


CANCER PREVENTION & RESEARCH  
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## CPRIT Grantee Annual Compliance Training October 2022

Prevention



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### Programmatic Contact - Prevention

Ramona Magid  
Chief Prevention Officer  
512-305-8417  
[rmagid@cpr.itexas.gov](mailto:rmagid@cpr.itexas.gov)



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## Training Overview

- Introductions
- FWA Reporting
- Policy and Procedure Guide Overview
- Recent Administrative Rule Changes
- Required Reporting
- Programmatic Topics

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## Fraud, Waste, & Abuse

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## Fraud, Waste, & Abuse

How do I Make a Report?

Use Client Code #5124633190

(Users can remain anonymous)

Call

1-877-64-RedFlag  
(1-877-647-3335)

Online

[www.RedFlagReporting.com](http://www.RedFlagReporting.com)

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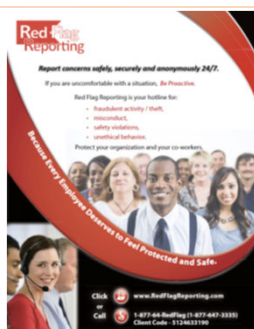
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## Fraud, Waste, & Abuse



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## Policies & Procedures

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### Sources of CPRIT Grantee Requirements

- Article III, Section 67 Texas Constitution
- Texas Health & Safety Code Chapter 102
- Texas Administrative Code Chapters 701 - 703
- Grant Contract
- Texas Grant Management Standards (formerly Uniform Grant Management Standards)

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### Sources of CPRIT Grantee Requirements

Most frequently referenced  
requirements:

- Texas Administrative Code  
Chapters 701 - 703
- Grant Contract

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### Grant Policies & Procedures Guide

- Combines grantee  
requirements from the various  
sources into one document
- Commonly referred to as the  
“P & P Guide”
- Available on CPRIT’s website
- Periodically updated

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### Remember The P&P Guide is only a *guide*

- ❗ The Grant Policies & Procedures  
Guide is only a resource and not an  
authoritative document
- ❗ CPRIT’s administrative rules,  
statute, and grant contract each  
outweigh the Guide

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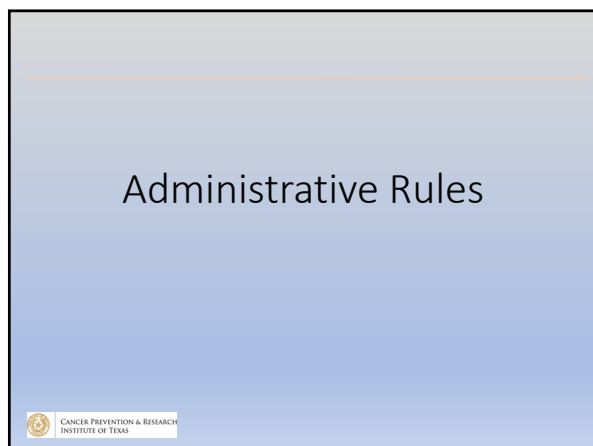
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**Why the Rules are Important for Grantees**

- CPRIT's rules contain many grantee requirements
- Changes to grantee requirements found in the rules happen through the rulemaking process
- The rules are the most cited source in the Grant Policies & Procedures Guide

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**What are the administrative rules?**

- Located in Texas Administrative Code (TAC).
- TAC includes all Texas state agency rules.
- Changes to the rules occur through the official rulemaking process.
- TAC is compiled, indexed, and published by the Texas Secretary of State (<https://www.sos.texas.gov/tac/index.shtml>)

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### CPRIT's Chapters in TAC

- Chapter 701: Policies and Procedures
- Chapter 702: Institute Standards on Ethics and Conflicts, including the Acceptance of Gifts and Donations to the Institute
- Chapter 703: Grants for Cancer Prevention and Research

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### How Rule Changes Occur

1. Proposed rule changes are announced at a quarterly Oversight Committee meeting.
2. Rule changes are made available for public comment & on CPRIT's website.
3. The Oversight Committee considers final adoption at the following open meeting.
4. Texas Administrative Code text is updated with the adopted rule changes.

