

# CPRIT Grantee Annual Compliance Training

March 2024



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

Product Development

# CONTACT INFORMATION

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# TRAINING OVERVIEW

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





# 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)



# Fraud, Waste, & Abuse



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# FRAUD, WASTE, & ABUSE

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How do I Make a Report?

**Use Client Code #5124633190**

(Users can remain anonymous)

**Call**

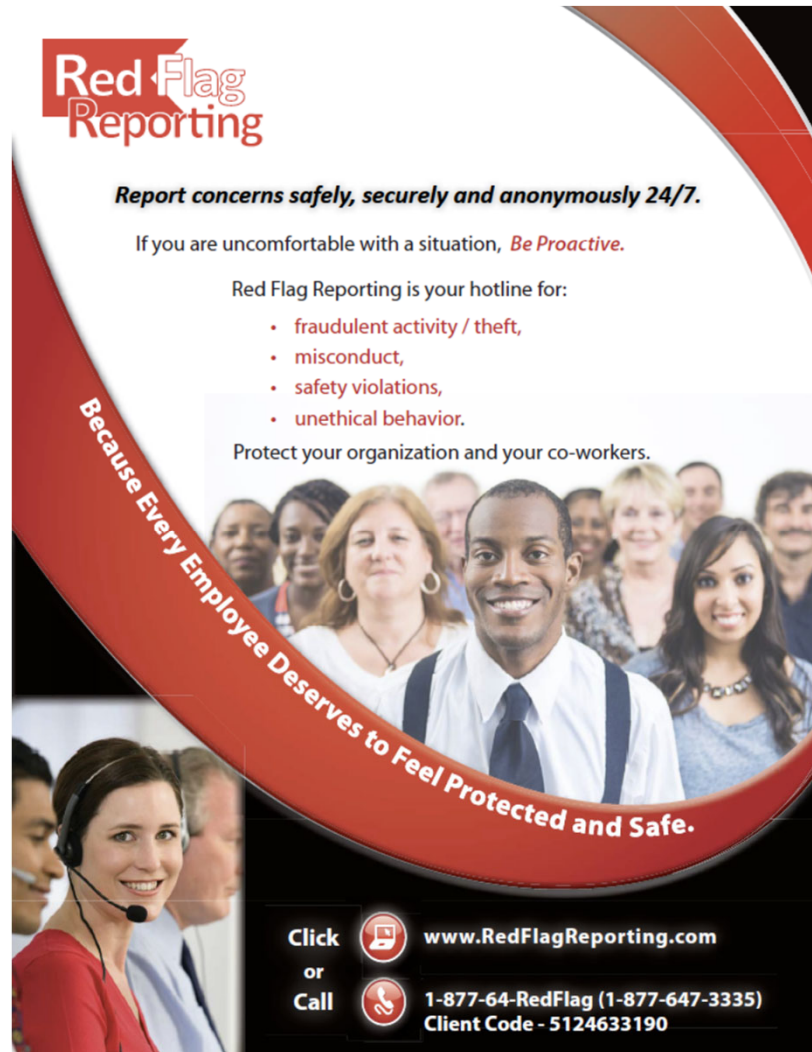
**1-877-64-RedFlag**  
**(1-877-647-3335)**

**Online**

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



# FRAUD, WASTE, & ABUSE

A poster for Red Flag Reporting. It features a large red curved banner on the left side with the text "Because Every Employee Deserves to Feel Protected and Safe." in white. The top left corner has the "Red Flag Reporting" logo. Below it, the text reads "Report concerns safely, securely and anonymously 24/7." and "If you are uncomfortable with a situation, Be Proactive." A list of issues includes fraudulent activity / theft, misconduct, safety violations, and unethical behavior. It also states "Protect your organization and your co-workers." The background shows a diverse group of smiling employees. At the bottom, there are icons for clicking or calling, along with the website "www.RedFlagReporting.com", the phone number "1-877-64-RedFlag (1-877-647-3335)", and the "Client Code - 5124633190".

**Red Flag Reporting**

**Report concerns safely, securely and anonymously 24/7.**

If you are uncomfortable with a situation, *Be Proactive.*

Red Flag Reporting is your hotline for:

- fraudulent activity / theft,
- misconduct,
- safety violations,
- unethical behavior.

Protect your organization and your co-workers.

