

CPRIT Grantee Annual Compliance Training

October 2023


Academic Research

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Training Overview

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

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Sources of CPRIT Grantee Requirements

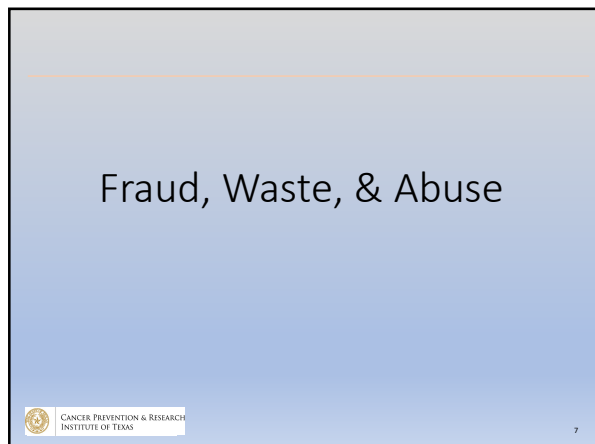
- Article III, Section 67 Texas Constitution
- Texas Health & Safety Code Chapter 102
- Texas Administrative Code Chapters 701 - 703
- Grant Contract
- Texas Grant Management Standards (formerly Uniform Grant Management Standards)

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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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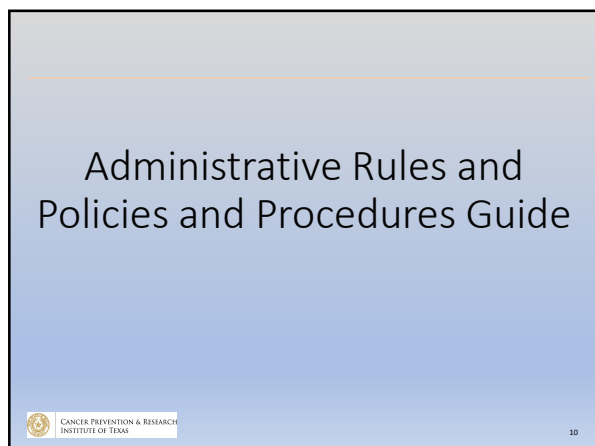
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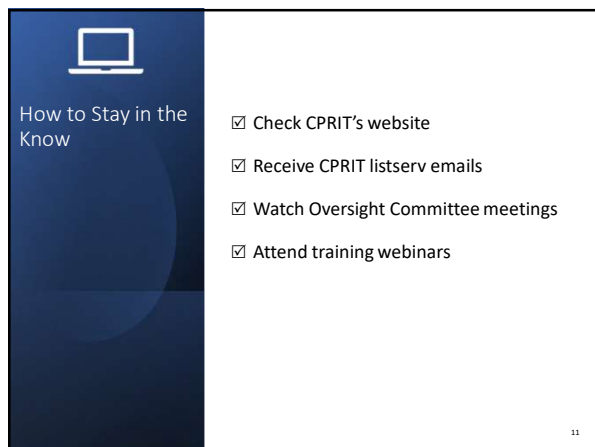
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Applicability of CPRIT's Electronic Signature Policy

§ 701.25

Public comment period is open.

- Extends CPRIT's electronic signature policy to include grant applicants.
- Currently, the policy explicitly applies to grant recipients.
- The policy allows CPRIT to rely on information submitted by a Grant Recipient's Authorized Signing Official (ASO) as legally binding.

 Public comment is open through October 2nd.

 The Oversight Committee will consider final adoption of this rule change at their November 15th meeting.

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Definition of "Scope of Work"

§ 701.3(63)

Adopted & final in September 2023

- CPRIT amended the definition of scope of work to include "specific aims and sub aims, if appropriate."
- Scope of Work: the goals and objectives **or specific aims and sub aims, if appropriate**, of the Cancer Research or Cancer Prevention project, including the timeline and milestones to be achieved.
- A request for Applications (RFA) will specify applicable terminology for a grant mechanism.