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### How to Stay in the Know

- ☒ Check CPRIT's website;
- ☒ Receive CPRIT listserv emails;
- ☒ Watch Oversight Committee meetings; and
- ☒ Attend training webinars

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CPRIT's website is the best place to find the current rules and P&P Guide

<https://cprit.texas.gov/about-us/statute-rules-and-grant-policies-guide/>

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Recent Administrative Rule Changes

- Corrections to Financial Status Report (FSR) Supporting Documentation
- Eligible Grantee Matching Funds
- Texas Grant Management Standards

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Corrections to Financial Status Report (FSR) Supporting Documentation  
§703.24(a)(5)

- Requires a grantee to submit corrections to FSR supporting documentation within five (5) business days after CPRIT makes the request.
- If a grantee does not meet the deadline then CPRIT may disapprove the FSR.
- Public comment period closed on October 3<sup>rd</sup>
- The Oversight Committee will consider adopting this rule change at the November 16 meeting.

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### Eligible Grantee Matching Funds

§ 703.11(c)(7)

- Adds relocation costs to Texas as a source of encumbered funds that a grantee may use to fulfill their matching funds requirement.
- Public comment period closed on October 3<sup>rd</sup>
- The Oversight Committee will consider adopting this rule change at the November 16 meeting.

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### Texas Grant Management Standards

§§ 703.10, 703.15, and 703.26

- Replaces references to Uniform Grant Management Standards with Texas Grant Management Standards (TxGMS) in CPRIT's administrative rules.
- CPRIT looks to TxGMS when there is not an agency-specific administrative rule.
- Public comment period closed on October 3<sup>rd</sup>
- The Oversight Committee will consider adopting this rule change at the November 16 meeting.

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## Administrative Rule Changes

### Q & A

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# Financial Status Reports (FSR)

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## FSR Review and Approval Process

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graph TD
    A[Submit FSR in CGMS] --> B[Grant Accountant (GA) Review]
    B --> C[2nd Level Review]
    C --> D[FSR Approved in CGMS by GA]
    
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## FSR – Checklist

- Expenses are paid within FSR period (cash basis)  
[7.6.3 Cash Basis Accounting](#)
- Payment date is included for all transactions
- FSR amounts match ledger totals by expense category

**Best Practice**

- ①
- ②
- ③

**P&P Guide Reference:**  
9.4 Determining if a Cost is Allowable

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## FSR – Checklist

- Supporting documents are scanned in the same order as the transaction listing
- Supporting documents are legible
- Expenses are allowable

*Best Practice*

①  
②  
③



P&P Guide Reference:  
9.4 Determining if a Cost is Allowable

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## FSR – Checklist

- Invoice amounts match amounts shown on the ledger. Partial charges are explained on the invoice
- Expenses are properly categorized
- Justification provided for prior period expenses

*Best Practice*

①  
②  
③



P&P Guide Reference:  
9.4 Determining if a Cost is Allowable

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## FSR - Support Documentation

- Identify the amount charged to CPRIT when less than invoice amount.

Item Total	USD	3,430.00
Gross Value		3,430.00
Net Value		3,430.00
Shipping Fee		14.50
Total Solution Cr.		1,166.00
Amount Paid	USD	2,278.52
\$2,000 charged to CPRIT avoided	USD	2,278.52

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## FSR - Allowable Costs

### Costs should be:



Reasonable - Section 9.4.1

Allocable - Section 9.4.2

Adequately documented - Section 9.4.6

*Note: CPRIT is responsible for making the final determination regarding whether an expense is an allowable expense*

P&P Guide Reference:  
9.4 Determining if a Cost is Allowable

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## FSR – Examples of Unallowable Costs