**Because Every Employee Deserves to Feel Protected and Safe.**

Click or Call

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

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

Client Code - 5124633190



# Administrative Rules and Policies and Procedures Guide



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## Grantee Resources <https://cprit.texas.gov/grants-funded/grantee-resources/>

The grantee resources page includes the sources of CPRIT's requirements, such as statutory and administrative rule text, as well as guidance on how to understand and apply those requirements during a CPRIT grant project. Examples of the grantee resources include proposed administrative rule changes, the Grant Policies and Procedures Guide, previous and upcoming compliance training opportunities, and other helpful webinars. Grantees will also find guidance on how to report fraud, waste, and abuse to CPRIT using Red Flag Reporting.

### Manage My Grant

[Rules and Statutes](#)

[Policies and Procedures](#)

[Training](#)

[Funding Webinars](#)

[Reporting Forms](#)

[Reporting Fraud](#)

## CPRIT Grant Management System

CPRIT utilizes an online grants management system that allows you to correspond with staff, manage budget information, submit reimbursement requests and required reports, manage grant contacts and review and accept contracts and contract amendments.

[Manage My Grant](#)



### Upcoming Oversight Committee Meetings

[March 08, 2024](#)

[May 15, 2024](#)

[August 21, 2024](#)

[Sign Up for Our Newsletter](#)



Manage My Grant

**Rules and Statutes**

Policies and Procedures

Training

Funding Webinars

Reporting Forms

Reporting Fraud

## Rules and Statutes

State law requires agencies to use a rulemaking process, which includes an opportunity for the public to comment on proposed rules and rule changes before the agency adopts the final rule. When CPRIT proposes a new administrative rule or a change to an existing administrative rule, it must do so through a rulemaking project. The rulemaking project, which CPRIT announces in the *Texas Register*, gives the public advance notice of the proposed rule so that interested persons may decide whether they wish to comment on the proposal.

### Current Rulemaking Project

There is no current rulemaking project at this time.

### Recently Adopted Rule Changes

At its November 15, 2023, meeting, the Oversight Committee approved the final adoption of recent changes to Section 701.25 that were initially presented at the August 16 meeting. The amendment expands CPRIT's electronic signature policy to include Grant Applicants.

Beginning on December 7, 2023, Texas Administrative Code Chapter 701 will reflect the recent rule amendments, which are also available [here \(CPRIT Adopted Rule Chapter 701.25\)](#).

## Additional Resources


- [CPRIT's Governing Statute](#)
- [Administrative Rules](#)
- [CPRIT's Texas Constitution Article](#)

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 [March 08, 2024](#)

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## Grantee Resources

The grantee resources page includes the sources of CPRIT's requirements, such as statutory and administrative rule text, as well as guidance on how to understand and apply those requirements during a CPRIT grant project. Examples of the grantee resources include proposed administrative rule changes, the Grant Policies and Procedures Guide, previous and upcoming compliance training opportunities, and other helpful webinars. Grantees will also find guidance on how to report fraud, waste, and abuse to CPRIT using Red Flag Reporting.

[Manage My Grant](#)

[Rules and Statutes](#)

[Policies and Procedures](#)

[Training](#)

[Funding Webinars](#)

[Reporting Forms](#)

[Reporting Fraud](#)

### Policies and Procedures Guide

The Policies and Procedures Guide is made available for individuals and organizations interested in the CPRIT cancer research and prevention funding award program. It provides the framework for the review, award, implementation, and monitoring of CPRIT-funded research and prevention grant awards, as well as information on the rules and requirements that applicants and recipients of CPRIT grant awards must follow


- [CPRIT Policies and Procedures Guide](#)

The current version of the Grantee Policies & Procedures Guide is dated December 2023.

- [Texas Grant Management Standards \(TxGMS\)](#)



#### Upcoming Oversight Committee Meetings

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# How to Stay in the Know

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



# Recently Proposed & Adopted Administrative Rule Changes

Definition and Use of “Tranche”

Applicability of CPRIT’s Electronic Signature Policy

Definition and Use of “Scope of Work”



## Definition of “Tranche”

### § 701.3

*Proposed at the  
February 21st  
Oversight Committee  
meeting*

- A portion of grant funds that is released to a grantee after the successful completion of predefined milestones.
- Adds “Tranche,” which CPRIT has used for over a decade, to the agency’s list of defined terms in Chapter 701.