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Use of "Scope of Work"

§§ 701.3(29), 703.6, 703.7, 703.10, 703.21, 703.25

Adopted & final in September 2023

- These are non substantive changes that ensure consistent use of "Scope of Work" in CPRIT's rules.
- CPRIT replaced variations referring to scope of work (e.g., project goals, project scope) with the defined term "Scope of Work."
- Scope of Work includes CPRIT grant project
 - goals and objectives,
 - specific aims and sub aims, if appropriate,
 - Timeline, and
 - milestones to be achieved.

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Corrections to Financial Status Report (FSR) Supporting Documentation
§703.24(a)(5)
Adopted & final in 2022

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.

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Eligible Grantee Matching Funds
§ 703.11(c)(7)
Adopted & final in 2022

- Adds relocation costs to Texas as a source of encumbered funds that a grantee may use to fulfill their matching funds requirement.

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Statute, Rules and Grant Policies Guide

History
 Texas Health and Safety Code Chapter 302
 Texas Health and Safety Code Chapter 302
 Texas Health and Safety Code Chapter 302

Rules
 Texas Administrative Code Title 29, Chapter 703

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

As CPRIT rules require a grantee to submit a proposed amendment to a grant contract, any change from standard grantee reporting requirements and associated information in a grantee's grant contract must be submitted to CPRIT. Grantee reporting requirements, such as those related to equity ownership may affect certain standard grantee reporting requirements, such as the requirement for the grantee to certify and verify the matching funds obligation.

Written comments may be submitted through April 4, 2022, to CPRIT's General Counsel, Kristin Smith, by the email address kristin.smith@cprit.texas.gov or by mail to the Cancer Prevention and Research Institute of Texas, 400 West 19th Street, 19th Floor, Austin, Texas 78761.

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 Comments to Texas Administrative Code Chapter 703

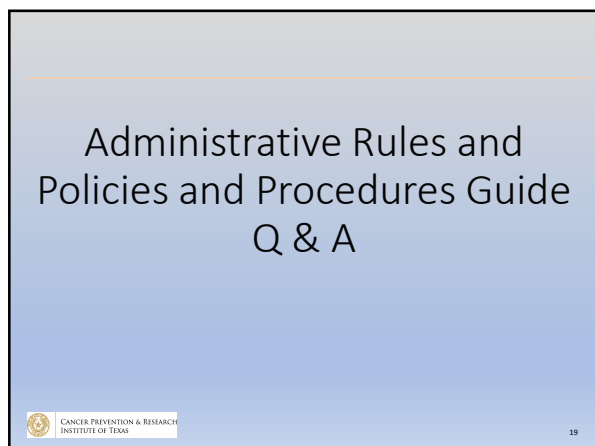
Recently Adopted Rule Changes
 At its February meeting, the Oversight Committee also approved the final adoption of recent changes to § 703.20 that were initially presented on November 18, 2021, meeting the requirements for § 703.20 and passing as a noncontroversial clinical trial participation rule. Correct the statutory reference in the Cancer Clinical Trial Participation Program to Texas Health and Safety Code Chapter 302, and correct a grammatical error.

Beginning March 16, 2022, Texas Administrative Code Chapter 703 will reflect the recent rule amendments, which are also available [here](https://cprit.texas.gov/about-us/statute-rules-and-grant-policies-guide/).

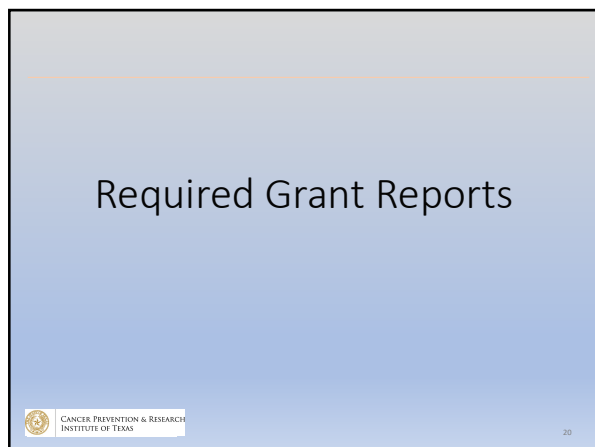
Grant Policy Updates
 The grant policy and procedures manual is available [here](https://cprit.texas.gov/about-us/statute-rules-and-grant-policies-guide/).
 The grant policy and procedures manual is available [here](https://cprit.texas.gov/about-us/statute-rules-and-grant-policies-guide/).

