

**CPRIT Grantee
Annual Compliance
Training**
October 2024

Academic Research



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CONTACT INFORMATION

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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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Fraud, Waste, & Abuse



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FRAUD, WASTE, & ABUSE

How do I Make a Report?
Use Client Code #5124633190
(Users can remain anonymous)

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

Online www.RedFlagReporting.com




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FRAUD, WASTE, & ABUSE



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Administrative Rules and Policies and Procedures Guide



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Home Our Programs Apply for Funding Grants Funded Grantee Resources News & Events About Us

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

Manage My GRANT
CPRITGRANTS.ORG

Upcoming Oversight Committee Meetings

- March 08, 2024
- May 15, 2024
- August 21, 2024

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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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- August 21, 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)

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Upcoming Oversight Committee Meetings

- March 08, 2024
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- August 21, 2024


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How to Stay in the Know

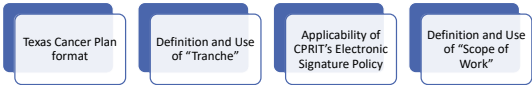


- Check CPRIT's website
- Receive CPRIT listserv emails
- Watch Oversight Committee meetings
- Attend training webinars




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Recently Adopted Administrative Rule Changes




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Texas Cancer Plan
format


- 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




§ 701.11(5)




Final adoption at the August 21 Oversight Committee meeting.





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Definition of "Tranche"


- 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.


§ 701.3


 Final adoption at the May 15th Oversight Committee meeting.


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Use of "Tranche"


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


§ 703.10,
703.21, and
703.23


 Final adoption at the May 15th Oversight Committee meeting.


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Applicability of CPRIT's Electronic Signature Policy

- 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.
- *Adopted & final in December 2023*



§ 701.25

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Definition of "Scope of Work"




§ 701.3(63)


- 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.
- *Adopted & final in September 2023*



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Use of "Scope of Work"



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

- 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
- *Adopted & final in September 2023*



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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 jreporting@cprit.texas.gov.

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Administrative Rules and Policies and Procedures Guide
Q&A



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Required Grant Reports




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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



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Reporting Requirements

| | |
|---|---|
| <p>❖ <u>Annual</u></p> <ul style="list-style-type: none">▪ Inventory Report▪ Revenue Sharing Report▪ HUB/Texas Suppliers Report▪ Matching Compliance Certification▪ Annual Progress Report▪ Single Audit Determination Form▪ Audit Report | <p>❖ <u>Quarterly</u></p> <ul style="list-style-type: none">▪ Financial Status Report▪ Quarterly Progress Report <p>❖ All report due dates are available in CGMS</p> |
|---|---|



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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 HEALTH SERVICES
PART 11 CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
CHAPTER 703 GRANTS FOR CANCER PREVENTION AND RESEARCH
RULE §703.24 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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| Fiscal Quarter | FSR/Deferral Due Date | Last Day of Grace Period |
|-----------------|-----------------------|--------------------------|
| Sept 1 – Nov 30 | February 28 | March 30 |
| Dec 1 – Feb 28 | May 29 | June 28 |
| Mar 1 – May 31 | August 29 | September 28 |
| June 1 – Aug 31 | November 29 | December 29 |

FSR Due Dates

FSR in "Complete Web Form" status can be submitted as early as the day after the fiscal quarter ends, up until the due date.

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FSR Review and Approval Process

Submit FSR in CGMS

Includes uploading the necessary supporting documentation for all expenses reported in the FSR.

Grant Accountant (GA) Review

GA verifies FSR includes allowable expenses w/ complete support documentation.

GA may request clarification/additional supporting documentation from grantees or disapprove the FSR for corrections if unallowable costs included.

Grantee should submit additional documentation or responses to questions within five (5) business days after the request; if no action taken by grantees in the timeframe, GA disapproves the FSR.

2nd Level Review

Compliance verifies FSR includes allowable expenses w/ complete support documentation.

Compliance may request additional information /documentation.


Once FSR and documentation are reviewed and no additional documentation or corrections are needed, authorization that the FSR can be approved is sent to GA.

GA Approves FSR in CGMS

Reimbursement is initiated (Release of payment is dependent on the Grantee also being up-to-date on all other required grant reports).

CGMS sends approval notification to Grantee.

The next quarter's FSR form populates in CGMS for completion.

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FSR Required Supporting Documentation

- Every Financial Status Report (FSR) must include a summary report of expenses generated directly from an accounting system or itemized on an **Excel spreadsheet**, as well as documentation to support grant costs paid during the current reporting period.
- The report must contain the following information:
 - expense categories
 - itemized expenses
 - description of items
 - date paid

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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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What is the top reason FSRs are returned to grantees?