Expected to be published in the *Texas Register* on March 22<sup>nd</sup>.



Public comment will be open through April 22<sup>nd</sup>.



Final adoption at the May 15<sup>th</sup> Oversight Committee meeting.



## Use of “Tranche”

§§ 703.10, 703.21, and  
703.23

*Proposed at the  
February 21st  
Oversight Committee  
meeting*

- Capitalizes the term “Tranche” where it already appears in Chapter 703.
- These are non-substantive changes.



Expected to be published in the Texas Register on March 22<sup>nd</sup>.



Public comment will be open through April 22<sup>nd</sup>.



Final adoption at the May 15<sup>th</sup> Oversight Committee meeting.



## Applicability of CPRIT's Electronic Signature Policy

§ 701.25

*Adopted & final in  
December 2023*

- Clarifies that CPRIT's electronic signature policy applies to grant applicants as well as grant recipients.
- The policy allows CPRIT to rely on information submitted by a Grant Recipient's Authorized Signing Official (ASO) as legally binding.

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## Definition of “Scope of Work”

§ 701.3(63)

*Adopted & final in  
September 2023*

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CPRIT amended the definition of scope of work to include “specific aims and sub aims, if appropriate.”

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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.

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A request for Applications (RFA) will specify applicable terminology for a grant mechanism.



## 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



# Update on CPRIT's Online Portal for Grantee Intellectual property (IP) Reporting

- The CPRIT online portal for IP reporting is now operational for grantees to fulfill their IP reporting requirements.
- Attachment D of the grant contract requires grantees to notify CPRIT of certain IP-related actions (e.g., invention disclosures). IP reports submitted by grantees through the online portal fulfills IP reporting requirements of the grant contract.
- Dr. Michelle Leeuwon at CPRIT continues to provide IP database updates to grantees via email.
- If you have any questions about the online portal for IP reporting, please contact [ipreporting@cprit.texas.gov](mailto:ipreporting@cprit.texas.gov).



# Administrative Rules and Policies and Procedures Guide Q&A



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# Required Grant Reports



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**The Financial Status Report (FSR), Inventory Report and Audit Report are all annual reports.**

## **Polling Question**

**Answer: False**

**The Financial Status Report (FSR) is due quarterly**



# 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

- ❖ All report due dates are available in CGMS



# Financial Status Report (FSR)



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## Polling Question

**The deadline for a grantee to respond to a request for additional FSR documentation is 5 business days.**

**Answer: True**



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## 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.



