

# CPRIT Grantee Annual Compliance Training

June 2024

Prevention



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# 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



**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  [www.RedFlagReporting.com](http://www.RedFlagReporting.com)  
or  
Call  1-877-64-RedFlag (1-877-647-3335)  
Client Code - 5124633190



# Administrative Rules and Policies and Procedures Guide



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[Home](#) > [Grants Funded](#) > Grantee Resources

## 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](#)

### Upcoming Oversight Committee Meetings

 [March 08, 2024](#)

 [May 15, 2024](#)

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## Grantee Resources

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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

[March 08, 2024](#)

[May 15, 2024](#)

[August 21, 2024](#)

**Sign Up for Our Newsletter**



# How to Stay in the Know



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



# Recently Proposed & Adopted Administrative Rule Changes

Texas Cancer Plan format

Definition and Use of “Tranche”

Applicability of CPRIT’s Electronic Signature Policy

Definition and Use of “Scope of Work”



**Slide 14**

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**CEO**

**Updated slide**

Cameron Eckel, 2024-05-29T18:20:26.673

## Texas Cancer Plan format

### § 701.11(5)

- Removes the hard copy option for the *Texas Cancer Plan*.
- CPRIT plans to present the next version of the *Texas Cancer Plan* as a fully online, dynamic resource available to the public



Published in *the Texas Register* on May 31.



Public comment is open through July 15.



Expected to be considered for final adoption at the August 21 Oversight Committee meeting.



## Definition of “Tranche”

### § 701.3

- 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.



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



**Slide 16**

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**CEO**

**Updated slide**

Cameron Eckel, 2024-05-29T18:20:48.171

## Use of “Tranche”

§§ 703.10, 703.21, and  
703.23

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



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



**Slide 17**

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**CEO**

**Updated slide**

Cameron Eckel, 2024-05-29T18:21:06.318



## 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.



## 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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INSTITUTE OF TEXAS