Answer: C

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


Polling Question



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TOP 3 RESUBMISSION ISSUES

- Missing support documentation
- Need for expense clarification
- Miscategorized expenses



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MISSING SUPPORT DOCUMENTATION



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

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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 | Dept | Budget Category | BUDG | Enroll | Fund | Projct | Document | Expended | Pay Period/Date | Amount | Enroll Date | Line Item # |
|------------|-------------------|-----------------|------|-------------------------|-------|--------|----------|-------------------|-------------------------------------|--------|-------------|-------------|
| 11/01/2023 | MS SQA QT CHARGES | Other | 00 | Maintenance & Operation | 42044 | 00100 | 01740 | 07/01/23-09/30/23 | MS SQA MONTHLY CHARGES - 11/01/2023 | 770024 | 11/01/2023 | 3 |
| 11/01/2023 | MS SQA QT CHARGES | Other | 00 | Maintenance & Operation | 42044 | 00100 | 01740 | 07/01/23-09/30/23 | MS SQA MONTHLY CHARGES - 11/01/2023 | 770024 | 11/01/2023 | 3 |

| Budget Categories | | | |
|-------------------|----------------|-------------|--------------|
| 1 | Salary | | \$39,237.00 |
| 2 | Fringe | | \$10,615.54 |
| 3 | Travel | | \$0.00 |
| 4 | Equipment | \$40,700.26 | \$0.00 |
| 5 | Supplies | \$44,165.52 | \$0.00 |
| 6 | Contractual | | \$0.00 |
| 7 | Other | \$3,780 | \$88,645.78 |
| 8 | Indirect Costs | | \$7,259.39 |
| Total | | | \$145,787.80 |

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- Dell DIR-TSO-3763
- OMNIA #R200803

Hardware

Reclassified from "other" to "equipment"

| Description | Price |
|--|--------------------|
| PowerEdge R7525 - [amer_r7525_13945] | \$40,700.26 |
| Description | SKU/Quantity |
| SAS/SATA Backplane | 379-8055 |
| PowerEdge R7525 Server | 210- A3102 |
| Trusted Platform Module 2.0 V3 | 461-AA02 |
| BX 3.5 SAS/SATA with X9M | 321-8F0U |
| AMD 7702 20H2.64C112BT.256M.200W.3300 | 338-85W9 |
| AMD 7702 20H2.64C112BT.256M.200W.3300 | 338-85W9 |
| Additional Processor Selected | 379- B0C00 |
| Heatlink for 2 CPU + GPU/PGA/Full Length card config configuration | 412-AA5Z |
| Performance Optimized | 375-AAAP |
| 3200M/16 ROMMs | 370-AEVR |
| RAID 5 | 705- BCCP |
| PERC H745 Controller, Front | 405-AAUZ |

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Dell DIR-TSO-3763
OMNIA #R200803

Hardware

Reclassified from "other" to "supplies"

| Description | Price | Qty | Est. Price |
|------------------------------|----------|-----|-------------|
| ME4084 Drive Upgrades | \$788.67 | 56 | \$44,165.52 |
| Subtotal: \$44,165.52 | | | |

Services

Correctly classified as "other"

| Description | Price | Qty | Est. Price |
|------------------------------|----------|-----|------------|
| Services: Block Hours | \$189.00 | 20 | \$3,780.00 |
| Subtotal: \$3,780.00 | | | |

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EXPENSE CLARIFICATION

- Unclear description:

| Line # | PO Line # | Description | UNIT | Qty | Unit Price | Estimated Amount |
|--------|-----------|-------------------------------|------|-----|------------|------------------|
| 1 | 6 | COLUMB G4 214TP 515 VVDAC SUM | EA | 1 | \$1,127.68 | \$1,127.68 |

- Clear description:

| | | | | | | |
|----------|--------------------|---|---|-------|-------|--------|
| 10032-09 | Budget Blanket #32 | 2 | C | 54.00 | 6.000 | 324.00 |
|----------|--------------------|---|---|-------|-------|--------|

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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.