- Individual Professional Membership fees
- Alcohol
- Tips & Gratuities
- Bad debt
- Lobbying costs
- Entertainment

P&P Guide Reference:  
9.4 Determining if a Cost is Allowable

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## FSR - Reporting

- No disbursement of grants funds will be made until all required financial and programmatic reports are approved
- If errors are made and adequate information is not provided, report will be disapproved and sent back for rework
- Allow enough time for ASO approval and submission before deadline



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# Financial Status Reports Q & A

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# Equipment

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# FSR – Equipment

- Include documentation of CPRIT approval for all equipment expenses
  - Initial Budget Justification
  - Change Not Otherwise Specified (CNOS)



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FSR – Equipment

- Initial Budget Justification-include copy with FSR support and match amount to equipment on invoice:

LINE	PART ID	DESCRIPTION	UM	TAX	QUANTITY	UNIT PRICE	EXTENSION
1	NIS0001	NanoAssembler Spark Instrument	EA	R	✓ 1.0000	25,116.00	✓ 25,116.00
2		FREIGHT CHARGE	EA	N	0.0000	0.00	78.50

Detailed Budget for Year One

Other Direct Charges	
Travel	\$3,000
Equipment (Itemized)	\$50,000

Funds are requested to upgrade several instruments to optimize manufacturing and to enhance efficiency (Precision NanoSystems NanoAssembler) Agilent TapeStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).

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FSR – Equipment

- Change Not Otherwise Specified—include copy with CPRIT approval:

Change Requests

Grant ID: [REDACTED]

Grant Title: [REDACTED]

PERFORMER: [REDACTED]

Organization: [REDACTED]

Grant Information

Contracts

Reimbursements & Payments

Correspondence

Internal Review

Project to Project Review Requests

Program Review

Change Requests

Back to Change Requests

Change - Not Otherwise Specified

Change Request Details:

I am requesting to rebudget funds allocated to subcontracts to purchase a tissue homogenizer - BCU-10.

Justification:

This imaging experiment requires a greater degree of work to be completed from within and this will require the purchase of a new piece of equipment. For this reason, we request the requested amount of reimbursement.

Download Notes and Comments About This Document

2023-02-07 09:45: Complete Web Form [REDACTED]

2023-02-07 09:45: Verify Information (pending) [REDACTED]

2023-02-07 09:11: ARI Review (approved) [REDACTED]

2023-02-07 12:05: Grant Manager Review (approved) - Nancy Petty (Grant Manager)

2023-02-07 12:07: Contract Manager Review (approved) - Nelson, Lisa (Contract Manager)

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FSR Travel & Support  
Documentation

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## FSR - Travel

- A separate travel expense report should be submitted with all supporting documentation for each trip taken

### Expense Report Components

1. Grantee Name
2. Name of person traveling
3. Date(s) of travel
4. Purpose of the travel
5. Itemization of expenses
6. Proof of payment



P&P Guide Reference:  
10.4.3.1 Travel Expense Reports

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## FSR - Travel

[illegible]

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## FSR - Travel Expense Checklist

- Meals expenses supported by itemized receipts unless using per diem
- Split receipts with multiple meals
- Exclude Group meals
- Exclude gratuities and alcohol



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### FSR - Travel Expense Checklist

- Meals and lodging expenses are within GSA limits
- Support includes copy of GSA rates for meals and lodging
- Taxi/Uber/Lyft receipts are included minus gratuities
- Receipts are legible



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### FSR - Travel Expense Checklist

- International travel expenses include CPRIT approval (must provide with FSR)
  - Initial Budget Justification
  - Change Not Otherwise Specified
- All travelers are listed on the PLOE
- Meals for day trips are excluded



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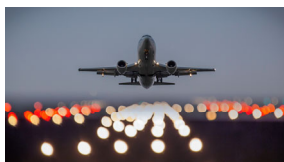
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### FSR – Ineligible Travel Costs