# Required Grant Reports



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INSTITUTE OF TEXAS

## Polling Question

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

**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
- ❖ 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.

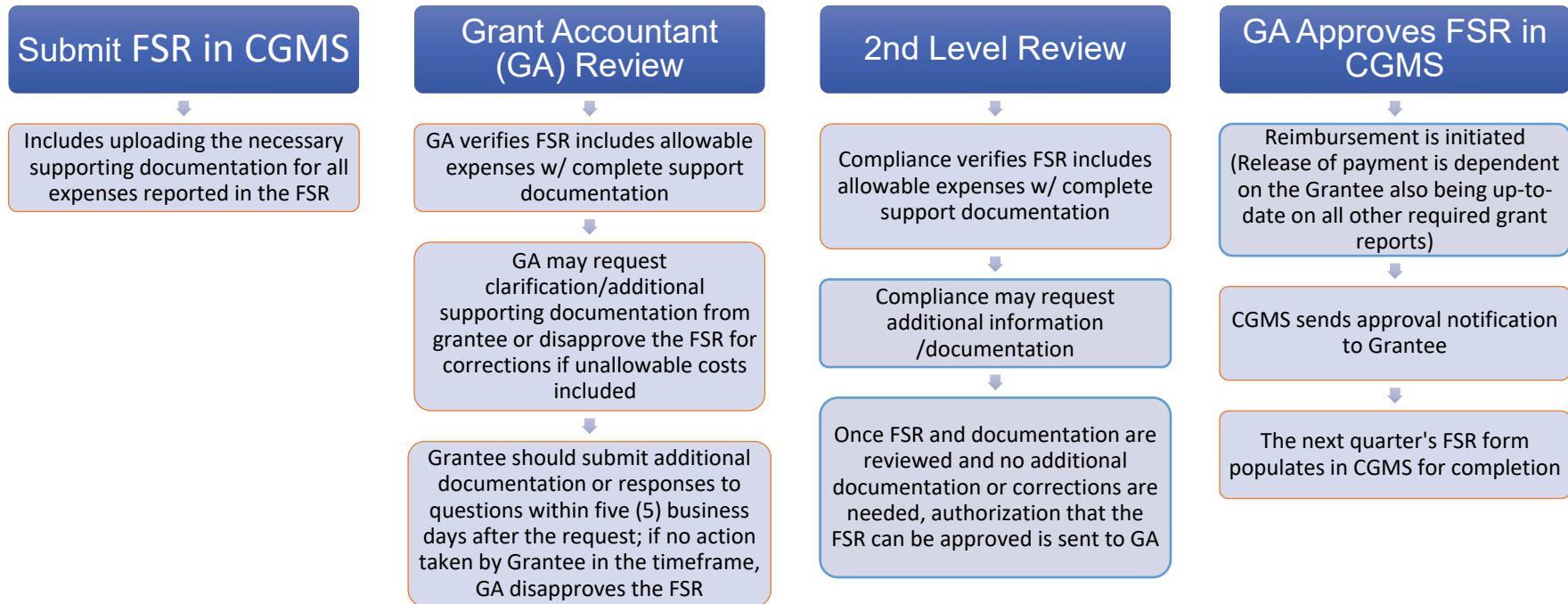


# FSR – Due Dates

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>	<b>\$40,700.26</b>
<b>Description</b>	<b>SKUQuantity</b>
SAS/SATA Backplane	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																
<b>- ME4084 Drive Upgrades</b>	\$788.67	56	\$44,165.52																
<table border="1"> <thead> <tr> <th></th> <th>Quantity</th> <th>Subtotal</th> </tr> </thead> <tbody> <tr> <td>18TB Hard Drive SAS 12Gbps 7.2K 512e 3.5in Hot-Plug, CUS Kit</td> <td>56</td> <td></td> </tr> </tbody> </table> <p>Estimated delivery if purchased today: Oct. 17, 2022 Contract # C000000006679</p> <table border="1"> <thead> <tr> <th>Description</th> <th>SKU</th> <th>Unit Price</th> <th>Quantity</th> <th>Subtotal</th> </tr> </thead> <tbody> <tr> <td>18TB Hard Drive SAS 12Gbps 7.2K 512e 3.5in Hot-Plug, CUS Kit</td> <td>400-BLWT</td> <td>-</td> <td>56</td> <td></td> </tr> </tbody> </table>		Quantity	Subtotal	18TB Hard Drive SAS 12Gbps 7.2K 512e 3.5in Hot-Plug, CUS Kit	56		Description	SKU	Unit Price	Quantity	Subtotal	18TB Hard Drive SAS 12Gbps 7.2K 512e 3.5in Hot-Plug, CUS Kit	400-BLWT	-	56				
	Quantity	Subtotal																	
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Description	SKU	Unit Price	Quantity	Subtotal															
18TB Hard Drive SAS 12Gbps 7.2K 512e 3.5in Hot-Plug, CUS Kit	400-BLWT	-	56																
<b>Subtotal:</b>			<b>\$44,165.52</b>																

Correctly classified as "other"

Services

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





# 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.
-



# Salary Cap Update

- Applications submitted in cycle 25.1, the maximum salary amount supported by CPRIT grant funds for an individual with 100% level of effort on a grant award is \$225,000
- For grants awarded prior to review cycle 25.1, the maximum salary amount supported by CPRIT funds is \$200,000



P&P Guide Reference:  
9.5.2 Salary Limits



# Personnel Level of Effort (PLOE)



## Polling Question

**The PLOE should include 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	
Personnel Level of Effort													
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	Type Appt. (months)	Effort on Project	Person Months								
		Co-investigator	12	0.00%	0.00	12	2.00%	0.24					
		PI/PD/CR	12	10.00%	1.20	12	10.00%	2.40					
		Senior Research Assistant	12	50.00%	6.00	12	50.00%	12.00					
			<b>Total Person Months Per Year</b>		<b>7.20</b>		<b>7.44</b>	<b>14.64</b>					

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
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/DCR	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



## Polling Question

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

**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.**







<a href="#">Home</a>	<a href="#">Rates</a>	<a href="#">Transportation</a>	<a href="#">Meals and Lodging</a>	<a href="#">Exceptions</a>	<a href="#">Miscellaneous Provisions</a>	<a href="#">Examples</a>	<a href="#">Documentation Requirements</a>
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**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



