUNDING:**

**REASON FOR ADJUSTMENT:**

**REASON ADJUSTMENT WAS NOT REQUESTED IN 30 DAY TIME FRAME:**

**PLEASE CHECK ONE OF THE FOLLOWING STATEMENTS:**

The LDA does not effect an already certified effort report because no effort report for this employee has been issued yet for this time period.

Or

The effort report for this employee for this time period has been revised to reflect the LDA and a copy of the revised, re-certified effort report is attached

Or

Effort reports will need to be created since expenditures are being transferred.

NOTE: If an employee has been paid from state funds only, an effort report will need to be created if salaries are transferred to grants