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

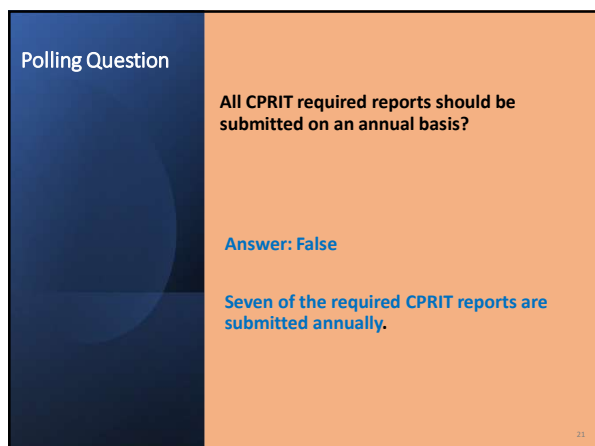
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Reporting Requirements



Annual

- Inventory Report
- Revenue Sharing Report
- HUB/Texas Suppliers Report
- Matching Compliance Certification
- Annual Progress Report
- Single Audit Determination Form
- Audit Report



Quarterly

- Financial Status Report
- Quarterly Progress Report

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Progress Reports

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Progress Reports

Ensure that Progress Reports contain accurate and complete impact data.

This includes, but is not limited to:

- All Publications (manuscripts to published)
- Follow-on funds
- Patents and Patent Applications
- Clinical trials
- Core Facility Support Award user data
- Research training award data




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Progress Reports

- Economic Impact (*Prevention Grants only*)
 - How many NEW jobs were created = the number of positions filled during the last year (including the final report; final report should NOT be the cumulative number over the entire project). This number should be ZERO if positions haven't been added during the grant year
 - How many jobs were maintained = the number of positions that continue from the year



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Progress Reports – Common Errors

- Incomplete report
- Overlap with previous reports
- Duplicate entries (publications, jobs, etc.)
- Inconsistencies between narrative and data entered

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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
- RR grants only** - Recruitment awardees are expected to report on all cancer-related publications

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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

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Financial Status Report (FSR)

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Polling Question

A justification memo or letter should be included with the FSR supporting documentation for expenses submitted "outside the period".

Answer: True

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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

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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

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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 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

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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.

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Acceptable OTP Explanation

Example A, the grantee has provided a clear explanation for why the expenses were not reported during the correct period

August 2, 2023

Financial Manager
CPRIT

RE: [redacted]

Dear [redacted],

We request that charges for personnel services provided from outside the current reporting period be allowed to be reported during the reporting period 03/01/23-05/31/23.

Some employees had corrections for prior reporting periods. We have confirmed that these corrections are allowable and that the employee was authorized for the period paid.

Thank you very much for your consideration of this request.

With best regards,

[redacted]
VP Finance and Chief Accounting Officer

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Unacceptable OTP Explanation

Example B, the grantee has requested that the OTP expenses be approved, with no explanation for why the expenses were not reported during the correct period

This is to request approval for expenses with invoice dates outside the current reporting period, but were paid within the period to comply with CPRIT policy on reimbursement

Contract	Project	Activity	Customer	Account	Descr	Acct Category	Sum Amt	Code	Posted Date	Supplier	Name
SPA0003291	10029435	000004	100649	510497	On Lab And Med Sup	SUPPLIES	1,070.00	RFP	1/18/2023	0000137252	CITIBANK N.A.
SPA0003291	10029435	000003	100649	542210	Travel Out of State	TRAVEL	327.96	RFP	8/17/2022	0000137252	CITIBANK N.A.
SPA0003291	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	8/1/2022	0	
SPA0003291	10029435	000003	100649	542210	Travel Out of State	TRAVEL	287.95	RFP	8/17/2022	0000137252	CITIBANK N.A.
SPA0003291	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	8/1/2022	0	

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FSR Support Documentation Resources



**FSR Required Supporting
Documentation by Expense
Category**

Details the documentation a grantee must provide to support expenses reported for each budget category



CPRIT FSR Checklist

A tool to assist grantees submit accurate information and documentation for all costs requested for reimbursement.