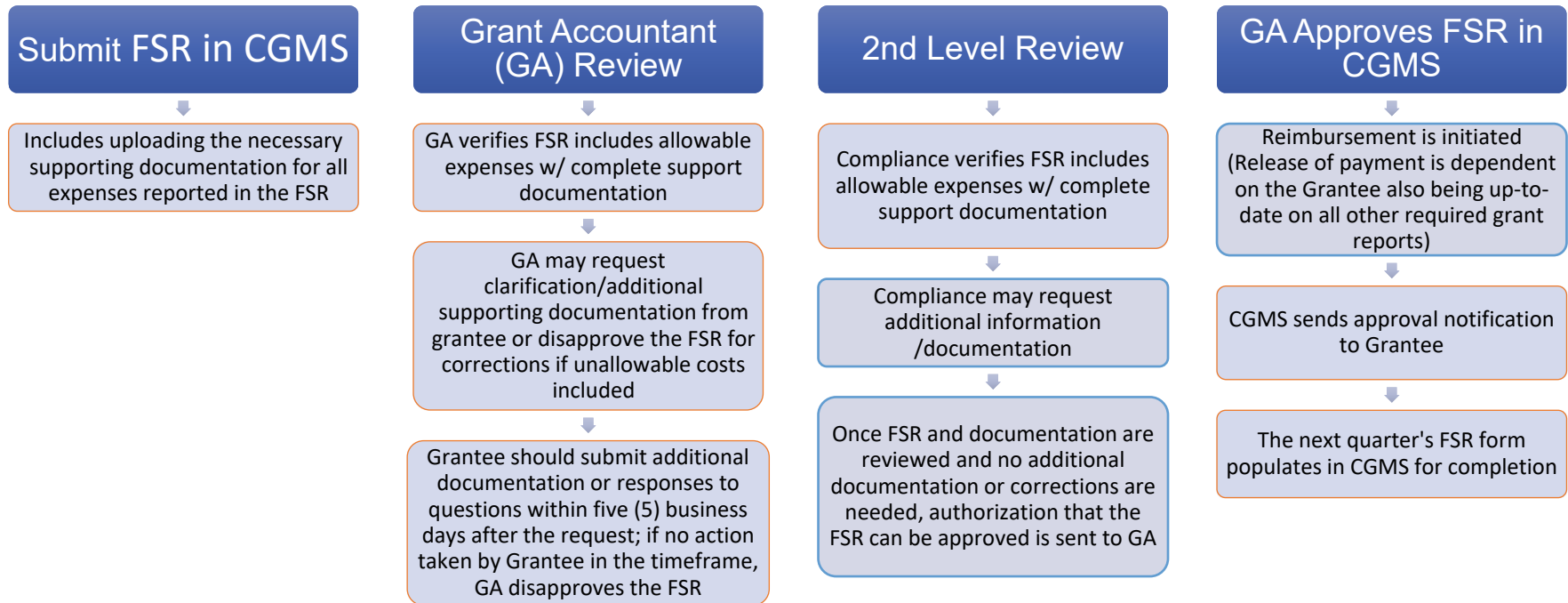
# FSR – Due Dates

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





# FSR Review and Approval Process



# 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**

# 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

# 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

# FSR – Examples of Unallowable Costs

INDIVIDUAL  
PROFESSIONAL  
MEMBERSHIP FEES

ALCOHOL

TIPS & GRATUITIES

BAD DEBT

LOBBYING COSTS

ENTERTAINMENT

## Polling Question

**What is the top reason FSRs are returned to grantees?**

- A. PLOE revisions needed
- B. Unallowable expenses
- C. Missing support documents
- D. Lack of Out of the Period (OTP) Memo

**Answer: C**



# TOP 3 RESUBMISSION ISSUES

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Missing support documentation

Need for expense clarification

Miscategorized expenses



# TOP MISSING SUPPORT DOCUMENTATION

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- Change Request Approval (Equipment, foreign travel)
- General Ledger
- PLOE
- Illegible documentation
- Invoices
- Time sheet information





# Miscategorized Expenses

FSR Submitted with \$88,645.78 in "Other"; After review the correct categorization was as follows.

- \$40,700.26 allocated to "Equipment."
- \$44,165.52 allocated to "Supplies."
- \$3780 remained in "Other."

Pay Date	Descr	Budget Category	BUDG	Descr2	Fund	Dept	Project	Document	Expended	Pay Period/Details	Account	Invoice Date	Line Item #
11/1/2022	IMS SOA IDT CHARGES	7. Other	30	Maintenance & Operation	42044	M2800	187740	ITIT00218810	40,700.26	IMS SOA MONTHLY CHARG " 112022	773034	11/1/2022	1
11/1/2022	IMS SOA IDT CHARGES	7. Other	30	Maintenance & Operation	42044	M2800	187740	ITIT00218810	47,945.52	IMS SOA MONTHLY CHARG " 112022	773034	11/1/2022	1

Budget Categories		
1	Salary	\$39,237.09
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	\$7,289.39
Total		\$145,787.80



■ Dell DIR-TSO-3763

■ OMNIA #R200803

Hardware

Reclassified from  
“other” to “equipment

Description		Price
<b>PowerEdge R7525 - [amer_r7525_13945]</b>		\$40,700.26
Description	SKUQuantity	
SAS/SATABackplane	379-BDSS	
PowerEdge R7525 Server	210-AUVQ	
Trusted Platform Module 2.0 V3	461-AAIG	
8X 3.5 SAS/SATA with XGMI	321-BFDU	
AMD 7702 2GHz,64C/128T,256M,200W,3200	338-BSWI	
AMD 7702 2GHz,64C/128T,256M,200W,3200	338-BSWI	
Additional Processor Selected	379-BDCO	
Heatsink for 2 CPU + GPU/FPGA/Full Length card configs configuration	412-AASZ	
Performance Optimized	370-AAIP	
3200MT/s RDIMMs	370-AEVR	
RAID 5	780-BCDP	
PERC H745 Controller, Front	405-AAUZ	



Reclassified from “other”  
to “supplies”

