


CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CPRIT Grantee Annual Compliance Training

March 2023



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Product Development

1

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2

2

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3

3

Training Overview

- Introductions
- FWA Reporting
- Recent Administrative Rule Changes
- Policies and Procedures Guide Overview
- Required Reporting
- Programmatic Topics

4

Fraud, Waste, & Abuse

5

Fraud, Waste, & Abuse

How do I Make a Report?

Use Client Code #5124633190
(Users can remain anonymous)

Call

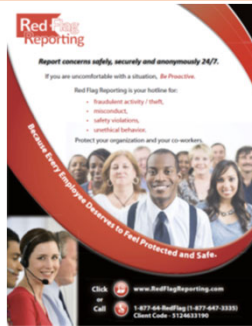
1-877-64-RedFlag
(1-877-647-3335)

Online

www.RedFlagReporting.com

6

Fraud, Waste, & Abuse



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7

7

Administrative Rules

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8

8



How to Stay in the Know

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

9

9

Recent Administrative Rule Changes

Corrections to Financial Status Report (FSR) Supporting Documentation

Eligible Grantee Matching Funds

Texas Grant Management Standards

10

10

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 3rd
- The Oversight Committee will consider adopting this rule change at the November 16 meeting.

11

11

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 3rd
- The Oversight Committee will consider adopting this rule change at the November 16 meeting.

12

12

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 3rd
- The Oversight Committee will consider adopting this rule change at the November 16 meeting.

13

13

Administrative Rule Changes

Q & A




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14

14


CPRIT Policies & Procedures Guide



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15

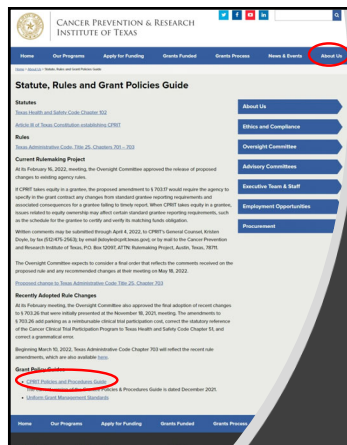
15



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)

16



Statute, Rules and Grant Policies Guide

Statutes

Health and Safety Code Chapter 102

Article III of Texas Constitution establishes CPRIT

Rules

Texas Administrative Code, Title 25, Chapters 701 - 703

Current Rulemaking Project

As in February 16, 2022, meeting, the Oversight Committee approved the release of proposed changes to existing agency rules.

If CPRIT takes equity in a grant, the proposed amendment to 5.10207 would require the agency to submit to the grant contract any changes that would require reporting requirements and associated consequences for a grantee failing to timely report. When CPRIT takes equity in a grant, it is required to equity concerning the grant contract (contract of grant) reporting requirements, such as the schedule for the grantee to verify and verify its matching funds obligation.

Written comments may be submitted through April 4, 2022, to CPRIT General Counsel Kristin Tuckey for the (512) 775-2543, to email (cprit@prh.texas.gov) or by mail to the Cancer Prevention and Research Institute of Texas, P.O. Box 12007, at The University of Texas, Austin, Texas, 78711.

The Oversight Committee expects to consider a final order that reflects the comments received on the proposed rule and any recommended changes at their meeting on May 18, 2022.

Proposed changes to Texas Administrative Code Title 25, Chapter 703

Recently Adopted Rule Changes

At its February meeting, the Oversight Committee also approved the final adoption of recent changes to 5.10207 that were initially presented at the November 16, 2021 meeting. The amendments to 5.10207 will provide for a more equitable and transparent rule-making process, ensure the integrity of the Cancer Clinical Trial Participation Program in Texas Health and Safety Code Chapter 102, and correct a grammatical error.

Beginning March 15, 2022, Texas Administrative Code Chapter 703 will reflect the recent rule amendments, which are available here.

Grant Policies and Procedures Guide

CPRIT Policies and Procedures Guide

- Uniform Grant Management Standards

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/>

17



Policies & Procedures Guide Overview

Grant Policies and Procedures Guide

A resource for CPRIT grant applicants and grant recipients.