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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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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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FSR – Examples of Unallowable Costs



INDIVIDUAL
PROFESSIONAL
MEMBERSHIP FEES



ALCOHOL



TIPS & GRATUITIES



BAD DEBT



LOBBYING COSTS



ENTERTAINMENT

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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

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Mis-categorization of Expenses

- Expense mis-categorization is most common in these three budget categories;
 - Supplies
 - Other
 - Equipment
- Ensure that your budget justification allocates expenses to the appropriate budget category.

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The FSR was submitted with \$88,645.78 in expenses classified as "Other." After reviewing the supporting documents, it was determined that \$40,700.26 should be allocated to "Equipment," \$44,165.52 should be allocated to "Supplies," and \$3780 should be allocated to "Other."

Pay Date	Descr	Budget Category (0000)	Descr2	Fund	Dept	Project	Document	Expended	Pay Period Details	Account	Invoice Date	Line Item #
11/1/2022	MS SGA GT CHARGES	1-Other	Maintenance & Operation	42004	12250	07740	117002-0819	45,165.52	MS SGA MONTHLY CHARGES	11-2022	11/1/2022	1
11/1/2022	MS SGA GT CHARGES	1-Other	Maintenance & Operation	42004	12250	07740	117002-0819	44,165.52	MS SGA MONTHLY CHARGES	11-2022	11/1/2022	1

Scripted Categories		
1	Salary	\$36,237.08
2	Fringe	\$10,615.54
3	Travel	\$0.00
4	Equipment	\$40,700.26
5	Supplies	\$44,165.52
6	Contractual	\$0.00
7	Other	\$3,780
8	Indirect Costs	\$7,269.38
Total		\$145,787.80

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- Dell DIR-TSO-3763
- OMNIA #R200803

Hardware

Description	Price
PowerEdge R7525 - [amer_r7525_13945]	\$40,700.26
Description	840/Quantity
SAS/SATA Backplane	379-B20SS
PowerEdge R7525 Server	210-AJFQ
TruScale Platform Module 2.0 V3	401-AAG2
8X 3.5 SAS/SATA with 10GB	321-8F0U
AMD 7702 20Hc/84C/128T/256M/200W/3300	338-859W
AMD 7702 20Hc/84C/128T/256M/200W/3300	338-859W
Additional Processor Selected	379-B20SS
Heatbank for 2 CPU + GPU/PGA/Full Length card config configuration	413-AJLZ
Performance Optimized	370-AA8P
3200MT/s RDIMMs	370-AEVR
RAID 5	780-B2CP
PERC H745 Controller, Front	405-AALZ

Reclassified from
"other" to "equipment"

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Equipment Category Expenses

- Equipment with unit cost of \$5000 or more

R&P Guide Reference: 12.4.4.7 Equipment

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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

\$2,000 charged to CPRIT award

Credit Card Charge Details:
MC ****5345 USD 2,278.52

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Documents Not Clearly Labeled

- Individual items referenced in GL with the same letter:

TRAVEL	19.2	I	8/24/2022
TRAVEL	23.1	I	8/24/2022
TRAVEL	30.0	I	8/24/2022
TRAVEL	24.4	I	8/24/2022
TRAVEL	✓ 989.0	I	8/24/2022
TRAVEL	725.0	I	8/24/2022
TRAVEL	18.7	I	8/24/2022
TRAVEL	17.6	I	8/24/2022
TRAVEL	20.1	I	8/24/2022
TRAVEL	33.5	I	8/24/2022
TRAVEL	29.9	I	8/24/2022
TRAVEL	46.2	I	8/24/2022
TRAVEL	6.3	J	8/24/2022
TRAVEL	4.9	J	8/24/2022
TRAVEL	790.5	J	8/24/2022
TRAVEL	36.9	J	8/24/2022
TRAVEL	9.2	J	8/24/2022
TRAVEL	5.8	J	8/24/2022
TRAVEL	14.8	J	8/24/2022
TRAVEL	33.5	J	8/24/2022
TRAVEL	9.2	J	8/24/2022

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Financial Status Reports Q & A

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Personnel / Fringe Expense Category

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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

①
②
③



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Personnel Level of Effort (PLOE)

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Polling Question

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

Answer: False

The PLOE should be updated quarterly before submitting the FSR.