**Dell DIR-TSO-3763**

**OMNIA #R200803**

## Hardware

Description					Price	Qty	Ext. Price
<div></div> <div>- ME4084 Drive Upgrades</div>					\$788.67	56	\$44,165.52
18TB Hard Drive SAS 12Gbps 7.2K 512e 3.5in Hot-Plug, CUS Kit							
Estimated delivery if purchased today:							
Oct. 17, 2022							
Contract # C000000006679							

## Services

Correctly classified  
as “other”

Description	Price	Qty	Ext. Price
<p><b>Services: Block Hours</b></p> <p>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.</p>	<b>\$189.00</b>	<b>20</b>	<b>\$3,780.00</b>
Subtotal:			<b>\$3,780.00</b>



# TOP EXPENSE CLARIFICATION

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- Unclear description:

Line #	PO Line #	Description	UOM	Qty	Unit Price	Extended Amount
1	1	COLUMN C4 214TP SRS VYDAC 5UM	EA	1	\$ 1,127.6100	\$ 1,127.61

- Clear description:

10022-00	Scalpel Blades #22	2	C	54.50	0.000	109.00
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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.



# 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

[REDACTED]  
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



# 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
SPA0003297	10029435	000004	100649	510497	Oth Lab And Med Sup	SUPPLIES	1,070.00	RFP	1/18/2023	0000137252	CITIBANK N.A
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	327.96	RFP	8/17/2022	0000137252	CITIBANK N.A
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0	
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	287.95	RFP	8/17/2022	0000137252	CITIBANK N.A
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0	



# 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.



# Financial Status Report Q&A



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# Personnel / Fringe Expense Category



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# FSR Personnel & Fringe Best Practices

- Payroll ledger included and ties to expense ledger
  - 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.
-

# Personnel Level of Effort (PLOE)



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## Polling Question

**The PLOE should include key personnel with salary and fringe, travel, tuition and stipends on the grant.**

**Answer: True**



# Personnel Level Of Effort (PLOE)

Budget Summary	Details Year 1	Details Year 2	Personnel Level of Effort	Financial Status Reports	Payments	Other Financial Reports
<b>Personnel Level of Effort</b>						
Senior/Key Person and Other Personnel			Level of Effort (LOE)	Year 1	Year 2	Total Person Months Per Person
First Name	Last Name	Role on Project				
<input type="text"/>	<input type="text"/>	Co-investigator	Type Appt. (months)	12	12	
			Effort on Project	0.00%	2.00%	
			Person Months	0.00	0.24	
<input type="text"/>	<input type="text"/>	PI/PD/CR	Type Appt. (months)	12	12	
			Effort on Project	10.00%	10.00%	
			Person Months	1.20	1.20	
<input type="text"/>	<input type="text"/>	Senior Research Assistant	Type Appt. (months)	12	12	
			Effort on Project	50.00%	50.00%	
			Person Months	6.00	6.00	
			Total Person Months Per Year	7.20	7.44	14.64

Prior to submitting for payment, the PLOE must include:

- Employee name (must be same spelling as on payroll)
- Position title
- Level of Effort



# No Cost Extension - PLOE

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

Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Role on Project						
Program Coordinator	Type Appt. (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 Appt. (months)	12	12	12	12	
	Effort on Project	8.00%	8.00%	8.00%	0.00%	
	Person Months	0.96	0.96	0.96	0.00	2.88
Project Assistant	Type Appt. (months)	0	0	12	12	
	Effort on Project	0.00%	0.00%	60.00%	0.00%	
	Person Months	0.00	0.00	2.40	0.00	2.40
Program Coordinator	Type Appt. (months)	0	12	12	12	
	Effort on Project	0.00%	10.00%	10.00%	0.00%	
	Person Months	0.00	1.20	1.20	0.00	2.40
Co-Program Director	Type Appt. (months)	12	12	12	12	
	Effort on Project	8.00%	8.00%	8.00%	0.00%	
	Person Months	0.96	0.96	0.96	0.00	2.88
Program Coordinator	Type Appt. (months)	0	0	4	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
Project Assistant	Type Appt. (months)	0	0	4	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
PI/PI/CR	Type Appt. (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 Appt. (months)	0	0	1	0	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	1.00	0.00	1.00
Total Person Months Per Year		7.92	9.12	32.52	N/A	49.56

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



# PLOE Updates

## FSR

Keep PLOEs current (update prior to submitting the FSR)  
Outgoing personnel who provided LOE for reimbursement should remain on the PLOE for compliance purposes

## NCE

Ensure that the PLOEs are current and accurate for No Cost Extensions (NCEs) as they default to zero.

