

**Oklahoma Center for the Advancement of Science and Technology (OCAST)**  
**BUDGET MODIFICATION REQUEST FORM**

The Contractor must submit this Budget Modification Request Form to OCAST if a Principal Investigator proposes a modification greater than 10% of the original approved OCAST portion of the budget in one of the following research programs: Applied Research, Health Research, Plant Sciences, Intern, or Nanotechnology Applications. The Contractor must receive approval from OCAST prior to incurring such costs.

**A. GENERAL INFORMATION**

PI: \_\_\_\_\_ Project: \_\_\_\_\_

Contract #: \_\_\_\_\_ Funding Period: \_\_\_\_\_ to \_\_\_\_\_

Contact Person Name & PH #: \_\_\_\_\_ Contact Person Address: \_\_\_\_\_

**B. MODIFICATION JUSTIFICATION.** Prepare on a separate sheet; see second page for instructions.

**C. REQUESTED BUDGET MODIFICATION(S).** Complete the columns below as follows:

- 1) For the *Current Budget* show the original approved OCAST portion of the budget and all prior contractor-approved modifications for 10% or less of the original approved budget.
- 2) For *Amount Modified* show the proposed modifications over 10%; for each budget line item indicate the negative (-) or positive (+) amount.
- 3) For the *Revised Budget* show the proposed budget incorporating any and all changes from the original approved OCAST portion of the budget.

CATEGORY	CURRENT OCAST BUDGET	+ OR – AMOUNT MODIFIED	REVISED OCAST BUDGET
1. Personnel			
2. Professional Travel			
3. Supplies			
4. Equipment			
5. Contractual Services			
6. Inpatient Care Outpatient Care			
7. Alterations and Renovations			
8. Other			
TOTAL DIRECT COSTS			

**D. AUTHORIZED SIGNATURES**

_____ Designated Contract Official (print name)	_____ Principal Investigator (print name)	_____ Designated OCAST Official (print name)
_____ Signature	_____ Signature	_____ Signature
_____ Date	_____ Date	_____ Date

**OCAST ACTION:**

Approved		Not Approved	
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Oklahoma Center for the Advancement of Science and Technology (OCAST)  
**OCAST BUDGET MODIFICATION POLICY AND PROCEDURES**

**MODIFICATIONS LESS THAN OR EQUAL TO 10%**

OCAST does not require a request form to be submitted for modifications of 10% or less of the approved budget contract budget total. The Contractor may approve modifications of 25% or less to the original approved budget; however, those modifications must be shown on the Request for Payment Form. This form must show actual expenditures for all modifications up to and including 10%.

**MODIFICATIONS GREATER THAN 10%**

The Contractor must submit this Budget Modification Request Form if a Principal Investigator proposes a modification greater than 10% of the original approved OCAST portion of the budget. The Contractor must receive approval from OCAST prior to incurring such costs. This request must be signed by the PI and an authorized official of the contracting organization. A justification of the modification must accompany the form. The PI should limit such requests to one per funding period. Some requests may require outside review.

**INSTRUCTIONS FOR COMPLETING AN OCAST BUDGET MODIFICATION REQUEST**

The PI must complete all sections – A, B, C, & D – of the OCAST Budget Modification Request Form and submit a signed original request before OCAST can take action. All changes up to and including 10% of the original budget, which have been made prior to this request, must be shown in a current budget. If a modification request for greater than 10% is not approved by OCAST, changes up to and including 10% will not be affected.

**Travel.** The travel category shall not exceed the amount originally approved by OCAST. A PI may transfer monies from the travel category into other budget categories for changes within the allowed 10% without prior approval from OCAST.

**Modifications Justification (Section B).** OCAST cannot consider a request without the required justification. Any change, which reflects a modification in the design and/or scope of the research project, as originally approved by OCAST, may require outside review. The PI must justify the requested modification(s) on a separate sheet as follows:

1. Show the correct project number and PI name in the upper right hand corner of the attached justification.
2. Explain the need for additional monies for each category into which monies are being transferred.
3. Explain why the available monies were not expended as projected in the original budget.

**Submission.** The Contractor must submit the completed Budget Modification Request Form and the required justification to OCAST at the following address:

OKLAHOMA CENTER FOR THE ADVANCEMENT  
OF SCIENCE AND TECHNOLOGY (OCAST)  
Programs Division  
755 Research Parkway, Ste 110  
Oklahoma City, OK 73104-3612

If further assistance is needed, the PI should contact the OCAST Contracts Compliance Officer or the Director of Programs at (405) 319-8400. Both the PI and designated contract official of the contracting organization will receive a copy of the signed request form indicating whether the request is approved or not approved.