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Polling Question

Do employees whose salaries and fringe are charged to the grant need to be listed on the PLOE?

Answer: Yes

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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

①
②
③

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

Personnel Level of Effort				Enter information for all 3 categories	
First Name	Last Name	Role on Project	Level of Effort (LOE)	Year 1	Year 2
		Principal Investigator	Full Time (Monthly)	12	12
			Other Personnel	1.00	1.00
			Person Months	6.00	6.00
			Full Time (Monthly)	12	12
		Postdoc	Other Personnel	0.00	0.00
			Person Months	0.00	0.00
			Full Time (Monthly)	12	12
		Other Personnel	Other Personnel	0.00	0.00
			Person Months	0.00	0.00
			Full Time (Monthly)	12	12
			Person Months Per Year	1.00	1.00

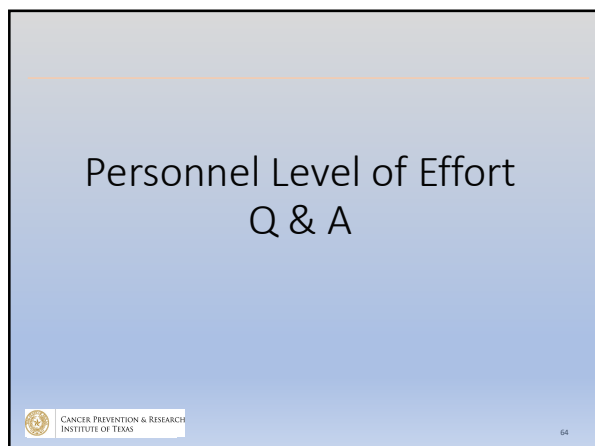
P&P Guide Reference:
5.5.8 Personnel Level of Effort Form

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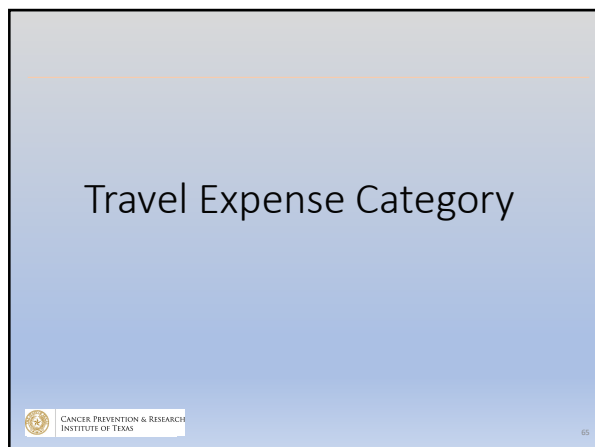
Important

- 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**

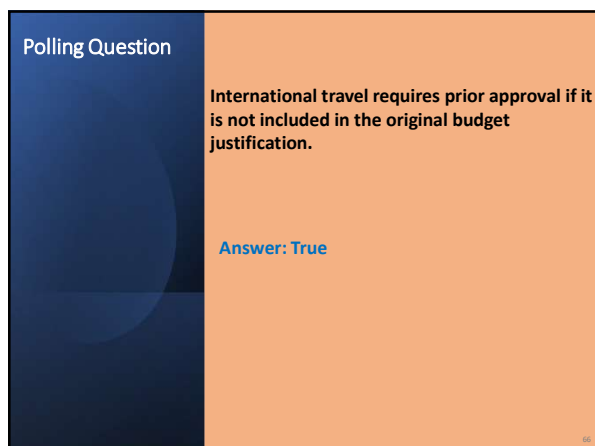
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Polling Question

Should meal receipts be submitted if claiming per diem?

Answer: No

Meal receipts are not required when claiming per diem

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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

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Travel Expense Checklist



All travelers must be listed on the PLOE



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

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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 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

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Conference and Seminar Registration Fees

- Conference and seminar registration fees should be reported in the "other" category when incurred by the institution/organization or when paid by an employee, but employee is not requesting travel reimbursement.
- Employees who pay the registration fees at the time the employee attends the meeting while on travel status and incur travel expenses to attend the conference/seminar can report the fee on their travel reimbursement voucher.