## Closeout

Grants transitioning to closeout status cannot be revised in CARS-CGMS, and any unlisted personnel expenses will not be reimbursed.





# Personnel Level of Effort Q&A



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# Travel Expense Category



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**Multiple lunches can be reimbursed on the same receipt if each person's name and organization are provided.**

## **Polling Question**

**Answer: False**

**CPRIT will only reimburse meals for the individual(s) listed on the PLOE.**

**The receipt should indicate the allowed meal(s), minus any alcohol and gratuities.**





**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 Texas](#)

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.





# 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
-

# 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

# 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

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)

## Ineligible Travel Costs







# Foreign Currency

All foreign currency 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 all applicable supporting documents.

# Travel Expense Category Q&A



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# Supplies, Other, Contractual & Equipment



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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



# 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 paid prior to travel.*
- Postage and shipping services (FedEx, UPS), etc.



**My Company Ltd.**

Date	2010-01-01
Your Order No.	1234

**INVOICE** No: INV001**My Company  
Logo****Invoice To:**

My Customer Name  
1 Customeraddress Street  
Customercity  
AB1 2CD  
UK

Item	Description	Qty	Each	Total
1.	Part No. 1	1	100.00	100.00
2.	Part No. 2	2	200.00	400.00
3.	Part No. 3	3	300.00	900.00

**Total Net Amount** £ 1 400.00  
**VAT** £ 245.00 (17.5%)  
**Invoice Total** £ 1 645.00  
Terms: on receipt of invoice

**My Company Ltd.**

1 Myaddress Street  
Mycity  
EF1 2GH  
UK

**Tel:** 01234 56780  
**Fax:** 01234 56789  
**Email:** law@accurateimmigration.com  
**Website:** www.mycompanysite.com

Ownership of goods only passes when this invoice is paid in full.

This Photo by Unknown Author is licensed under [CC BY-SA](#)

# FSR – Contractual

An itemized expense report for all contractual expenditures should be submitted with the FSR.

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

## FSR – Contractual Travel



# Equipment



For all equipment expenses (unit cost of \$5000 or more), the grantee **must** include acceptable documentation of CPRIT approval.

- Acceptable documentation includes:
  - Initial Budget Justification with equipment items highlighted.
  - Approved change request





# Acceptable Equipment Documentation

my GrantsGrants

Change Requests

Grant ID: [REDACTED]  
PI/PD/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, ~\$6,700.

\* Justification:

The remaining experiments require a greater degree of T cells to be recovered from tumors and lymph node tissues than possible from our past animal cohorts. For this reason, we require the equipment purchase of a homogenizer.

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

2022-02-07 09:46 Complete Web Form - [REDACTED]

2022-02-07 09:46 Verify Information (verified) - [REDACTED]

2022-02-07 09:51 ASO Review (approved) - [REDACTED]

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

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



# Acceptable Equipment Documentation

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

## Detailed Budget for Year One

Other Direct Charges	
Travel	\$3,000
Equipment (Itemized) ✓ Funds are requested to upgrade several instruments to optimize manufacturing and to enhance efficiency. Precision NanoSystems NanoAssemblr, Agilent TapeStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).	\$50,000



# Matching Compliance Certification (MCC)



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# Matching Compliance Certification (MCC)

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- Grantees should upload 100% of matching support documentation at the time the MCC form is completed and uploaded to CGMS
  - Match General Ledger
  - Invoices related to Match expenses
  - Proof of payment
- MCC will not be approved until all documentation is uploaded by the Grantee and reviewed by CPRIT



# MCC Reporting

FSR/Match Split

Direct Match



CPRIT Direct Match General Ledger										
Grantee Name:										
Grantee Number:										
Y#Q#:										
Period Covering:										
Direct Match Expenses										
Expense Categories		Expenses Per Category								
a. Personnel		16.00								
b. Fringe Benefits		13.00								
c. Travel		17.00								
d. Equipment		25.00								
e. Supplies		29.00								
f. Contractual		33.00								
g. Other		37.00								
Total		170.00								
Page #	Invoice Date	Invoice #	Invoice \$	Paid Date	GL Amount	Vendor	Employee/Traveler	Description of Purchase or Reason for Travel	FSR Expense Category	Match Amount
									a. Personnel	13.00
									a. Personnel	3.00
									b. Fringe Benefits	6.00
									b. Fringe Benefits	7.00
									c. Travel	8.00
									c. Travel	9.00
									d. Equipment	12.00
									d. Equipment	13.00
									e. Supplies	14.00
									e. Supplies	15.00
									f. Contractual	16.00
									f. Contractual	17.00
									g. Other	18.00
									g. Other	19.00
									TOTAL:	170.00