June 2022

18

Table of Contents

Grant Policies and Procedures Guide 1

Table of Contents 1

Tables and Figures 3

Version Control 4

Acronyms 7

Chapter 1: Introduction 9

Chapter 2: Applying for a CPRIT Grant 12

Chapter 3: Review Process 24

Chapter 4: Approving Grant Award Recommendations 44

Chapter 5: Grant Contracts 48

Chapter 6: Required Grant Reports 66

Chapter 7: Financial Policies Applicable to CPRIT Grants 87

Chapter 8: Disbursement of Grant Funds 98

Chapter 9: Allowable Costs 104

Chapter 10: Grantee Budget/Expense Categories and Required Documentation 113

Chapter 11: Grantee Monitoring for Progress and Compliance 133

Chapter 12: Grantee Audits 139

Chapter 13: Termination, Extension, and Closeout of Grant Contracts 151


Glossary 158

Appendix 169

19

CPRIT Policies and Procedures Guide
Chapters Covered Today


Chapter	Topic
5	Grant Contracts
6	Required Grant Reports
9	Allowable Costs
10	Grantee Budget/Expense Categories and Required Documentation
13	Termination, Extension, and Closeout of Grant Contracts

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20

Chapter 5: Grant Contracts

**Personnel Level of Effort
(PLOE)**

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21

Polling Question

The personnel level of effort (PLOE) form should be updated once a year.

- True or False

Answer: False

22

22

Polling Question

Are employees whose salaries and benefits are covered by the grant required to be listed on the PLOE?

Answer: YES


23

23


PLOE Checklist

- PLOE **must be 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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24

24

PLOE Checklist

PLOE change requests contain all the following elements:

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

[illegible]

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

25

PLOE Recap

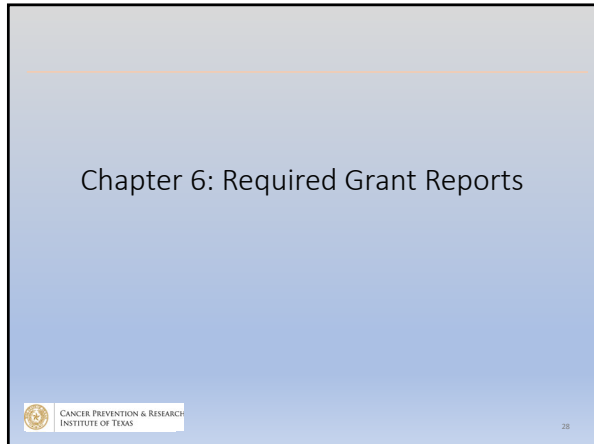
- Update PLOE prior to submitting FSR
- When grant moves to closeout status
 - PLOE cannot be revised in CGMS
 - Expenses related to personnel not updated on the PLOE **will not be reimbursed**