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Texttravel – Hotel Occupancy taxes Maximum Reimbursement

Fiscal Management
State Budget
Texas Comptroller of Public Accounts

About FMX Topics Systems Calendars/Schedules Policies/Procedures (FPP) Forms Publications Training

Home Travel

texttravel
Rules of the road on the Web

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

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

08/19/22	ROOM CHARGE	RP1214	239.94	187 on FSR (GSA)	Prorated taxes based on \$187 max GSA lodging rate: $(28.55/239.94) \times 187 = 22.25$ $(10.8/239.94) \times 187 = 8.42$ $(2.40/239.94) \times 187 = 1.87$
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	741214	2.40	1.87	

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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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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

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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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Contractual Travel

Subrecipient Expenditure Invoice Template

Invoice Number: 000000
 Invoice Date: 8/29/2023 ✓
 Invoice Period: 8/1/2023 - 8/31/2023 ✓
 Invoice Amount: \$250.00
 Subrecipient Name: [REDACTED]
 Subrecipient Address: [REDACTED]
 Subaward Number: [REDACTED]
 Award Number: [REDACTED]
 Subaward PI Name: [REDACTED]

Check if final invoice

Expense Categories	Expenditures for Invoice Period	Cumulative Expenditures	Cost Share Expenditures for Invoice Period	Cost Share Cumulative Expenditures
Project Costs				
Personnel salaries	4,541.54	224,717.53		
Fringe benefits	4,541.54	224,717.53		
Domestic Travel	250.00	250.00		
International Travel				
Equipment				
Supplies & Materials				
Consultants				
Other Direct Costs				
Total Direct Costs	9,383.58	9,383.58	\$6.83	\$6.83
Total Costs	\$9,383.58	\$9,383.58	\$6.83	\$6.83


Effective Date: 8/29/2023
 Document Number: [REDACTED]
 Description: [REDACTED]
 GL, Fy, AP, Fy, Account Receivable Expenditures, Category, Total, Unavailable/Revised

Effective Date	Document Number	Description	GL	Fy	AP	Fy	Account Receivable Expenditures	Category	Total	Unavailable/Revised
8/29/2023	[REDACTED]	TRIP SUNRISE CITGO GAS	0.00	12.21			0.00	Travel	12.21	
8/29/2023	[REDACTED]	TRIP WERTZ AUTO BODY INC	0.00	128.50			0.00	Travel	128.50	
8/29/2023	[REDACTED]	TRIP BUCCER GAS	0.00	20.00			0.00	Travel	20.00	
8/29/2023	[REDACTED]	TRIP HOLIDAY INN	0.00	128.81			0.00	Travel	128.81	
								Travel Total	290.00	✓

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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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Travel Expenses Q & A

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Equipment Expense Category

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Polling Question

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

Answer: Yes

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

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Acceptable Equipment Documentation

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	78.58

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 NanoAssembler, Agilent TapeStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).	\$50,000

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Matching Compliance Certification (MCC)


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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


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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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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.

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MCC Required Support Documentation

Match Expenses Ledger

Invoices related to Match expenses

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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



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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

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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

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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**.

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Matching Compliance Certification Q & A



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No Cost Extensions (NCE)



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No Cost Extension (NCE)

- Request must be submitted at least 30 days prior to termination date but not more than 180 days prior
- Grantee must complete the date field on the request
- More than 6 months can be requested
 - CPRIT will complete the date field for request greater than 6 months
 - The increased number of months should be mentioned in the first sentence of the justification

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No Cost Extension (NCE)

- 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
- Approved NCEs
 - The PI must exhibit measurable effort during an approved NCE
 - The final report dates will change, but an additional annual report as well as quarterly reports are required until the contract ends

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No Cost Extension PLOE Update

The PLOE for NCEs needs to be updated because the extension time period defaults to zero.

