

Frequently Asked Questions

August 2016

CATEGORY

Q & A

Allowable Expenses

1. Is Texas sales tax a reimbursable expense?

No, sales tax is not a reimbursable expense.

Budget

2. Is there a preferred order to submit the Annual Report, update the personnel list and submit a Budget Change Request?

The preferred order to submit the above reports is the annual progress report, the personnel list, and then a budget change request. Grantees should strive to include all personnel and budget in their initial proposal.

3. Rebudgeting requests under 10% of the total budget are automatically approved. But do we need to change our budget information through CGMS online?

Yes, all budget changes need to be made in CARS-CGMS.

4. When submitting a budget change request do we look at the total budget for that specific year or the total project budget for all years?

When submitting a budget change request, the grantee must use the budget for that specific year.

5. If I have salaries that hit my ledgers on 5/31/16, but the cash outlay is on 6/1/16 can they be reported on the FSR for the period ending 5/31/16.

A payment claimed for a period earlier than the current period should be accompanied by a letter or memo explaining the extenuating circumstance that the payment was not claimed in the appropriate period. Salaries are the only exception allowable.

6. What is the effective date for the Payroll exception?

This has been a consistent practice since CPRIT's inception and is not the result of a change.

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Carry Forward 7. Do we need to fill out a form for carry forward funds from year 1 to year 2? Where can we find the form and are we notified that we need to do it?

The Carry Forward form will automatically generate in CARS-CGMS when the last FSR for each year is approved, if you have funds left over in your budget.

Close Out 8. There seems to be confusion about when to file close out documents.

Close out documents are due within 90 days of the grant contract termination date. Failure to submit the progress report and other close out documents within 180 days will cause the recipient to be ineligible to receive new grant awards until all information has been submitted or a waiver of final submission is approved by CPRIT.

Collaborators 9. Can supplies for collaborators outside the State of Texas be reimbursed?

Supplies for collaborators outside of the State of Texas cannot be reimbursed.

CPRIT Contacts 10. Who is the best contact for compliance and reporting questions?

Questions regarding compliance issues should be addressed to CPRIT's Compliance Program, at complianceprogram@cprit.texas.gov.

Questions regarding reporting issues should be addressed to your assigned program manager or grant accountant.

Documentation 11. Can CPRIT supply samples or examples of policy/procedures documentation so recipients can see the level of detail expected?

CPRIT does not supply samples or examples of policy/procedures documentation. We can provide technical assistance and feedback on the content, structure, and format of a grantee's policies and procedures upon request

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12. During a previous CPRIT audit, we were told medical claims listing client personal information should not be submitted with our FSR. However, our biopsy expenses are questioned every time we submit our FSR. What should we do?

Please redact any personal information from reports you are required to submit to CPRIT.

13. Are scanned copies of FSR invoices acceptable and how long must they be retained.

Copies made by microfilming, photocopying, or similar methods may be substituted for the original records. They must be retained for four (4) years after the termination date of the contract.

Equipment 14. Is it necessary to formally request vesting of the title to equipment purchased with CPRIT funds after the grant is closed or is this automatic?

The title of equipment purchased with CPRIT funds automatically vests with the grantee upon contract termination. Specifically, Section 9.02 of the CPRIT grant contract states "title to Equipment shall vest in the RECIPIENT upon termination of the Contract."

15. I am a new first-time PI that needs to buy a lot of small equipment. I did not list everything before. Do I need to ask for approval for each small piece of equipment?

You should be as detailed as possible in the initial budget. If not every item is listed, you will need to request a budget change. Only pieces of equipment valued at \$5,000 or more are included in the equipment category. Equipment valued at less than \$5,000 is considered supplies. Please note: equipment purchases valued at greater than \$5,000 require pre-approval by CPRIT.

16. For allowable equipment, can it also include fabrication of an equipment (includes parts and pieces to make a full equipment piece)? Is this allowed?

Yes, only pieces of equipment with a unit price of \$5,000 or more are included in the equipment category.

17. Are 2 items which cost \$3000 each considered equipment or supplies?

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Any equipment purchase under \$5,000 is considered supplies.

Financial Status Reports (FSRs) 18. Do we need to submit the FSR after each quarter? Will we receive a request from CPRIT for the FSR report?

Yes. Financial Status Reports (FSRs) are due 90 days after the end of the state fiscal quarter. Notification of reports due is through CPRIT's online grants management system CARS-CGMS system.

19. Are the FSRs submitted by the local OSP office, or directly by the PI of the grant?

The Authorized Signing Official (ASO) for your institution is responsible for submitting Financial Status Reports (FSRs).

20. How do we speed up the FSR approval process?

CPRIT is committed to reviewing and approving grantee reimbursement requests as quickly as possible. We encourage grantees to submit reports as soon as possible, adhering to established due dates. Submitting your report late or at the end of a grace period impacts how quickly it can be approved due to the large volume received.

