


CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CPRIT Grantee Annual Compliance Training October 2023

Product Development




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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

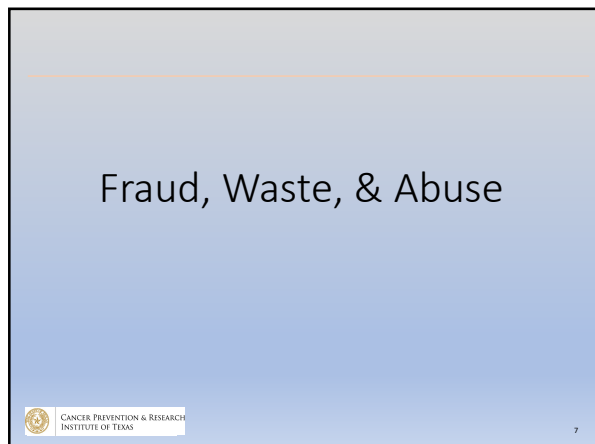
- Article III, Section 67 Texas Constitution
- Texas Health & Safety Code Chapter 102
- Texas Administrative Code Chapters 701 - 703
- Grant Contract
- Texas Grant Management Standards (formerly Uniform Grant Management Standards)

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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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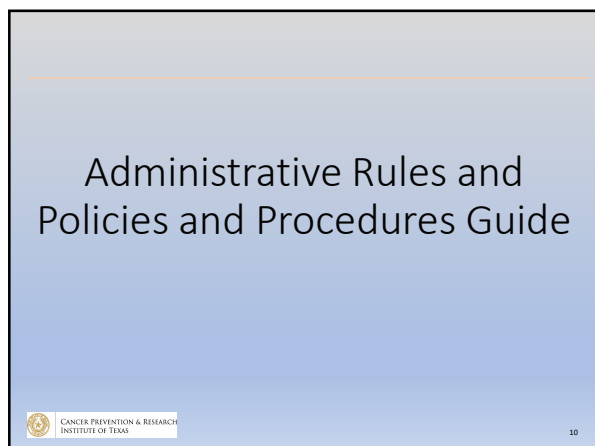
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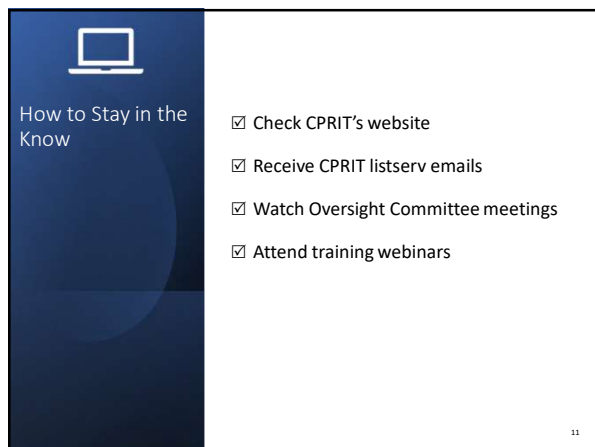
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Applicability of CPRIT's Electronic Signature Policy

§ 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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Home Our Programs Apply for Funding Grants Process News & Events **About Us**

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
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.

Written comments may be submitted through April 4, 2022, to CPRIT's General Counsel, Kristin Smith, by the following email address: kristin.smith@cprit.texas.gov or by mail to the Cancer Prevention and Research Institute of Texas, 1600 Ross Street, 17th Floor, Austin, Texas 78701.

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 19, 2022.

Proposed Comments to Texas Administrative Code Title 29, Chapter 703

Recently Adopted Rule Changes
As of February meeting, the Oversight Committee also approved the final adoption of recent changes to § 703.20 that were adopted on November 18, 2021, meeting the requirements for § 703.20 and passing as a noncontingent clinical trial participant cost, 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/).

