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**WEST VIRGINIA  
CLINICAL & TRANSLATIONAL SCIENCE INSTITUTE**

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## **Budget Modification Requests**

### **Overview**

The West Virginia Clinical & Translational Science Institute realizes the scope of a project may change which in turn may affect the approved budget. In accordance with National Institutes of Health (NIH) policy as well as institutional policy, WVCTSI has developed the following policy to ensure compliance with all applicable regulations pertaining to extramurally-funded projects.

### **Purpose**

The purpose of this policy is to identify the procedure by which a budget modification request should be made when involving projects supported by WVCTSI funds.

### **Scope**

This policy applies to all projects as well as personnel funded in part or in whole by the WVCTSI.

### **Clarification**

The policy outlined here applies to all WVCTSI agencies/partner sites. All partner sites should follow their institutional policies and procedures regarding communication of requests of WVCTSI.

### **Definitions**

**Staff** – administrative or professional personnel whose primary appointment rests with the West Virginia Clinical and Translational Science Institute

**Agencies** – West Virginia University, West Virginia University Research Corporation, West Virginia University Healthcare doing business as WVU Medical Corporation or

## Policy

A PI and/or a partner site does not have the authority to modify a project without prior, written approval by the WVCTSI Director. A budget modification must be requested if one or more of the following project changes should occur:

1. Change in scope or objectives (even if no budget revision is requested); a change in labor allocation(s) is also considered a change in scope or objectives.
2. Absence (greater than 3 months or 25% reduction in effort) when her/his effort is supported whole or in part by WVCTSI funds; or change of PI on a WVCTSI supported project.
3. Need for additional grant funds to support the research project.
4. Transfer of a significant part of the research (e.g. sub-agreement)

## Procedures

PIs requesting revisions to agency approved budgets should work with the identified WVCTSI point of contact to provide the appropriate documentation. In general, budget change requests associated with WVCTSI funds must include an adequate, written explanation which answers the following questions:

- Why are funds available in the current expense line/budget category?
- Why are funds needed in the new expense line/budget category?
- In addition, the PI will need to provide information, by line item/budget category, on dollar amounts to be reallocated.

If needed the WVCTSI Director for Research Administration will work with the PI in submitting the budget revision request to WVCTSI. It is important to note that a written budget modification request must be submitted to WVCTSI within thirty (30) calendar days of the occurrence of one of the aforementioned project changes.

Once the WVCTSI Director approves the budget modification request, the PI will be contacted within three (3) business days. It is the responsibility of the WVCTSI Finance Unit to notify WVU Office of Sponsored Programs (OSP) and/or WVU Sponsored Research Accounting (SRA) of any approved budget modification requests for entry into the WVU financial system.

## **Roles and Responsibilities**

The responsibility for interpretation of this policy rests with the Director of WVCTSI.

## **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.

# 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	3/07/17



Approved By \_\_\_\_\_ Date 3/07/17