21. Does the grace period only pertain to submission of an FSR, or is that the date the FSR must be approved by?

The grace period refers to the submission of the FSR. The FSR must be submitted 90 days after the end of the state fiscal quarter. There is an additional 30 days grace period, after the 90 days for a total of 120 days, before reimbursement is waived.

22. If reimbursement is tied to the progress report and FSR, is reimbursement paid once a year or every quarter?

Reimbursement is paid on a quarterly basis because financial Status Reports (FSRs) are required on a quarterly basis. However, a grantee must also have submitted the most recently due progress report, including all annual reports (e.g., HUB/Texas Suppliers, Inventory, Revenue Sharing, Matching Certification, and Single Audit

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Determination). In addition, CPRIT must have approved the required reports in order to receive reimbursement each quarter.

23. Are quarters different for each grantee?

A grantee's fiscal quarter would be dependent upon the grant start date. CPRIT operates on the state fiscal quarter system as follows:

September-November

December-February

March-May

June-August

24. With two FSRs due back-to-back, for example, Q5 (June1-Aug30) and Q1 for the next budget year (Aug 31-Aug31), only 1 day), usually have the same due date. How can this be resolved?

CPRIT refers to the additional FSR as a "5th quarter" FSR and it usually has a much shorter period than a regular FSR. When there is a 5th quarter FSR, the due dates for the 4th and 5th quarter FSRs will be different. The duration of the 5th quarter FSR may vary among grantees. If a grantee has a 5th quarter FSR, they should submit the 4th quarter FSR as soon as it is due to allow enough time for CPRIT approval. After the 4th quarter FSR is approved, a grantee can then submit the 5th quarter FSR.

25. If we receive a claim/invoice for expenses incurred in a previous reporting period, can we submit this expense for reimbursement in the period it is paid?

All requests for reimbursement should be submitted during the quarter in which they have been paid. Exceptions of more than 90 days require written justification submitted to the Grant Accountant.

26. For final FSRs, is the strict cut off time for invoices paid after the end date applicable or is there a period of time after the grant ends to allow pending invoices to post so that we are able to include these in our final FSR for reimbursement.

The cut-off date is 90 days plus an additional 30 days grace period after the last FSR reporting period. The cost must have been incurred during the grant year. Reimbursement will be waived after 120 days.

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Funding/RFA 27. When does Cycle 17.1 start?

You can find more information about CPRIT's funding opportunities, application acceptance dates, and review dates on our website at:

<http://www.cprit.state.tx.us/funding-opportunities/>

HUB 28. Is there a list of HUB providers approved by the State for general services and supplies?

The [HUB Directory](#) link can be found on the Texas Comptroller of Public Accounts website along with the [Debarred Vendor List](#).

Matching Funds 29. CPRIT imposes a salary cap of \$200,000; can salary costs over cap be used to satisfy match requirement?

Yes, salary costs over the cap can be used to satisfy the match requirement; however, the excess that can be used as match is limited to the individual's level of effort. For example, if a PI has a salary of \$ 500,000 and he/she spends 50 % of his/her time on CPRIT activities then 50% of the salary, or \$250,000, may be applied to the CPRIT grant.

In this example, \$200,000 can be charged to the grant directly as salary while the remaining \$50,000 can be used as match funds. The other \$250,000 of the \$500,000 total salary cannot be used as match because the PI is not spending 100% of his time on grant activities.

30. What is the difference between matching funds and progress reports?

Academic research and product development grantees must provide a match of their own funds equal to one-half of their grant award (see Texas Administrative Code § 703.11).

Programmatic progress reports are required of all CPRIT grantees at least annually. A grantee must document progress towards goals and objectives of the grant and submit the progress report to CPRIT for review and approval in order to determine whether sufficient progress is made for the grant project.

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31. Is it possible that each institution have a formula for meeting the 50% matching funds requirement? For example, maybe the institution covers 45% and the other 5% is expected to be covered by the investigator's Department?

There are several factors for each academic research and product development research grantee to take into account when determining the calculation of matching funds. CPRIT's rules allow an institution of higher education to use its federal indirect cost rate (FICR) as a credit toward the required 50% match. That credit is reduced by five percent to avoid double-counting CPRIT's indirect cost rate allowance of 5%. If a grantee does not fulfill the 50% match with its FICR alone, the grantee must show that it has its own funds to spend directly on the project for whatever the difference is. It is the responsibility of each organization to determine how the match requirement will be met.

For example, University A has a FICR of 52%. In order to determine how much of the match requirement is met, University A must take 52% minus (-) 5%, which equals 47%. This means that 47% of the 50% match requirement is met by University A's FICR and University A must demonstrate matching funds of 3%.