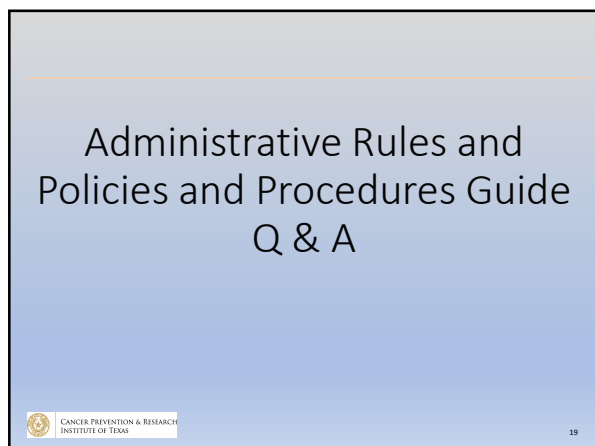
Statute, Rules and Grant Policies Guide

Home Our Programs Apply for Funding Grants Process

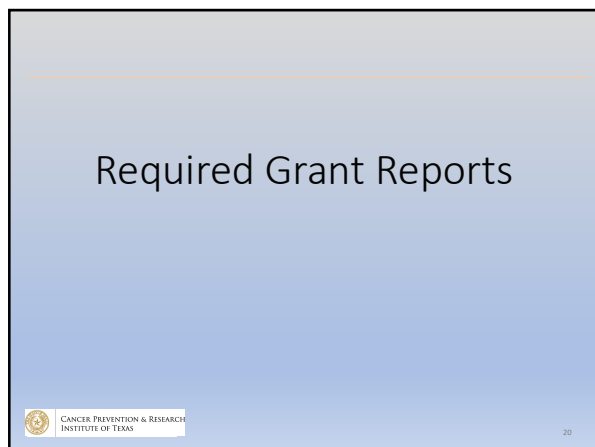
CPRIT's website is the best place to find the current rules and P&P Guide

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

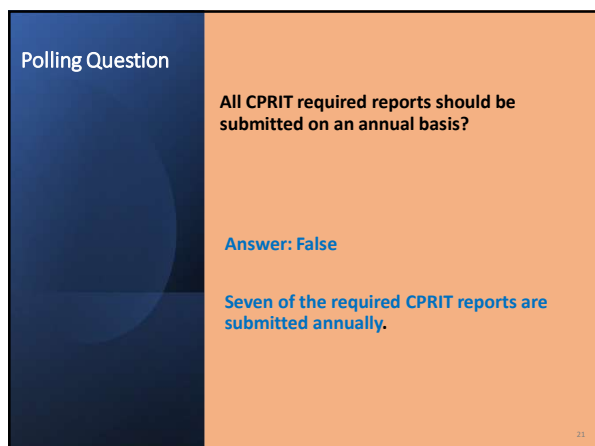
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Reporting Requirements



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




Periodic

- Interim/ Tranche Report (PD Grantees)

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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:

- Publications
- Follow-on funds
- Patents and Patent Applications
- Clinical trials
- Commercialization activity and progress
- Project Narrative



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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

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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

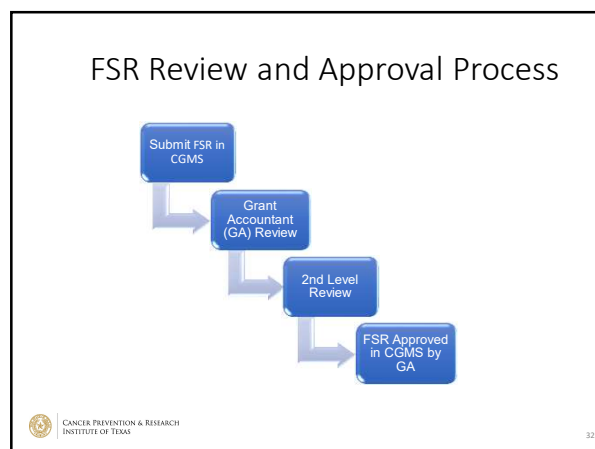
Answer: B

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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 Required Supporting Documentation	<p>Every Financial Status Report (FSR) must include a summary report of expenses generated directly from an accounting system or itemized on an <u>Excel spreadsheet</u>, as well as documentation to support grant costs paid during the current reporting period.</p> <p>The report must contain the following information:</p> <ul style="list-style-type: none"> • 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	CITI-BANK N.A.
SPA0003291	10029435	000003	100649	542210	Travel Out of State	TRAVEL	327.96	RFP	8/17/2022	0000137252	CITI-BANK N.A.
SPA0003291	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0	
SPA0003291	10029435	000003	100649	542210	Travel Out of State	TRAVEL	287.95	RFP	8/17/2022	0000137252	CITI-BANK N.A.
SPA0003291	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	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	Desc	Budget Category	DEPT	Fund	Line	Project	Document	Expended	Pay Period Dates	Amount	Invoice Date	Line Item #
11/1/2022	MIS \$GA-OT CHARGES	OT-Other	32	Maintenance & Operation	42384	10200	187742	177002-187742	11/1/2022 - 11/30/2022	11/3/2022	11/3/2022	1
11/1/2022	MIS \$GA-OT CHARGES	OT-Other	32	Maintenance & Operation	42384	10200	187742	177002-187742	11/1/2022 - 11/30/2022	11/3/2022	11/3/2022	1