# 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

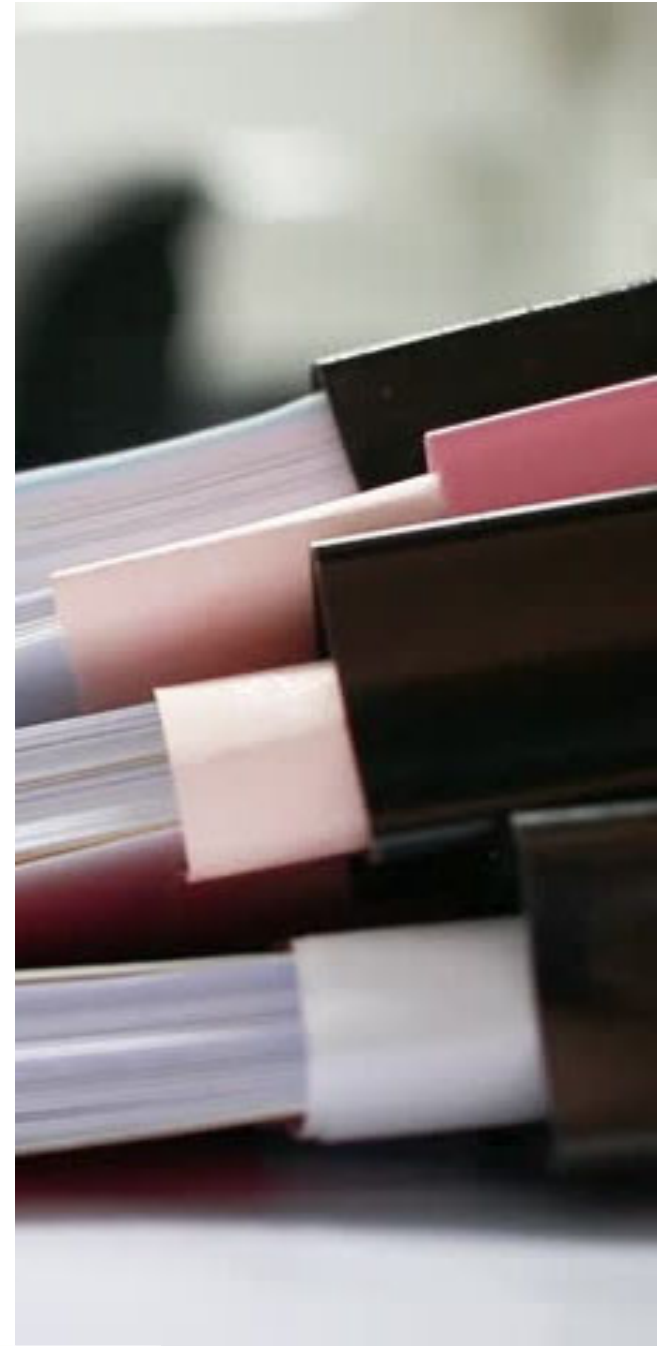


P&P Guide Reference:  
10.6 Supplies Expense Category



# Other Category Expenses

- Printing and reproduction expenses
- Services (ex., animal cost care, gene synthesis)
- Gift or gas cards
- Publication fees
- Equipment warranties and service contracts
- DNA sequencing, cloning, etc. services provided by a vendor
- Conference/registration fees
  - *Conference and seminar registration expenses should be listed in the "other" category if they are incurred by the institution/organization or an employee prior to travel.*
- Postage and shipping services (FedEx, UPS), etc.



## FSR – Contractual

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

# INVOICE

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# FSR – Contractual Travel

## Contractual Travel Costs

## Required Support Documentation

Airfare

Itemized Amount

Mileage

Itemized Amount

Hotel

Itemized Amount

Meals

Receipts

Taxi/Uber

Receipts

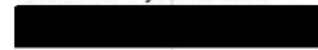
□

✓



To fully identify your remittance, please reference the invoice # or return a copy of this invoice.

For any questions, please contact the sender or you can email



**Payor:**



Contract Reference:	[Redacted]
Other Reference:	[Redacted]
Contract Amount:	\$195,546.00
Contract Expiration:	08/30/2024
Billing Period:	07/01/2023 - 07/31/2023
Billing Date:	08/08/2023
Type:	Standard
	Current
	Cumulative

Invoice # **01\_171485S07**

Direct Expenses:		Current	Cumulative
22	Salaries	\$4,897.09	\$53,867.99
25	Staff Benefits	\$1,594.56	\$17,565.24
30	Maintenance & Operation	\$10,195.65	\$63,628.78
70	Travel	<input type="checkbox"/> \$289.27	\$798.43
	Mileage		
<b>Total Direct Expenses:</b>		<b>\$16,976.57</b>	<b>\$135,860.44</b>