26

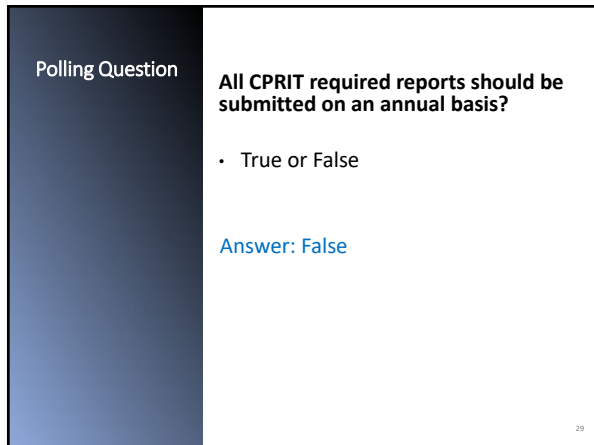
Personnel Level of Effort

Q & A

27



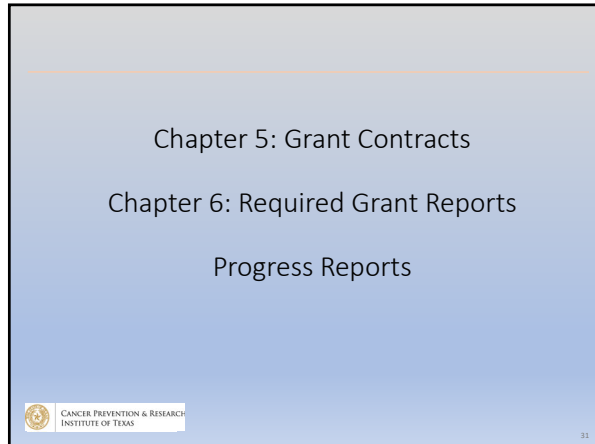
28



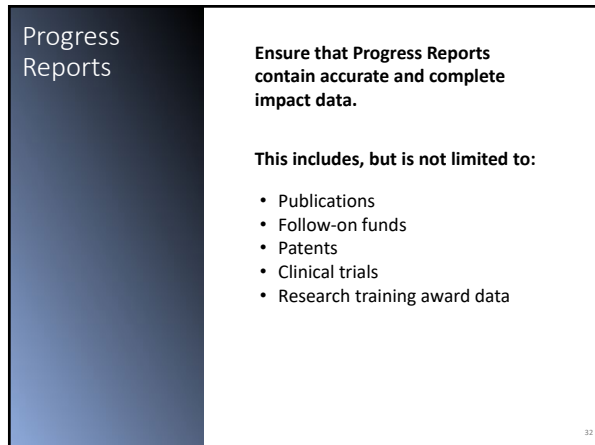
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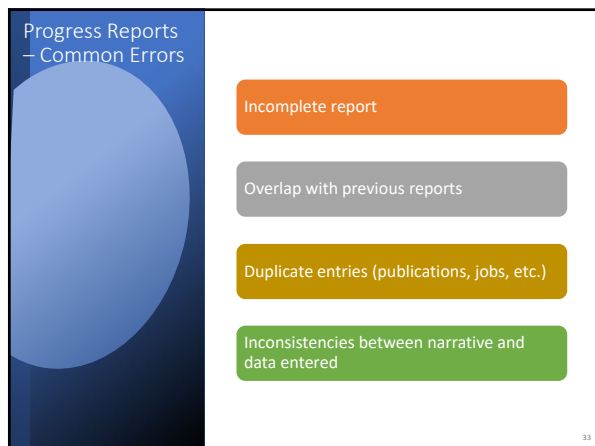
30



31



32



33

CPRIT
Acknowledgment

Printed and visual materials
related to CPRIT funding should
include CPRIT acknowledgment
and grant ID.

Publications not funded by
CPRIT, should not be included in
the progress report

34

CPRIT Acknowledgment


Funding
This work was conducted with support from [redacted] Cancer Prevention Research Institute of
Texas (CPRIT) RP150587. [redacted] was supported by a Career
Development Award (CDA 11-217) from the U.S. Department of Veterans
Affairs. The content is solely the responsibility of the authors and does not
necessarily represent the official views of the National Institutes of Health.

P&P Guide Reference:
5.10 Acknowledgement of CPRIT Funding

35

Chapter 6: Required Grant Reports

Matching Compliance Certification
(MCC)

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36

Polling Question

Which items are allowable match expenses?

- A. Travel expenses that exceed the GSA per diem limit on hotel rates or meals
- B. Short-term travel visa fees and associated costs for an employee listed on the PLOE
- C. An employee's salary amount that exceeds CPRIT's \$200,000 cap
- D. Grantee professional association fees or dues
- E. None of the above
- F. All of the above

Answer: F

37

37

Matching Compliance Certification (MCC)

- Institutions of Higher Education may use their Federal Indirect Cost Rate to fulfill match requirement
- Institutions of Higher Education **must upload to each grant record** most current indirect cost rate agreement
- If grantee uses a blended indirect cost rate calculation, grantee is **required** to have and follow a documented internal policy

P&P Guide Reference:
6.4 Matching Funds Certification and Verification

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38

38

MCC Support Documentation

Grantees must upload 100% of the supporting documentation when the MCC form is completed and uploaded to CGMS.

MCC will not be approved until all documentation is uploaded and reviewed by CPRIT.

The work must support, extend, or facilitate the CPRIT project in some way, even if it is not funded by CPRIT.

39

39

MCC Required Support Documentation

Match Expenses Ledger

Invoices related to Match expenses

Proof of payment


Applicable bank statements

40

MCC - Deficiency

A match deficiency may be carried forward and added to the matching fund requirement for the next project year so long as:

- Deficiency is equal to or less than 20% of the total matching funds required for the same period; and
- No prior matching funds deficiency



41

MCC – Allowable Expenses (not an exhaustive list)

- Any expense that can be claimed for grant reimbursement
- Unrecovered indirect costs up to ten percent (10%) of the grant award amount (in addition to 5% indirect costs claimed for reimbursement) DOES NOT APPLY TO ACADEMIC INSTITUTIONS
- An employee's salary amount that exceeds CPRIT's \$200,000 cap
- Travel expenses that exceed the GSA per diem limit on hotel rates or meals
- Airfare costs that exceed coach class airfare
- Foreign travel related to CPRIT's funded project

42

MCC – Allowable Expenses (not an exhaustive list)

- Taxes that are effectively user fees (hotel taxes, gasoline tax, or airfare tax)
- Short-term travel visa fees and associated costs for an employee listed on the PLOE
- Grantee professional association fees or dues (related to the CPRIT-funded project)
- Patent application fees and associated patent application preparation costs
- Moving costs of office furnishings or employees of companies relocating to Texas
- Security systems and ongoing security system monitoring fees for physical space

43

43

Match Certification

- For grantees receiving advancement of funds, the annual matching certification is based on the **greater** of 1) the amount of funds advanced or 2) the amount expended
- **Example:**
Funds Advanced - \$1,000,000
Funds Expended - \$750,000
Required Match - \$500,000