32. With the change to the due date for the match verification form, will there be changes to the other annual forms to align those due dates with the FSR submission as well?

There are currently no plans to align the report due dates.

33. Has CPRIT considered modifying the way academic institutions meet the 2:1 match for research awards? Currently, institutions can use their FICR to offset the required match. However, this puts some institutions with low FICR on uneven ground and they have to come up with significant matching funds.

CPRIT cannot change the federal indirect cost rate credit allowance because it is statutorily mandated. Texas Health and Safety Code section 102.255(d)(1) requires CPRIT to allow public or private institutions of higher education to use their federal indirect cost rate (minus the 5% of grant funds allowed for indirect costs) as a credit towards the matching funds requirement.

Moratorium 34. Can an award that was under the moratorium and received an automatic 1-year extension be eligible to also request for the one-time 6 months NCE?

Yes, a grant award that was under the moratorium may request a one-time 6 month No Cost Extension as allowed by CPRIT's administrative rules.

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35. When can an extension request be made for a grant that was part of the moratorium?

A grantee may submit a no cost extension request no earlier than 180 days prior to the termination date of the contract but no later than 30 days prior to termination date.

New Grantee 36. When you say new grantee, you mean new grantee organization not an individual correct?

Yes, a new grantee refers to the organization and not an individual. CPRIT grants are awarded to institutions and not individuals.

No Cost Extension 37. How long is the NCE duration time? Only 6 months, or can be longer?

By rule, a no cost extension may be no longer than six months unless CPRIT finds that special circumstances justify additional time. Additional time or additional requests must be well justified by the grantee.

38. If you receive a No Cost Extension (NCE), do you still have to submit a progress report 60 days after the original end date or does the final progress report due date change to 60 days after the new end date?

When you receive a No Cost Extension, the Final Progress Report converts to the Annual Progress Report and is due 60 days after the anniversary of the grant contract effective date. The final Progress Report is then due 90 days after the revised contract end date.

Personnel 39. If a personnel on original grant submission has left the institution, how do I revise the personnel to accommodate a "new hire" or even a change in job title to replace the individual who has left?

If there is a change in personnel, a grantee must complete the Personnel Level of Effort (PLOE) form in CARS-CGMS (for changes in Principal Investigator [PI], Program Director [PD], or Company Representative [CR]) or the Non-Key CPRIT Grant Personnel Update form (for all other staff changes) located on CPRIT's website under Grantee Resources.

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40. Will the changes on key personnel forms and the non key upload update on the PLOE report.

Currently, changes will only update on the PLOE report. The non-key personnel form is not reflected in CARS-CGMS.

Progress Reports

41. In collecting information for the number of people reached through media, etc., do you have specific guidelines for reporting or caging data for prevention grants?

When reporting Number of People Reached through media channels, a grantee should report population distribution of the particular form of media as obtained in writing from the media channel (e.g., newspaper has a distribution of 100,000 households). Proof of documentation must be retained at the grantee organization and should be provided as requested by CPRIT.

42. Please clarify what is meant by prevention only as it relates to the quarterly progress report.

Quarterly Progress Reports are only required for Prevention grants beginning with PP. If the grant ID begins with letters other than PP, a quarterly progress report is not required.

43. Is there a way to reset the sections or open the report back up if a mistake has been made in finalizing?

You would need to contact the CPRIT Help Desk at 1-866-941-7146 for assistance.

44. Is there anywhere on the CPRIT website to check for upcoming due dates of progress or quarterly reports?

Due dates and reminders for reports are sent through CPRIT's CARS-CGMS system. The Grant Information tab gives a list of all reports currently due, as well as the history of past reports submitted and approved.

45. Are quarterly reports required if my prevention project is purely laboratory based- no people contacts?

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Quarterly Progress Reports are only required for Prevention grants beginning with PP. If the grant ID begins with letters other than PP, a quarterly progress report is not required.

46. Do we get an email notification for this report submission due?

Reminders are sent from the grant management system (CARS-CGMS).

47. What is the difference between the annual and quarterly progress report?

Annual and final progress reports are required for ALL CPRIT grantees. These reports include progress against goals and objectives, presentations, publications, and economic impact.

Quarterly reports are required for CPRIT Prevention program grantees ONLY. These reports, due 15 days after the close of each state fiscal quarter, are a listing of all education and clinical services provided by a Prevention grantee during a quarter (e.g., September – November).

PubMed 48. Do you provide instructions on how to submit to Pub Med Central?

Submittal instructions should be obtained from your institution.

49. When a paper is submitted without the acknowledgment of CPRIT and later corrected, it will not show in the manuscript. For example, corrections appear in the web page of the publication and can't be uploaded.