LIVER CANCER PREVENTION AMONG THOSE WITH EXPERIENCES OF

**22 Salaries**

PYDF223574 171485 07/20/2023 M PR#236 07/01/2023-07/31/2023 \$4,897.09

Salaries \$4,897.09

**25 Staff Benefits**

PYDF223574 171485 07/20/2023 M PR#236 07/01/2023-07/31/2023 \$329.38

PYDF223574 171485 07/20/2023 M PR#236 07/01/2023-07/31/2023 \$81.77

PYDF223574 171485 07/20/2023 M PR#236 07/01/2023-07/31/2023 \$5.09

PYDF223574 171485 07/20/2023 M PR#236 07/01/2023-07/31/2023 \$347.32

PYDF223574 171485 07/20/2023 M PR#236 07/01/2023-07/31/2023 \$696.33

PYDF223574 171485 07/20/2023 M PR#236 07/01/2023-07/31/2023 \$134.67

Staff Benefits \$1,594.56

**30 Maintenance & Operation**

VC02932074 171485 07/10/2023 LAB SERVICES \$5,503.85

IDTD071423 171485 07/14/2023 BBL Service Hours Grassroots S \$788.51

VC02934322 171485 07/14/2023 LAB SERVICES \$4,841.00

JECRV07-1823 171485 07/18/2023 319246 DEPOSIT (\$937.71)

Maintenance & Operation \$10,195.65

**70 Travel**

TE0000007672 171485 07/01/2023 SAN ANTONIO, TX Oct 22- May 23 \$100.02

TE0000007672 171485 07/01/2023 SAN ANTONIO, TX Oct 22- May 23 \$84.25

TE0000007867 171485 07/04/2023 SAN ANTONIO, TX 6/1- 29/2023 \$105.00

Travel \$289.27 ✓

**Grand Total \$16,976.57**

# 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 Grants - Grants - Cr

## Change Requests

Grant ID: [REDACTED]      Grant Title: [REDACTED]  
PI/PD/CR: [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. <u>Precision NanoSystems NanoAssemblr</u> , Agilent TapeStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).	\$50,000



# 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 for Annual and Final reports**

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

- Publications
- Follow-on funds
- Patents and Patent Applications
- Client Stories
- Abstracts and Presentations



# Progress Reports



- Economic Impact
  - 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

# Producing Materials

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- Any materials produced (flyers, electronic materials, presentations, etc.) using CPRIT funds must be pre-approved by Carlton or Ramona **BEFORE USE.**
  - Please include **Grant ID number** in the document submission email.  
Preferred file name: “Grant ID number - Title of document”
- Specific information about the Brand Guidelines and Logo can be found here (<https://www.cprit.state.tx.us/news-events/media-resources#branding>)
- Send to [Prevention@cprit.texas.gov](mailto:Prevention@cprit.texas.gov)



# Quarterly Report

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- Prevention QPRs are due within 15 days after the end of the CPRIT quarter. Due dates are on or before December 15, March 15, June 15, and September 15. Early submissions are encouraged
- Extensions cannot be granted as the submission date is auto generated by the system
- **New Quarterly Report coming in FY2025 Quarter 1**
  - Elimination of people reached
  - Tracking location of clinical services
    - Which clinical service, delivery method, and county of where the service took place
  - Project Updates (text)
    - Innovative Implementations, Media/News Features, Significant Achievements/Awards, Unique Collaborations, Other Significant Updates
    - Also, the ability to add videos/audio
  - Detailed navigation of service
    - Scheduling Assistance, Case Management, Financial Assistance, Patient Reminders, Reducing Structural Barriers, Referrals, etc.



# 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



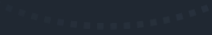
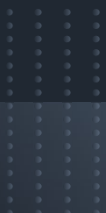


### **Funding**

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



# GIFT CARD CERTIFICATION

## Gift Card Certification Form for CPRIT Grants

Grant recipients seeking reimbursement for otherwise allowable gift card expenditures must complete and submit this form to support the reimbursement request. **A separate form is required for each gift card denomination amount provided to project participants.** By submitting this form to CPRIT, you are certifying the accuracy of the information provided.