Budget Categories	
1	Salary \$39,237.09
2	fringe \$18,615.54
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 \$7,269.39
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	SKU/Quantity
SAS/SATA Backplane	379-B055
PowerEdge R7525 Server	215-AJG0
Trusted Platform Module 2.0 V3	481-AAJG
EX 3.5 SAS/SATA with 10GB	321-8F0U
AMD 7702 20H/24C/128T, 256M, 200W, 3200	338-B5W
AMD 7702 20H/24C/128T, 256M, 200W, 3200	338-B5W
Additional Processor Selected	379-B0C0
HeatSink for 2 CPU + GPU/TPM/Full Length card config configuration	412-AAJZ
Performance Optimized	379-AAJF
32GB/17h RDIMMs	379-AAJN
RAID 5	785-BCDP
PERC H745 Controller, Front	405-AAJZ

Reclassified from "other" to "equipment"

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- Dell DIR-TSO-3763
- OMNIA #R200803

Hardware

Description	Price	Qty	Ext. Price
ME4084 Drive Upgrades	\$788.67	56	\$44,165.52
18TB Hard Drive SAS 1200rpm 7.2K 412x 3.5in Hot-Plug, C20 R2		56	
Subtotal \$44,165.52			

Reclassified from "other" to "supplies"

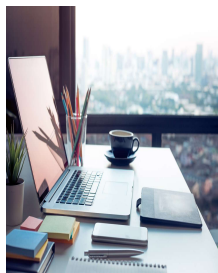
Description	Price	Qty	Ext. Price
Services: Block Hours	\$189.00	20	\$3,780.00
Enterprise Block Hours - Enterprise Block Hours Services can be used for a number of services. 20 Hours of Services are estimated to complete the installation and configuration of the 56 drives in the M4084E Drive Array.			
Subtotal \$3,780.00			

Correctly classified as "other"

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Supply Category Expenses

- Desktop and laptop computers (including notebooks, tablets, and similar devices)
- Non-portable printers and copiers
- Communication devices (mobile telephones)
- Lab materials
- Office Supplies
- Equipment with unit cost of less than \$5000



P&P Guide Reference:
10.6 Supplies Expense Category

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Other Category Expenses

- Printing and reproduction expenses
- Gift or gas cards
- Publication fees
- Equipment warranties and service contracts
- Conference/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.*
- Postage and shipping services (FedEx, UPS), etc.



P&P Guide Reference:
10.8 Other Expense Category

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Equipment Category Expenses

- Equipment with unit cost of \$5000 or more



P&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
<div> <div>\$2,000 charged to CPRIT award</div> <div> Credit Card Charge Details: MC ****5345 </div> <div>USD 2,278.52</div> </div>		

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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	I	8/24/2022
TRAVEL	4.9	I	8/24/2022
TRAVEL	790.3	I	8/24/2022
TRAVEL	36.9	I	8/24/2022
TRAVEL	9.2	I	8/24/2022
TRAVEL	5.8	I	8/24/2022
TRAVEL	14.8	I	8/24/2022
TRAVEL	33.5	I	8/24/2022
TRAVEL	9.2	I	8/24/2022

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Documents Not Clearly Labeled

- Items individually referenced

Travel Out of State	TRAVEL	251.6	7/7	6/1/2022	TRAVEL	4/26/2022	5/17/2022
Travel Out of State	TRAVEL	25.8	7/7	6/1/2022		1/10/2022	5/16/2022
Travel Out of State	TRAVEL	806.6	7/7	6/1/2022		6/1/2022	6/9/2022
Travel Out of State	Disallowed: O/err	18.0	7/7	6/1/2022		6/1/2022	6/9/2022
Travel Out of State	TRAVEL	27.7	7/7	6/1/2022		6/1/2022	6/9/2022
Travel Out of State	Disallowed: unreviewed	121.6	7/7	6/1/2022		6/1/2022	6/9/2022
Travel Out of State	TRAVEL	53.2	7/7	6/1/2022		6/1/2022	6/9/2022
Travel Out of State	Disallowed: unreviewed	18.0	7/7	6/1/2022		6/1/2022	6/9/2022
Travel Out of State	TRAVEL	11.8	7/7	6/1/2022		6/1/2022	6/9/2022
Travel Out of State	Disallowed: unreviewed	18.0	7/7	6/1/2022		6/1/2022	6/9/2022
Travel Out of State	TRAVEL	11.8	7/7	6/1/2022		6/1/2022	6/9/2022
Travel Out of State	Disallowed: unreviewed	18.0	7/7	6/1/2022		6/1/2022	6/9/2022
Total Travel		893.32	7/7				
Total GL		30,096.55					