44

44

Match Certification



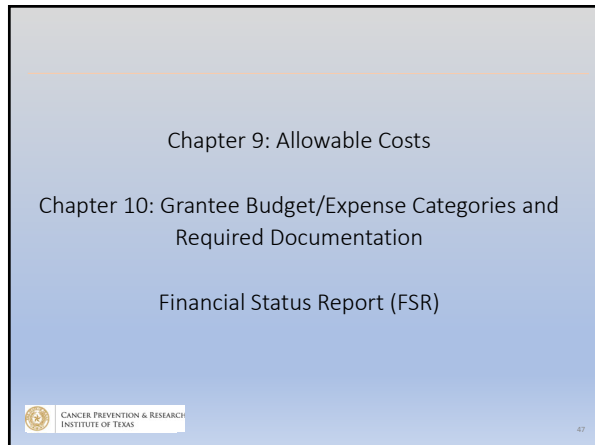
Grant funds for the next project year will not be distributed until the previous year's matching funds verification and certification for the upcoming year have been **approved**.

45

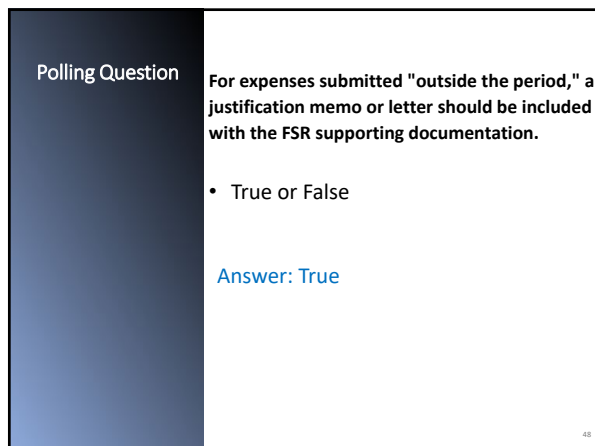
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46



47



48

Polling Question

How many days does a grantee have to respond to a request for additional FSR documentation?

A. 21 days
B. 5 days
C. 30 days

Answer: B

49

FSR – Due Dates

Fiscal Quarter/ Reporting Period	FSR Due Date	Last Day of Grace Period
Sept 1 – Nov 30	Feb 28	Mar 30
Dec 1 – Feb 28	May 29	June 28
Mar 1 – May 31	Aug 29	Sept 28
June 1 – Aug 31	Nov 29	Dec 29