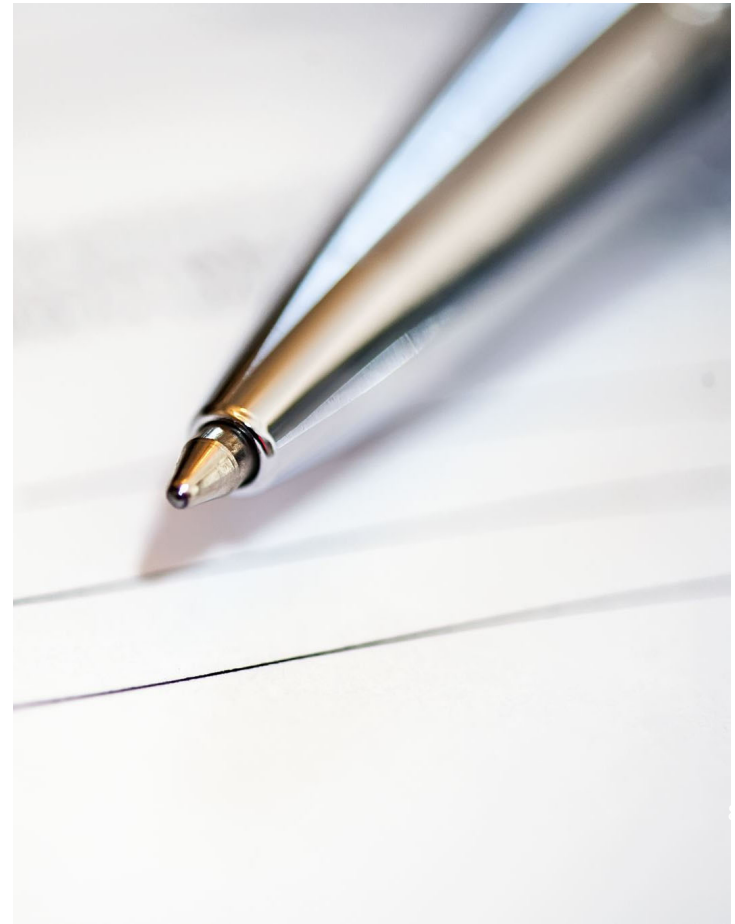
<b>Project ID</b>	
<b>Date of Event</b>	June 2023
<b>Date of Gift Card Distribution</b> <i>Enter if different than event date</i>	6/1; 6/8; 6/13; 6/15; 6/16; 6/19; 6/21; 6/22;
<b>Denomination value of gift card</b> <i>Only one denomination per form</i>	\$25.00
<b>Total gift cards purchased</b> <i>Report total number of gift cards of the same denomination (attach receipts)</i>	100 @ \$24.85 ( )
<b>Total gift cards distributed</b> <i>Report total number of gift cards of the same denomination</i>	22 x \$24.85 = \$546.70

The date of the event, date of distribution, and total number of gift cards distributed should all fall within the FSR period and tie to the general ledger.

# GIFT CARD SUPPORT DOCUMENTATION GUIDELINES

A receipt or ledger should include the following information.

- Participant's name or ID number
- Program or study name/number
- Gift card amount
- Distribution date
- Participant's signature





## Gift Card Acknowledgement of Receipt

Date: \_\_\_\_\_

Protocol Number: \_\_\_\_\_

By signing below, I acknowledge receipt of the following Gift Card:

Recipient name or Participant ID  
number: \_\_\_\_\_

Gift Card Amount: \_\_\_\_\_

Purpose of Payment: \_\_\_\_\_

Signature of Participant: \_\_\_\_\_

# Change Request Types

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Goal or Objective Change

Change of Organization  
Request

No Cost Extension

PI Change Request

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



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## 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 Program Director(PD)

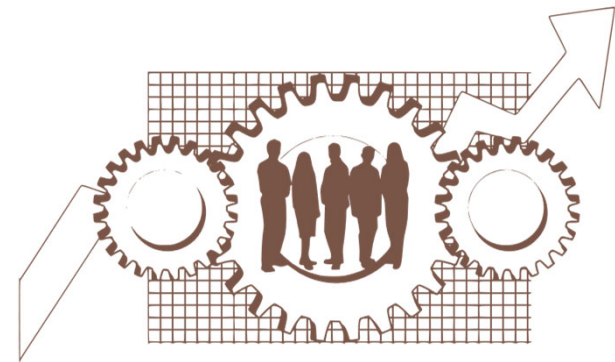
- Not automatically approved
- Reviewed by Chief Programmatic Officer
- Bio-sketch of proposed PD
- Include Context and justification for change



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## 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



## 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

- Presenting at a conference that was not specified in grant application
- Change in a subcontract agreement
- Paying for an open access manuscript
- Something not specified in grant application





# 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

June 2024

Prevention



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