✓ 11.88	GL: 511.88
Pay on Check # 1 Add King Action Balance Pay Order # 1 Three A/B/C None	
Payable Amount	\$5.00 ✓
MA Made Tax (7%)	\$0.35 ✓
TIP	\$1.00 ✓
Total	\$6.35 ✓

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Invoices Lack Detailed Description

- Unclear description:

Line #	PQ Line #	Description	UOM	Qty	Unit Price	Extended Amount
1	1	COLUMIN C4 214TP SR5 VVDAC 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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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)

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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

Enter information for all 3 categories

Personnel Level of Effort			Year 1	Year 2	Year 3	Total Personnel Months Per Person
First Name	Last Name	Role on Project	Level of Effort (LOE)			
		New Staff Appointment	0.1	0.1		
		Other on Project	0.05%	0.05%		
		Person Months	0.05	0.05		0.10
		New Staff Appointment	0.1	0.1		
		Other on Project	0.05%	0.05%		
		Person Months	0.05	0.05		0.10
		New Staff Appointment	0.1	0.1		
		Other on Project	0.05%	0.05%		
		Person Months	0.05	0.05		0.10
		New Staff Appointment	0.1	0.1		
		Other on Project	0.05%	0.05%		
		Person Months	0.05	0.05		0.10
		Total Personnel 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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CEO / Upper Management Change



CEO or other upper management changes **must** be communicated to CPRIT.

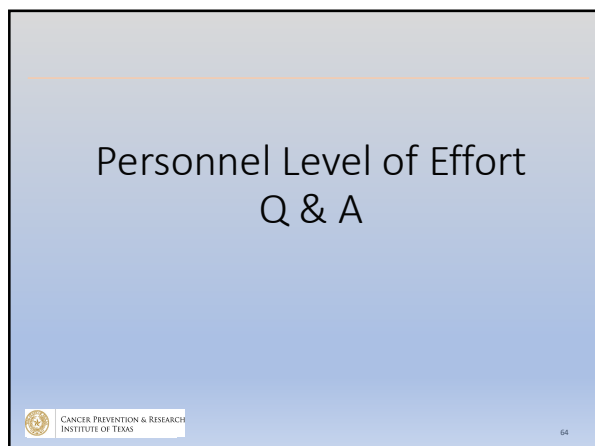
- Submit a Change Not Otherwise Specified (CNOS) change request in CGMS
- Include a CV or resume

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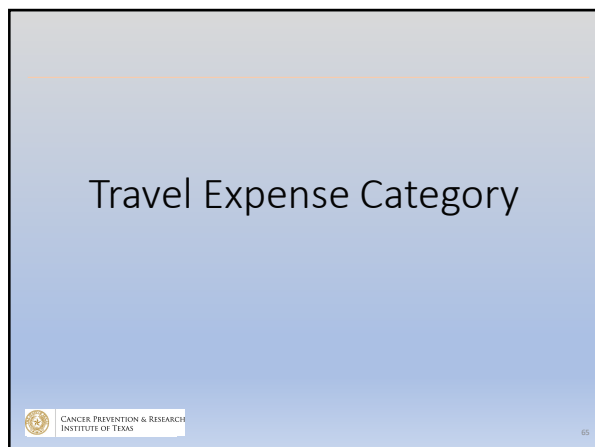


- Update PLOE prior to submitting FSR
- When grant moves to closeout status
 - PLOE cannot be revised in CGMS
 - Expenses related to personnel not updated on the PLOE **will not be reimbursed**