- Alcohol or gratuities
- Airfare costs that exceed coach class
- Foreign travel without prior CPRIT approval
- Travel outside of the grant contract effective dates
- Employee traveling not listed on Personnel Level of Effort (PLOE)
- Dates of travel occur outside of the employee's PLOE period (Travel Only Exception)



P&P Guide Reference:  
10.4.3.2 Meal Expenses  
10.4.1 Allowable Travel Costs

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## FSRs - Foreign Currency

- Submit requests for reimbursement in United States dollar amounts
- If the original cost is in a foreign currency, the Grant Recipient must convert the cost to U.S. dollar amount and provide documentation of the exchange rate used for the conversion



P&P Guide Reference:  
10.4.4 International Travel Requires  
Prior Approval

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## FSR – Contractual Travel

Contractual Travel Costs	Required Support Documentation
Airfare	Itemized Amount
Mileage	Itemized Amount
Hotel	Itemized Amount
Meals	Receipts
Taxi/Uber	Receipts

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## FSR - Travel Q & A

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## Financial Status Reports – Personnel / Fringe

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### FSR-Personnel/Fringe

- Timesheets are signed by employee and supervisor
- Payroll ledger included and it ties to GL
- All employees are listed on PLOE with Level of Effort for current award year
- Fringe expenses are listed by category for each employee



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### FSR-Personnel/Fringe

#### Timesheets / Records of Actual Time Worked

- Time sheets or other records of actual hours worked must:
- Reflect an after-the-fact distribution of the actual time spent on each activity



[P&P Guide Reference:](#)  
10.2 Personnel Expense Category

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## Personnel Level of Effort (PLOE)

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### PLOE - Checklist

- PLOE is updated prior to submitting FSR
- Each employee with salary/fringe has Level of Effort for current award year
- All employees with travel, tuition, stipends and conference fees are listed on the PLOE

*Best Practice*



P&P Guide Reference:  
5.5.8 Personnel Level of Effort Form

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### PLOE - Checklist

PLOE change requests contain all the following elements:

- type of appointment
- number of months
- % effort
- justification for the change

Initial Summary		Details Year 1		Personnel Level of Effort		Financial Detail Support		Approved		Other Financial Data		Enter information for all 3 categories
Personnel Level of Effort												
Select Year/Person and Other Personnel				Level of Effort (LOE)		Year 1		Year 2		Total Person Months Per Person		
First Name	Last Name	Role on Project										
	Cancerologist			Site Visit (Monthly)	0.1	0.1						
				Effort on Project	0.05%	0.05%						
				Person Months	0.05	0.05					0.10	
	PDSO			Site Visit (Monthly)	0.1	0.1						
				Effort on Project	0.05%	0.05%						
				Person Months	0.05	0.05					0.10	
	State Research Assistant			Site Visit (Monthly)	0.1	0.1						
				Effort on Project	0.05%	0.05%						
				Person Months	0.05	0.05					0.10	
				Total Person Months Per Year		0.20	0.20				0.40	


P&P Guide Reference:  
5.5.8 Personnel Level of Effort Form

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PLOE

reminder

When grant moves to closeout status from active status (equivalent to the contract end date), the PLOE **cannot** be revised in CARS-CGMS, and any expenses related to personnel not listed on the PLOE **will not be reimbursed**



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## Personnel Level of Effort Form

### Q & A



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## No Cost Extensions (NCE)



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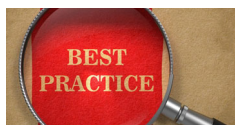
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## NCE

- Include time, process and justification requirements
- PI needs to have measurable level of effort during an approved NCE
- In order to receive a no cost extension, a grantee must be in good fiscal and programmatic standing



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## NCE

- No automatic approval of a grantee's first no cost extension request
- Must be submitted at least 30 days prior to contract termination but not more than 180 days prior



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## NCE

- For No Cost Extensions (NCEs) the **PLOE comes in as a zero by default** – make sure PLOEs are current and accurate for NCEs