Once submitted to PubMed Central a copy should also be uploaded to the grant documentation under ad hoc in CPRIT's CARS-CGMS system. There are currently no provisions for viewing corrections to the manuscript; however, if possible, grantees should upload any corrected manuscripts to the Ad Hoc Documents section in CPRIT's CARS-CGMS system.

50. Where or to who do you submit the manuscript?

Manuscripts should be submitted in the Annual Progress Report section in CPRIT's CARS-CGMS system and PubMed Central. The report should include the PubMed ID. CPRIT acknowledgment is a requirement per Section 9.04 of the grant contract.

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Roles 51. Is the PI on the award considered the ASO or would it be the person that is authorized to sign all grant financial transactions?

The Authorized Signing Official (ASO) is determined by the individual grant entity per the CPRIT grant contract.

52. Who is considered responsible for each report that is due?

The Authorized Signing Official (ASO) is responsible for approving all reports and submitting them to CPRIT. The delegation of duties varies with each institution and is made by the ASO through the online grants management system (CARS-CGMS).

Single Audit Determination 53. What is the SAD form?

(SAD) *A SAD (Single Audit Determination) form documents whether a grantee must submit an audit to CPRIT. All grantees must submit a Single Audit Determination (SAD) form within 60 days of the anniversary of the grant contract effective date. The form records information about the amount of state funding (including CPRIT grant funds) expended during the grantee's fiscal year. If the grantee has expended \$500,000 or more in state funds, CARS-CGMS will calculate the deadline for submitting the completed audit based on the grantee's fiscal year. No further action is required of grantees that expend less than \$500,000 of state funds in the grantee's fiscal year.*

54. Can SAD forms and associated audit reports be associated with grantees rather than specific awards? Because these are associated with each award and our institution has many awards, we are required to complete many SAD forms and upload the same audit report many times.

Currently, the SAD forms and associated Audit Reports are grant specific in CARS-CGMS.

Training 55. Does this webinar suffice for the annual compliance training? And if so, how are you tracking that?

Yes, this webinar counts towards the annual compliance training requirement. Attendance and participation time is verified through the sign-on at the beginning of each webinar.

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56. Are PIs and sub-awardees required to attend annual compliance training?

CPRIT Rule §703.22 states that the Grant Recipient's Authorized Signing Official (ASO) and at least one other individual from each organization must attend an annual compliance training.

57. Do we need to submit any proof of attending the training by webinar or is it automatically registered?

No, a grantee does not need to submit proof of attendance at the webinar. CPRIT tracks training attendance and will send out a training confirmation notice to the Authorized Signing Official (ASO) for each organization. In cases where multiple staff from an organization attended the training via a single login/computer, CPRIT may request supporting documentation (e.g., sign-in sheet, statement of attendance from the ASO, etc.)

58. When will you have a webinar on the submission process?

We do not currently have a webinar planned covering the grant submission process. Grantees will be notified of subject material for webinars as it becomes available.

59. Can we request onsite or online training for an individual grantee?

Yes, CPRIT will provide on-site training as needed. Additional online training will be provided through webinars and other electronic means. If you would like to request on-site training please contact CPRIT's Compliance Program at complianceprogram@cprit.texas.gov.

Travel 60. A state employee may claim less than the maximum meal reimbursement rate and use the amount of the reduction to increase the maximum lodging reimbursement rate. Are we required to supply an additional schedule to justify this option? Our travel system ensures compliance with this rule.

Yes, a grantee may claim less than the maximum meal reimbursement rate and use the amount of the reduction to increase the maximum lodging reimbursement rate consistent with the State of Texas travel guidelines. Grantees should provide clear calculations in the supporting documentation submitted to CPRIT, as CPRIT staff will not perform those calculations.

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61. Is a CPRIT grantee limited to only two academic conferences per year using CPRIT grant funding?

Academic conferences may be paid for with CPRIT grant funds if they are in the budget. CPRIT grants may only pay for two participants to attend the biennial CPRIT Conference. Research Training Awards are the exception to this rule.

62. How about international conference travel? How to get that approved? How long in advance should I get the approval?

If the travel was not in your approved contract budget, it would require a budget change request and should be submitted as soon as possible, and prior to the actual travel, for CPRIT review and approval. The request should be submitted through CARS-CGMS as a Change Not Otherwise Specified. If approved, it would allow payment for registration, travel, and other allowable expenses.

63. Would we submit a change request to appoint another employee other than the ASO for required compliance training on a Change Request Form?

No. Justification to appoint another employee other than the ASO for CPRIT's required training must be submitted in writing to the Chief Compliance Officer, Vince Burgess, at vburgess@cprit.texas.gov for his approval.

Waiver 64. Regarding rule 703.21, how are waiver requests submitted to CPRIT?

Waiver requests need to be submitted as a "change not otherwise specified" in CARS-CGMS.