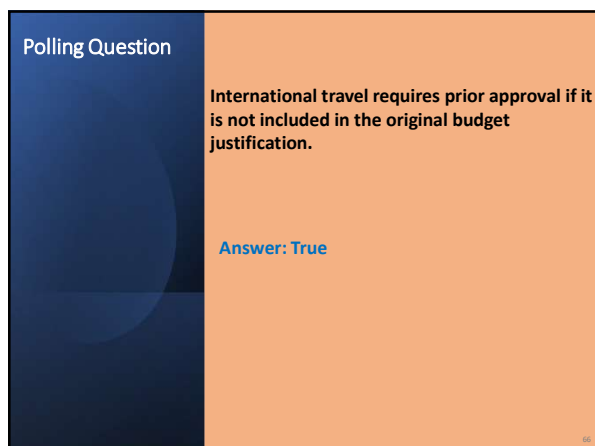
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Polling Question

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 (PPP) 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

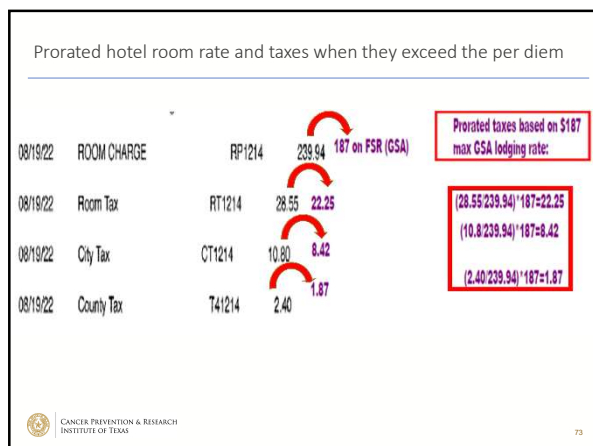
When a state employee is entitled to be reimbursed for payment of a hotel occupancy or similar tax and the lodging amount incurred exceeds the maximum allowable lodging rate, the following calculation methods for the tax reimbursement must be used:

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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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: \$1,250.00
 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	2,250.00	27,228.13		
International Travel	\$0.00	\$0.00		
Equipment	\$0.00	\$0.00		
Supplies & Materials	\$0.00	\$0.00		
Consultants	1,250.00	18,407.50		
Other Direct Costs	✓ 8,728.84	8,728.84	\$8.83	\$8.83
Total Direct Costs	✓ 14,561.88	14,561.88	\$8.83	\$8.83
Total Costs	14,561.88	14,561.88	\$8.83	\$8.83

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	
									✓ 289.52	-6.84
									Travel Total: 289.52	✓

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RECAP



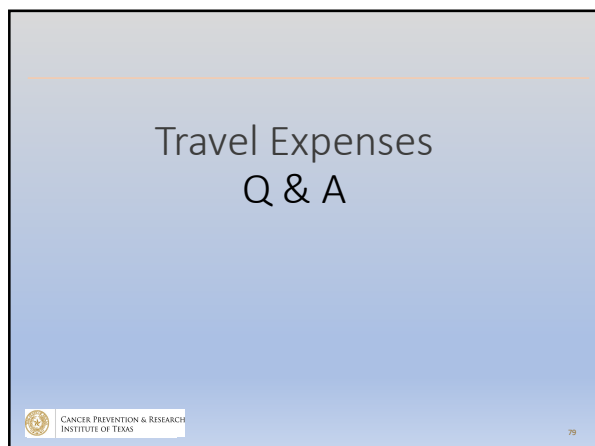
- Submit a complete travel expense report for each traveler and include all supporting documents
- Travel receipts should be in same order as GL
- Submit copy of GSA meals and lodging rates with supporting documents
- Submit foreign travel approval with supporting documents
- Convert foreign travel currency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

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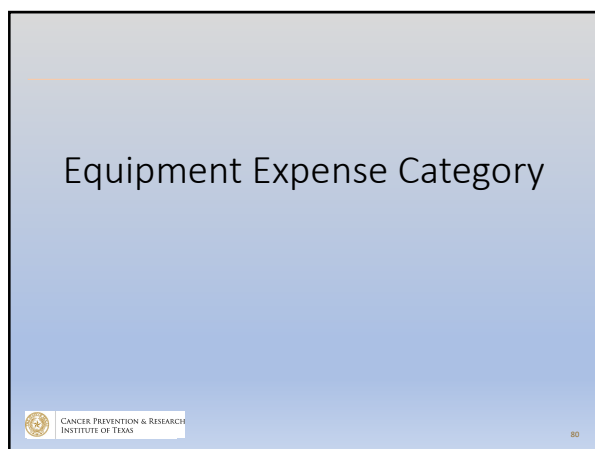
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Slide 76