# MCC – Ledger for Direct Match Expenses



# 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 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 on hotel rates or meals



Airfare costs that exceed coach class airfare



Foreign travel related to CPRIT's funded project



# 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





# MCC

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- 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



# MCC Forecasting

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A grantee can request 50% of the total budget for the award year

- However, less can be requested to avoid a match requirement shortage.
- Limit your advance request to the amount you expect to spend.

If 50% has been requested

- However, the actual amount spent is less than the anticipated amount, consider reporting fewer expenses on the FSR and more expenses for match.

Delay 2<sup>nd</sup> advance request

- If you are nearing the end of the grant award year and do not intend to spend the additional advance amount during that year. <sup>78</sup>



# MCC – Deficiency

Grantees may carry forward a deficiency in matching funds to the next project year if -

- it is equal to or less than 20% of total match requirement
- and has no previous matching fund deficiency

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



# Matching Compliance Certification Q&A



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# Programmatic Topics



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## Polling Question

**Rebudgeting change requests are automatically approved by CPRIT in CGMS.**

**Answer: False**

**Rebudgeting change requests will only be automatically approved by CGMS if the changes are equal to or less than 10% of the grant year's total budget.**

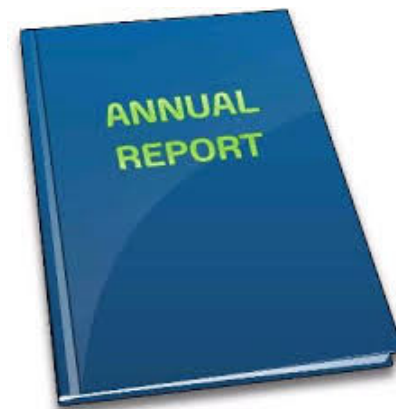


# Progress Reports

**Ensure that Progress Reports contain accurate and complete impact data.**

**This includes, but is not limited to:**

- Publications
- Follow-on funds
- Patents
- Clinical trials
- 1–2-page project narrative
- Research training award data



# Progress Reports – Common Errors

Incomplete report

Overlap with  
previous reports

Duplicate entries  
(publications,  
jobs, etc.)

Missing PDFs for  
published and in  
press publications

Inconsistencies  
between narrative  
and data entered



### 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.

## 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 all publications relating to cancer, not just those fully or partially funded by CPRIT.

# Change Request Types



Goal or Objective Change

Change of Organization  
Request

No Cost Extension

PI Change Request

Key Personnel Level of Effort  
Change

Rebudgeting

Advancement of Funds

Change – Not Otherwise  
Specified



## **Goal or Objective Change**

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

## Change of Organization

- Transfer of the award to another organization in Texas
- CPRIT awards may not be transferred to organizations outside the State of Texas