50

FSR Review and Approval Process

```
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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51

FSR Required Supporting Documentation

Every Financial Status Report (FSR) must include a summary report of expenses generated directly from an accounting system or itemized on an Excel spreadsheet, as well as documentation to support grant costs paid during the current reporting period.

The report must contain the following information:

- expense categories
- itemized expenses
- description of items
- date paid
- amount paid with expense totals broken down by category

52

FSR Required Supporting Documentation

If the date paid is not found in the summary report, it should be noted on invoices.

A payment claimed for a period prior to the current period should be accompanied by an **Out of Period (OTP)** letter or memo explaining why the payment was not claimed in the appropriate period.

53

CPRIT Grant Policies & Procedures Guide
Appendix

Appendix


Financial Status Report Supporting Documentation

[Frequently Asked Questions](#)

[Program Priorities](#)

[Revenue Sharing](#)

[Review Processes](#)

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54

FSR Required Supporting Documentation by Expense Category	
Personnel	<ul style="list-style-type: none">Personnel cost report for the pay period including the names, titles, and pay for each individual whose salary is charged to the grant.Names and titles must match the Personnel Level of Effort Form (PLOE) in CGMSChanges to personnel must be submitted on the Personnel Level of Effort change request in CGMS and approved by CPRIT.Non - academic institutions must provide copies of payroll ledger information as well as supporting documentation such as timesheets and payroll statements.
Fringe Benefits	<ul style="list-style-type: none">Summary of benefits paid including employee name, type of benefit, and the amount with a totalGrantees reporting pooled fringe benefits in accordance with a federally approved fringe benefit rate agreement may report a total fringe amount by employee without categorization of each type of benefit<ul style="list-style-type: none">Provide a copy of the agreement that was in effect during the FSR reporting period and the agreement must describe the categories of benefits included in the pool.

55

FSR Required Supporting Documentation by Expense Category	
Travel	<ul style="list-style-type: none">Employee travel reimbursement request form<ul style="list-style-type: none">To be eligible for grant reimbursement, employee names must match those on the PLOEDocumentation to support all travel costs.<ul style="list-style-type: none">mileage logshotel receiptsairfare receiptsGSA rate printout for travel location zip code(s)public transportation receiptsmeal receipts (not required if traveler claims per diem for meals)conference/seminar registrationcopy of CPRIT approval for international travel expenses (initial budget justification or change request)Grantees must exclude tips and alcohol (unallowable expenses) from any travel reimbursement charged to the grant. <p><i>Travel costs charged to the grant must be consistent with the State of Texas TexTravel Guide, https://fmc.cga.state.tx.us/fmc/travel/texttravel/index.php.</i></p>

56


FSR Required Supporting Documentation by Expense Category	
Equipment	<ul style="list-style-type: none">Copy of the vendor invoices for all equipment costs<ul style="list-style-type: none"><i>Purchase orders and packing slips are not acceptable forms of supporting documentation</i>Prior to the actual procurement of the item, equipment purchases must be approved by CPRIT.Copy of CPRIT approval (initial budget justification or change request)
Supplies	<ul style="list-style-type: none">Summary report with a description of the supply purchased, vendor name, date paid, and amount paid.Central supply department transactional documentAcademic Institution grantees must provide a copy of the vendor invoice for any supply purchase of \$750 or more.Non - academic institutions must provide invoices to support all expenses regardless of amount.


57


FSR Required Supporting Documentation by Expense Category	
Contractual	<ul style="list-style-type: none">• Subcontractor invoices for all contractual expenses (service contracts and subawards)• Subcontractor expenses claimed against the grant must adhere to the same cost principles regarding allowable and nonallowable expenses as any other expense claimed by the grantee.• It is the grantee's responsibility to apply these cost principles, and grantees may be asked to provide a copy of the subcontractor contract in some cases.
Other	<ul style="list-style-type: none">• Summary report with a description of the item purchased, date of purchase, date paid, and amount paid for any expenses that cannot be applied to any of the expense categories above.• Central supply department transactional document• Academic Institution grantees must provide a copy of the vendor invoice for any supply purchase of \$750 or more.• Non - academic institutions must provide invoices to support all expenses regardless of amount.
<ul style="list-style-type: none">• For detailed information about required documentation for costs claimed on a FSR, grantees should refer to Chapter 10 of CPRIT's <i>Policies and Procedures Guide</i>.	


58


FSR Submissions Checklist

 Expenses are paid within FSR period

 Payment date is included for all transactions

 FSR amounts match ledger totals by expense category

 Supporting documents are scanned in the same order as the transaction listing

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59

FSR Submissions Checklist

 Supporting documents are legible

 Invoice amounts match amounts shown on the ledger and partial charges are explained on the invoice

 Expenses are allowable and properly categorized