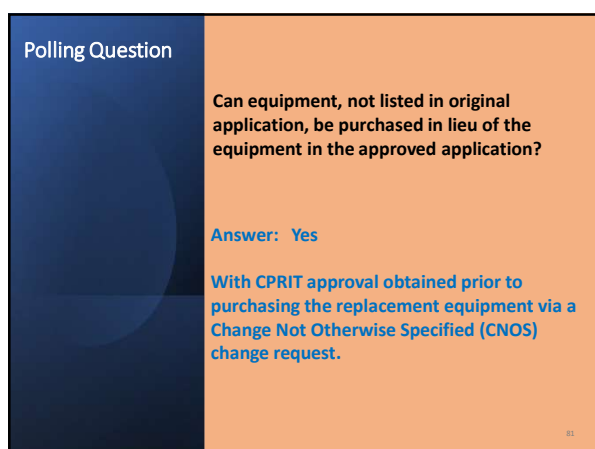
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sp\rthomas, 2023-06-16T15:11:58.123



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Polling Question

Equipment service agreements cannot be purchased during a 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.

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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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Acceptable Equipment Documentation

Change Requests

Grant ID: [REDACTED] Grant Title: [REDACTED]
PI/PO/CR: [REDACTED] Organization: [REDACTED]

Grant Information | Contacts | Documents & Forms | Correspondence | Internal Review | 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, \$42,750.

* Justification: The remaining equipment require a greater degree of Y care to be recovered from tumor and given under license from funding from our past animal contracts. For this reason, we require the equipment purchase of a homogenizer.

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

2022-02-07 08:45: Complete Web Form: [REDACTED]
2022-02-07 08:45: Verify Information (verified): [REDACTED]
2022-02-07 08:51: ASO Review (approved): [REDACTED]
2022-02-07 12:05: Grant Manager Review (approved) - Moon, Patty (Grant Manager)
2022-02-07 12:07: Contract Manager Review (approved) - Nelson, Lisa (Contract Manager)

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Acceptable Equipment Documentation

LINE	PART ID	DESCRIPTION	UM	TAX	QUANTITY	UNIT PRICE	EXTENSION
1	NIS001	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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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

Proof of payment


Applicable bank statements

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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

- 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

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Required Match – Multiple Grant Awards

For companies that have received more than one CPRIT Product Development Research award:

Match % based upon total grant award amounts:

Example:

- \$20 Million or less = 50% match
- >\$20 Million - \$30 Million = 100% match
- >\$30 Million = 200% match

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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.

[illegible]

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

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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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Programmatic Topics

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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

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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



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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

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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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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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Advance Payments

- 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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Advance Payments

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



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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

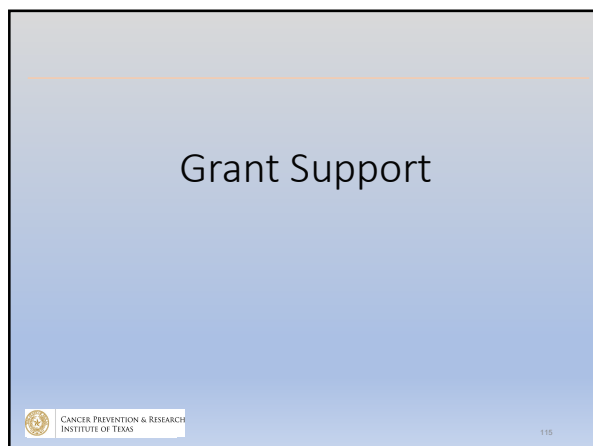
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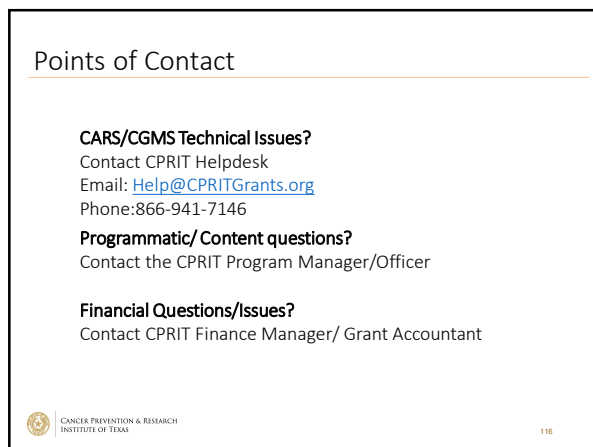
Goals & Objectives Change Request



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CPRIT Grantee
Annual Compliance Training
October 2023



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Product Development