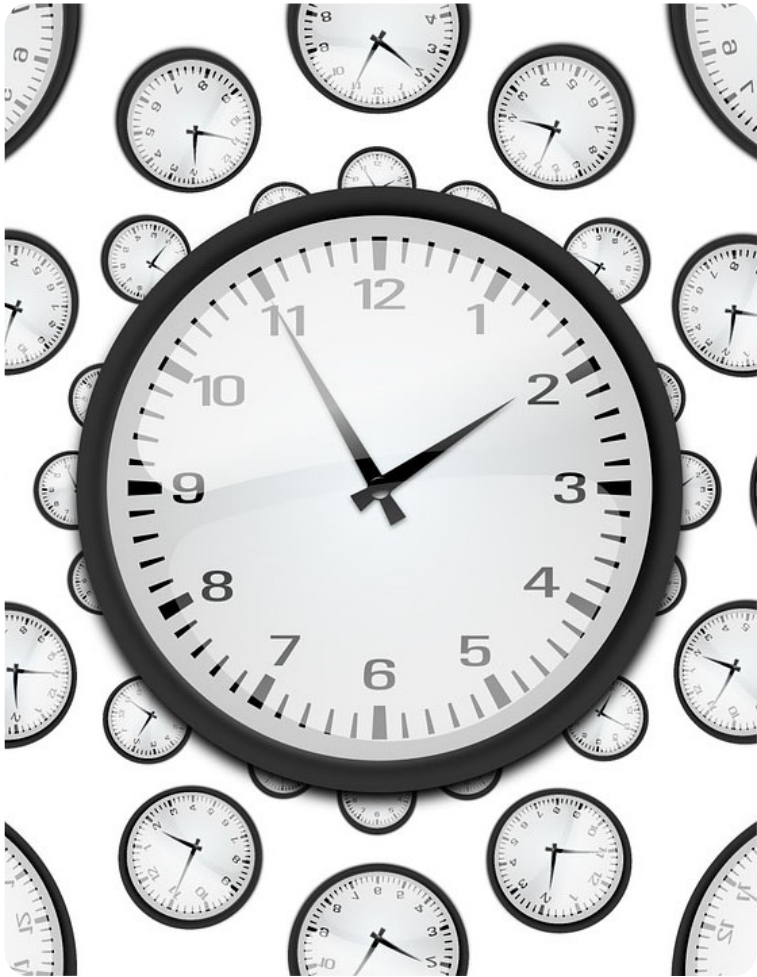


## No Cost Extension (NCE)

- A contract end date may be changed to allow the grantee more time to complete work on the grant project
- Only goals and objectives that have been approved but have not yet been completed can be conducted during an NCE







## No Cost Extension (NCE)

- Not automatically approved
- Include new requested End Date
- More than 6 months can be requested. The increased number of months should be mentioned in the first sentence of the justification
- Request must be submitted at least 30 days prior to termination date but not more than 180 days prior
- The PI must exhibit measurable effort during an approved NCE



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## Change in Principal Investigator (PI)

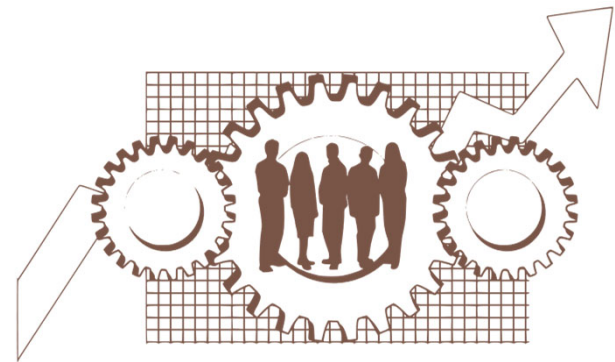
- Not automatically approved
- Reviewed by CPRIT
- Bio-sketch of proposed PI
- Include Context and justification for change



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## Key Personnel - Level of Effort Change (PLOE)

- Changes for all personnel or their level of effort on a CPRIT grant
- Include information regarding what changes are being made
- The justification must match the effort table





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## Advancement of Funds

- For grants that have been specifically approved for disbursement of funds in advance of expending the funds
- It is within CPRIT's discretion to revert to a reimbursement basis and generally, the last 10% of grant funds will be disbursed on a reimbursement basis



## Rebudgeting

- Total approved budget and assignment of costs may be adjusted
- Fund transfers between budget categories can be permitted if it aligns with the project's scope, contributes to project objectives, and is an efficient use of grant funds.
- Prior approval is not required for
  - Changes to line items within budget categories that do not exceed 10%
  - Do not alter the total approved budget, project nature, performance, or scope.



## **Change Not Otherwise Specified (CNOS) – International Travel**

- International Travel added after contract execution
  - Include name of person traveling
  - Please provide Ad Hoc Documents with the conference brochure and travel expense cost estimates.



## Change Not Otherwise Specified (CNOS) – Equipment

- Equipment purchases not included in the grant application
- Upload current quote to Ad Hoc documents
- Ensure that service agreement does not exceed the grant period



# 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.



# 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

## **Note: 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)



# Grant Support



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## **CGMS Technical Issues**

- Contact CPRIT Helpdesk
- [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)
- **Phone: 866-941-7146**

## **Programmatic/ Content questions**

- Contact the CPRIT Program Manager

## **Financial Questions/Issues**

- Contact CPRIT Finance Manager/ Grant Accountant



# CONTACT INFORMATION

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# CPRIT Grantee Annual Compliance Training

March 2024

Product Development



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