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## NCE

Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Role on Project						
Program Coordinator	Type App. (months)	0	0	0	0	0.00%
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
Co-Program Director	Type App. (months)	12	12	0	0	
	Effort on Project	0.00%	0.00%	0.00%	0.00%	
	Person Months	0.96	0.96	0.96	0.00	2.88
Project Assistant	Type App. (months)	0	0	4	0	
	Effort on Project	0.00%	0.00%	60.00%	0.00%	
	Person Months	0.00	0.00	4.80	0.00	4.80
Program Assistant	Type App. (months)	0	0	0	12	
	Effort on Project	0.00%	0.00%	0.00%	100.00%	
	Person Months	0.00	0.00	0.00	12.00	12.00
Co-Program	Type App. (months)	12	12	0	0	
	Effort on Project	0.00%	0.00%	0.00%	0.00%	
	Person Months	0.96	0.96	0.96	0.00	2.88
Program Coordinator	Type App. (months)	0	0	0	0	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.80	0.00	4.80
Project Assistant	Type App. (months)	0	0	0	12	
	Effort on Project	0.00%	0.00%	0.00%	100.00%	
	Person Months	0.00	0.00	0.00	12.00	12.00
PI/PODR	Type App. (months)	12	12	0	0	
	Effort on Project	50.00%	50.00%	50.00%	0.00%	
	Person Months	6.00	6.00	6.00	0.00	18.00
Project Assistant	Type App. (months)	0	0	0	0	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	1.00	0.00	1.00
Total Person Months Per Year		7.92	6.92	24.60	18.00	49.36

Example of a NCE  
which resulted in a  
Year 4 – automatically  
populates with zeros

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## Progress Reporting

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## Progress Reporting

## Publications

- Acknowledgement of CPRIT funding if research being conducted and/or prevention project is related to CPRIT funding
- Include at least one grant ID for all publications submitted for publication

P&P Guide Reference:  
5.10 Acknowledgement of CPRIT Funding

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## Progress Reporting

### Annual and Final Progress Report Instruction

- Instructions accessible on any tab of the annual or final progress report
- Detailed updated instructions are now available



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## Programmatic Topics

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## Change of Approved Goals and Objectives



- Any changes to the scope of work or budget should be consistent with the guidance provided by reviewers and must be approved by CPRIT

P&P Guide Reference:  
11.3 Goals and Objectives

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**Project Coordinator**

- Send contact info to CPRIT Prevention
- Project Coordinator can use the Alternate Submitter role in CGMS

**Register**

Click on the icon for information assistance in completing a given field.

Please fill in the form below to create an account on the system. Users should only have one account each. If you already have a user account, please [login here](#).

**Account Info**

The entries marked with \* are required.

Salutation \*

First Name \*

MI

Last Name \*

Suffix

Login/Username \*  (No spaces)

Password \*  New Password \*

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**Grant Support**

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**Points of Contact**

**CARS/CGMS Technical Issues?**  
Contact CPRIT Helpdesk  
Email: [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)  
Phone: 866-941-7146

**Programmatic/ Content questions?**  
Contact the CPRIT Program Manager/Officer

**Financial Questions/Issues?**  
Contact CPRIT Finance Manager/ Grant Accountant

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### Contact Information

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Ed Dorotik Grant Accountant 512-305-6756 <a href="mailto:edorotik@cpritchexas.gov">edorotik@cpritchexas.gov</a>	Stephen Nance Compliance Program Manager 512-305-8405 <a href="mailto:snance@cpritchexas.gov">snance@cpritchexas.gov</a>
Demitra Alexander Grant Accountant 512-305-8429 <a href="mailto:dalexander@cpritchexas.gov">dalexander@cpritchexas.gov</a>	Vince Burgess Chief Compliance Officer 512-305-8453 <a href="mailto:vburgess@cpritchexas.gov">vburgess@cpritchexas.gov</a>



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## CPRIT Grantee Annual Compliance Training

October 2022



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