 A memo justification for cost out of period is provided

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60

FSR – Examples of Unallowable Costs


INDIVIDUAL
PROFESSIONAL
MEMBERSHIP FEES


ALCOHOL


TIPS & GRATUITIES


BAD DEBT


LOBBYING COSTS


ENTERTAINMENT

61

61

Common FSR
Review Issues

Mis-categorization
of expenses

Reimbursement
amount is not clear

Documents are not
clearly labeled

Invoices lack
detailed purchase
description

Lack of response
from grantee for
additional
information


62

62

Miscategorization of Expenses

Supplies Expense
Equipment with unit cost of less than \$5000
Lab materials
Office Supplies

Other Expense
Lab care (mice per diem)
Copying services
Publication fees
Equipment warranties and service contracts
Conference/registration fees (not associated with travel)
• *Conference/registration fees that are paid as part of travel expenses are reimbursable on a travel voucher*
Shipping services (FedEx, UPS), etc.



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63

63

Reimbursement Amount Not Clear

- 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 Fees		14.52
Total Solution Cr.		1,166.00
Amount Paid	USD	2,278.52
<div><div>\$2,000 charged to CPRIT award</div><div>Credit Card Charge Details: MC ****5345</div></div>		
	USD	2,278.52

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64

64

Documents Not Clearly Labeled

- Individual items referenced in GL with the same letter:

TRAVEL	19.2	I	8/24/2022
TRAVEL	23.18	I	8/24/2022
TRAVEL	30.00	I	8/24/2022
TRAVEL	24.40	I	8/24/2022
TRAVEL	989.00	I	8/24/2022
TRAVEL	725.00	I	8/24/2022
TRAVEL	18.75	I	8/24/2022
TRAVEL	17.60	I	8/24/2022
TRAVEL	20.10	I	8/24/2022
TRAVEL	33.50	I	8/24/2022
TRAVEL	29.90	I	8/24/2022
TRAVEL	46.20	I	8/24/2022
TRAVEL	6.90	I	8/24/2022
TRAVEL	4.90	I	8/24/2022
TRAVEL	790.30	I	8/24/2022
TRAVEL	36.90	I	8/24/2022
TRAVEL	9.20	I	8/24/2022
TRAVEL	5.80	I	8/24/2022
TRAVEL	14.80	I	8/24/2022
TRAVEL	33.50	I	8/24/2022
TRAVEL	9.20	I	8/24/2022

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65

65

Documents Not Clearly Labeled

- Items individually referenced

Travel Out of State	TRAVEL	250.00	6/1/2022	6/1/2022	3/27/2022
Travel Out of State	TRAVEL	250.00	6/1/2022	6/1/2022	3/27/2022
Travel Out of State	TRAVEL	800.00	6/1/2022	6/1/2022	6/9/2022
Travel Out of State	Disallowed, Overtime	10.00	6/1/2022	6/1/2022	6/9/2022
Travel Out of State	TRAVEL	27.70	6/1/2022	6/1/2022	6/9/2022
Travel Out of State	Disallowed, conference fees	121.00	6/1/2022	6/1/2022	6/9/2022
Travel Out of State	Disallowed, conference fees	40.00	6/1/2022	6/1/2022	6/9/2022
Travel Out of State	TRAVEL	11.00	6/1/2022	6/1/2022	6/9/2022
Travel Out of State	Disallowed, tip	11.00	6/1/2022	6/1/2022	6/9/2022
Travel Out of State	TRAVEL	11.00	6/1/2022	6/1/2022	6/9/2022
Travel Out of State	Disallowed, tip	11.00	6/1/2022	6/1/2022	6/9/2022
Total Travel		988.50			
Total GL		30,009.50			

✓11.88

GL: 911.88

Pay on Check # 1

Add King Arthur Bakery

Pay Order # 1

Three Address

None

Payee Address


NA Made Tex (75)

TIP

Total

911.88

✓

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66

66


22

Invoices Lack Detailed Description

- Unclear description:

Line #	PQ Line #	Description	UOM	Qty	Unit Price	Extended Amount
1	1	COLUMIN C4 214TP SRB VYDAC SUM	EA	1	\$ 1,127.6100	\$ 1,127.61
- Clear description:

10022-00	Scalpel Blades #22	2	C	\$4.50	0.000	309.00
----------	--------------------	---	---	--------	-------	--------



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67

67

Lack of response from grantee for additional information

Texas Administrative Code

TITLE 25
PART 11
CHAPTER 703
RULE §703.24

HEALTH SERVICES
CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
GRANTS FOR CANCER PREVENTION AND RESEARCH
Financial Status Reports

(5) The Institute may request in writing that a Grant Recipient provide more information or correct a deficiency in the supporting documentation for a Financial Status Report. If a Grant Recipient does not submit the requested information within five (5) business days after the request is submitted, the Financial Status Report may be disapproved by the Institute.


TAC §703.24 (a)(15)

68

68

Financial Status Reports

Q & A




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69

69

Chapter 10: Grantee Budget/Expense Categories and Required Documentation

Equipment Expense Category

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70

70

Polling Question

Can equipment, not listed in original application, be purchased in lieu of approved equipment?

Answer: Yes

CPRIT approval must be obtained prior to purchasing the replacement equipment via a Change Not Otherwise Specified (CNOS) change request in CGMS.

71

71

Polling Question

Equipment service agreements cannot be purchased during an NCE.

Answer: False

Service agreements can be purchased but the cost must be prorated if the service agreement extends beyond the new end date of the grant.

72


72


Equipment

For all equipment expenses, the grantee **must** include acceptable documentation of CPRIT approval.

Acceptable documentation includes:

- Initial Budget Justification with **equipment items highlighted**
- Approved change request





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73

73

Acceptable Equipment Documentation

Change Requests

Grant ID: [REDACTED]
PI/PI(CR): [REDACTED]

Grant Title: [REDACTED]
Organization: [REDACTED]

Grant Information

Contacts

Documents & Forms

Correspondence

Internal Notes

Budget & Financial Status Reports

Progress Reports

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, ~\$5,700.

* Justification:

The remaining experiments require a greater degree of T cells to be recovered from tumors and require more tissue than reported from our past animal studies. For this reason, we require the equipment purchase of a homogenizer.

[\[View/Hide Notes and Comments About This Document\]](#)


2022-02-07 08:40 Complete Web Form [REDACTED]