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

Other Personnel Role on Project	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Program Coordinator	Type App: (months)	0	0	12	12	
	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	0.00	0.00	0.00	0.00	0.00
Project	Type App: (months)	0	0	12	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
Program Coordinator	Type App: (months)	0	0	12	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
Project Assistant	Type App: (months)	0	0	12	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
PI/PI Co-PI	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	12	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
Total Person Months Per Year		7.00	6.00	36.00	0.00	49.00

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NCE – Frequently Asked Questions

What research can be conducted during an NCE?

Answer: Only scope of work items and associated aims and sub-aims that have been approved but have not yet been completed can be conducted during an NCE.

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Single Audit Determination (SAD) Form & Annual Audit

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Single Audit Determination (SAD)Form

Audit Certification

For fiscal year 2022, we certify to the best of our knowledge that: (Check one)

☐ We spent less than \$750,000 in total STATE awards (including awards, grants, cooperative agreements, contracts) during our fiscal year ending 6/30/2022.

No State Audit is Required

☐ We spent \$750,000 or more in total STATE awards (including awards, grants, cooperative agreements, contracts) during our fiscal year ending 6/30/2022.

An Audit or Agreed Upon Procedures Engagement may be required, in accordance with State of Texas Single Audit Circular.

Note: If an Audit or Agreed Upon Procedures Engagement is required, the Audit must be submitted within the earlier of 30 days after receipt of the auditor's report, or nine months from the Grantee fiscal year end date.

P&P Guide Reference:
6.5.1 Single Audit Determination Form

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Annual Audit

Audit Requirement
(Single Audit, Program Specific Audit, or Agreed Upon Procedures Audit (AUP))

- A delinquent required audit and/or corrective action plan
 - A hold on reimbursements/advances
 - And grantee is **ineligible** to be awarded a new or a continuation grant award
 - Until document is submitted and approved by CPRIT

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Annual Audit

Unallowable Audit Submissions

- The Statewide Single Audit may **not** be used to fulfill a grantee's audit requirement because this audit does not include a review of state-funded grants
- State of Texas Annual Comprehensive Financial Report (ACFR)

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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 pre-approved by CPRIT through a Changes of Goals and Objectives request form.
- Starting with FY24 awards, the Goals and Objectives nomenclature on all AR awards will be changed to Specific Aims and Sub Aims.

P&P Guide Reference:
5.15 Actions Requiring Specific Approval from CPRIT
11.3 Goals and Objectives

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Purchase of Equipment


- Prior written approval must be given by CPRIT for the purchase of all equipment, unless the specific piece of equipment was budgeted in the approved application or via a CNOS request.

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Change of PI/Co-Investigator

- Prior written approval must be given by CPRIT for the transfer of an award to another Principal Investigator (PI).
- Recruitment Awards are non-transferrable.

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Change of PI/Co-Investigator

Required documents for review:

- Context and justification for change
- Bio-sketch of proposed PI
- Resources (equipment, supplies, personnel) available to proposed PI
- Describe impact of change on the project goals and objectives, budget, key personnel, original timeline and CPRIT required reporting.
- Upload a revised budget and level of effort for all key personnel in an ad-hoc folder in CGMS

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Programmatic – Frequently Asked Questions

Do we need CPRITs prior approval to modify subcontractors and subcontract budgets listed on the original application?

Answer: Yes, if the award is a Multi-PI and the PI is at a different institution, and if the subcontractor is key personnel.

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Programmatic – Frequently Asked Questions

What are options to mitigate funding overlap between CPRIT and new Federal or Foundation Awards?

Answer: If there is a 100% overlap, a choice must be made between a CPRIT award and/or a Federal, Foundation Award.

With approval from the Federal project officer and CPRIT, one overlapping specific aim with a Federal award can be mitigated by eliminating the aim. The budget will be adjusted accordingly.

It is required that an applicant list all pending and current funding support, regardless of funder in all Academic Research applications.

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Contact Us

CPRIT's success is based on our funded research project successes.
Please contact the Academic Research team with your pre- and post-award questions.

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Grant Support



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Points of Contact

CGMS Technical Issues

- Contact CPRIT Helpdesk
- Help@CPRITGrants.org
- Phone: 866-941-7146

Programmatic/ Content questions

- Contact the CPRIT Program Manager

Financial Questions/Issues

- Contact CPRIT Finance Manager/ Grant Accountant

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October 2023



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Academic Research

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