2022-02-07 08:40 Verify Information [REDACTED]

2022-02-07 08:51 ASO Review [approved] [REDACTED]

2022-02-07 12:05 Grant Manager Review [approved] - Moore, Patty (Grant Manager)

2022-02-07 12:07 Contract Manager Review [approved] - Nelson, Lisa (Contract Manager)



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74

74

Acceptable Equipment Documentation

LINE	PART ID	DESCRIPTION	UM	TAX	QUANTITY	UNIT PRICE	EXTENSION
1	NS0001	NanoAssemb Spark Instrument	EA	R	✓ 1.0000	25,115.00	✓ 25,115.00
2		FREIGHT CHARGE	EA	N	0.0000	0.00	75.50

[REDACTED] Detailed Budget for Year One

Other Direct Charges


Travel

\$3,000

Equipment (Itemized)

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

\$30,000



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75

75

25

Chapter 10: Grantee Budget/Expense Categories and Required Documentation

Travel Expense Category

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76

76

Polling Question

International travel requires prior approval if it is not included in the original budget justification.

- True or False

Answer: True

77

77

Polling Question

Should meal receipts be submitted if claiming per diem?

Answer: No

Meal receipts are not required when claiming per diem

78

78


Travel Expense Report Requirements

For each trip taken, a separate travel expense report with all supporting documentation should be submitted, which should include:


- Grantee Name
- Traveler's Name
- Date(s) of travel
- Purpose of the travel
- Itemization of expenses
- Proof of payment

79


Travel Expense Checklist




All travelers **must** be listed on the PLDE




Receipts should be legible and in same order as GL



Unless using per diem, meal expenses should be supported by itemized receipts.



Clearly identify meals for reimbursement on split receipts



Group and day trip meals are not allowed

80

Travel Expense Checklist



Grantee **must** include documentation of CPRIT approval for all international travel expenses



GSA rate printout for the travel location(s) zip code should be attached



Mileage calculations and transportation receipts included



Gratuities and alcohol should not be excluded



Meals and lodging expenses are within GSA limits



Include a calculation to show that hotel room rates and taxes are prorated when they exceed the per diem

81

Texttravel – Hotel Occupancy taxes Maximum Reimbursement

Fiscal Management

Home / Travel

Home Rates Transportation **Meals and Lodging** Exceptions Miscellaneous Provisions Examples Documentation Required

Meals and Lodging

Meals

Lodging

Hotel occupancy taxes

Exception for employees of educational organizations

Exception for certain state officers or employees

Exception for travel outside

Hotel occupancy taxes

Maximum reimbursement

When a state employee is entitled to be reimbursed for payment of a hotel occupancy or similar tax and the lodging amount incurred exceeds the maximum allowable lodging rate, the following calculation methods for the tax reimbursement must be used:

If the tax is calculated as a percentage of the lodging rate, then the amount of the reimbursement is equal to the percentage multiplied by the maximum that may be reimbursed to the employee for lodging expenses.

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82

82

Prorated hotel room rate and taxes when they exceed the per diem

08/19/22	ROOM CHARGE	RP1214	239.94	187 on PSR (GSA)
08/19/22	Room Tax	RT1214	28.55	22.25
08/19/22	City Tax	CT1214	10.80	8.42
08/19/22	County Tax	TA1214	2.40	1.87

Prorated taxes based on \$187 max GSA lodging rate:

$(28.55/239.94) * 187 = 22.25$

$(10.8/239.94) * 187 = 8.42$

$(2.40/239.94) * 187 = 1.87$

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83

83

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)


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84

84

28

Foreign
Currency



Foreign currency travel expenses **must** be:

- converted to US dollar amounts before submitting to CPRIT, and
- documentation of the exchange rate used for the conversion **must** be included with supporting documents.

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


85

Contractual
Travel


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

86

Travel Expenses Recap




- Submit a **complete** travel expense report for each traveler and include all supporting documents
- Travel receipts should be in same order as GL
- Submit copy of GSA meals and lodging rates with supporting documents
- Submit foreign travel approval with supporting documents
- Convert foreign travel currency expenses to USD and include exchange rate used

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87

Travel Expenses
Q & A




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88

88

Chapter 10: Grantee Budget/Expense
Categories and Required Documentation

Personnel / Fringe Expense Category



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89

89

FSR Personnel & Fringe


- 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
 - **Exception:** A copy of the agreement that describes the categories of fringe included in the pool must be provided if a grantee uses pooled fringe in accordance with a federally approved rate agreement.


Best Practice

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90

90

Chapter 13: Termination,
Extension, and Closeout of Grant
Contracts

No Cost Extensions (NCE)



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91

91

No Cost
Extension (NCE)

- Request must be submitted at least 30 days prior to termination date but not more than 180 days prior
- **More than 6 months can be requested.** The increased number of months should be mentioned in the first sentence of the justification
- There is no automatic approval. NCEs are based on several factors including;
 - documentation of progress
 - documentation that the work proposed for the NCE is consistent with the initial award
 - grantee must be in good fiscal and programmatic standing
- **The PI must exhibit measurable effort during an approved NCE**

92

92

No Cost
Extension (NCE)

For approved NCEs

- The final report date for NCEs will change, but an additional annual report as well as quarterly reports are required until the contract ends
- You must update the PLOE for the extension time period because it defaults to zero for No Cost Extensions (NCEs)

93

93

No Cost Extension PLOE Update						
Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Base on Project						
Type App. (months)		0	0	0	0	
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	12	12	
Effort on Project	0.00%	0.00%	0.00%	0.00%		
Person Months	0.96	0.96	0.96	0.00		3.88
Project Assistant						
Type App. (months)		0	0	4	12	
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	4	12	
Effort on Project	0.00%	0.00%	10.00%	0.00%		
Person Months	0.00	0.00	1.20	0.00		1.20
Co-Program						
Type App. (months)		12	12	12	12	
Effort on Project	0.00%	0.00%	0.00%	0.00%		
Person Months	0.96	0.96	0.96	0.00		3.88
Program Coordinator						
Type App. (months)		0	0	4	12	
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	4	12	
Effort on Project	0.00%	0.00%	100.00%	0.00%		
Person Months	0.00	0.00	4.80	0.00		4.80
RFP/OKR						
Type App. (months)		12	12	12	12	
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	4	12	
Effort on Project	0.00%	0.00%	100.00%	0.00%		
Person Months	0.00	0.00	4.80	0.00		4.80
Total Person Months Per Year						
		7.92	6.12	24.00	NA	48.00

94

NCE – Frequently Asked Questions	
What research can be conducted during an NCE?	
<p>Answer: Only goals and objectives that have been approved but have not yet been completed can be conducted during an NCE.</p>	

95

Programmatic Topics	
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96

Texas Location Criteria

Product Development Grantees must maintain its principal place of business in the State of Texas for a period of three years after the final payment of the Grant funds is made by CPRIT



P&P Guide Reference:
2.4 Eligibility

97

Texas Location Criteria

Must demonstrate and maintain at least 4 of the 7 criteria throughout the entire grant period


Criteria:

- The U.S. headquarters is physically located in Texas
- The Chief Executive Officer resides in Texas
- A majority of the company's personnel, including at least two other C-level employees (or equivalent) reside in Texas
- Manufacturing activities take place in Texas
- At least 90% of Grant Award funds are paid to individuals and entities in Texas, including salaries and personnel costs for employees and contractors
- At least one clinical trial site in Texas
- Collaboration with a medical research organization in Texas, including a public or private institution of higher education

98


Texas Location Criteria

New Grantees will have one year from the date of receiving the disbursement of grant award funds to meet the Texas Location Criteria requirements




99

Location Criteria Support Documentation	
Texas Location Criteria Type	Acceptable Supporting Documentation
The U.S. headquarters is physically located in Texas	<ul style="list-style-type: none"> Lease agreement Most recent tax return
The Chief Executive Officer resides in Texas	<ul style="list-style-type: none"> Texas Drivers License Apartment/rental home lease agreement Utility Bill Pay Stub
Majority of the company's personnel, including at least 2 other C-level employees (or equivalent) reside in Texas	<ul style="list-style-type: none"> Texas Drivers License Apartment/rental home lease agreement Utility Bill Employee roster with names and home addresses Pay Stub


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 100


100

Location Criteria Support Documentation	
Texas Location Criteria Type	Acceptable Supporting Documentation
Manufacturing activities take place in Texas	<ul style="list-style-type: none"> Contract/agreement If manufacturing activities take place at grantee's address (onsite); Photos of the facility
At least 90% of Grant Award funds are paid to individuals and entities in Texas, including salaries and personnel costs for employees and contractors	<ul style="list-style-type: none"> Employee roster with names and addresses Detailed expenditure report with vendor's name, location and total amounts paid
At least one clinical trial site in Texas	<ul style="list-style-type: none"> Contract/agreement
Collaboration with a medical research organization in Texas, including a public or private institution of higher education	<ul style="list-style-type: none"> Contract/agreement


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 101

101


Advance Payments	
<ul style="list-style-type: none"> CPRIT will advance up to 50% of the project year budget at one time Must expend at least 90% of the grant award funds in a tranche before the additional funds will be advanced 10% of grant award funds will be withheld from a grantee until the grantee has completed the contract close out process and all grant reports have been submitted to and approved by CPRIT 	


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 102

102

Advance Payments

- Advancements are requested by utilizing the "Advancement of Funds Form" option on the "Change Request" tab in CGMS



103

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

104

Grant Support



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105

Points of Contact

CARS/CGMS Technical Issues?
Contact CPRIT Helpdesk
Email: 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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106

106

Contact Information


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107


107



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CPRIT Grantee Annual Compliance Training

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Product Development

108