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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 |
|-----------|----------|----------|------------------|----------------------------|---------------|----------|------|-------------|------------|--------------|
| SPA003291 | 10029435 | 000004 | 100649 | 510497 Om Lab And Med Sup | SUPPLIES | 1,070.00 | RFP | 1/18/2023 | 0000137292 | CITIBANK N.A |
| SPA003291 | 10029435 | 000003 | 100649 | 542210 Travel Out of State | TRAVEL | 327.95 | RFP | 8/17/2022 | 0000137292 | CITIBANK N.A |
| SPA003291 | 10029435 | 000003 | 100649 | 542210 Travel Out of State | TRAVEL | 25.00 | RFP | 6/1/2022 | 0 | |
| SPA003291 | 10029435 | 000003 | 100649 | 542210 Travel Out of State | TRAVEL | 297.95 | RFP | 8/17/2022 | 0000137292 | CITIBANK N.A |
| SPA003291 | 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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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.

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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
- Salary cap limits apply to all personnel and contractors

[P&P Guide Reference:](#)
9.5.2 Salary Limits

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Personnel Level of Effort (PLOE)

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Polling Question

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

Answer: True

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Personnel Level Of Effort (PLOE)

| Personnel Level of Effort | | Year 1 | Year 2 | Total Person Months Per Person |
|-------------------------------------|-----------------------|-----------|-----------|--------------------------------|
| Cancer Research | Level of Effort (LOE) | 12 | 12 | 24 |
| | Total Person Months | 12 | 12 | |
| | Person Months | 12 | 12 | |
| Cancer Prevention | Level of Effort (LOE) | 12 | 12 | 24 |
| | Total Person Months | 12 | 12 | |
| | Person Months | 12 | 12 | |
| Cancer Control | Level of Effort (LOE) | 12 | 12 | 24 |
| | Total Person Months | 12 | 12 | |
| | Person Months | 12 | 12 | |
| Total Person Months Per Year | | | | |
| | | 36 | 36 | 72 |

Prior to submitting for payment, the PLOE must include:

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



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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 | Level of Effort (LOE) | 12 | 12 | 12 | 12 | 48 |
| | Total Person Months | 12 | 12 | 12 | 12 | |
| | Person Months | 12 | 12 | 12 | 12 | |
| Program Director | Level of Effort (LOE) | 12 | 12 | 12 | 12 | 48 |
| | Total Person Months | 12 | 12 | 12 | 12 | |
| | Person Months | 12 | 12 | 12 | 12 | |
| Program Assistant | Level of Effort (LOE) | 12 | 12 | 12 | 12 | 48 |
| | Total Person Months | 12 | 12 | 12 | 12 | |
| | Person Months | 12 | 12 | 12 | 12 | |
| Example of a NCE which resulted in a Year 4 – automatically populates with zeros | | | | | | |
| Program Coordinator | Level of Effort (LOE) | 12 | 12 | 12 | 0 | 36 |
| | Total Person Months | 12 | 12 | 12 | 0 | |
| | Person Months | 12 | 12 | 12 | 0 | |
| Program Director | Level of Effort (LOE) | 12 | 12 | 12 | 0 | 36 |
| | Total Person Months | 12 | 12 | 12 | 0 | |
| | Person Months | 12 | 12 | 12 | 0 | |
| Program Assistant | Level of Effort (LOE) | 12 | 12 | 12 | 0 | 36 |
| | Total Person Months | 12 | 12 | 12 | 0 | |
| | Person Months | 12 | 12 | 12 | 0 | |
| Total Person Months Per Year | | | | | | |
| | | 36 | 36 | 36 | 0 | 108 |



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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.




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Personnel Level of Effort
Q&A



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Travel Expense Category



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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.



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Fiscal Management
 About FMX Topics Systems Calendars/Schedules Policies/Procedures (FPP) Forms Publications Trainin

Home / Travel

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

Meals and Lodging
 Meats
 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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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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Ineligible Travel Costs

- Alcohol or gratuities
- Airfare costs that exceed coach class
- Foreign travel without prior CPRIT approval
- Travel outside of the grant contract effective dates
- Employee traveling not listed on Personnel Level of Effort (PLOE)
- Dates of travel occur outside of the employee's PLOE period (Travel Only Exception)

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Foreign Currency

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.


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Travel Expense Category Q&A



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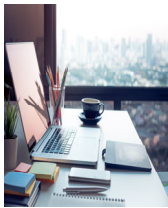
Supplies, Other, Contractual & Equipment



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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



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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.



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E&P Guide Reference: 10.8 Other Expense Category

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FSR – Contractual

INVOICE

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



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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 |

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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

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Acceptable Equipment Documentation



Change Requests

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

Back to Change Requests

Change Request Details:

Change - Not Observation Specified


I am requesting to adjust grant funds allocated for subcontracts to purchase a tissue homogenizer, #6270.

Justification:

The requested equipment is a more efficient device of funds for increased productivity. It is only needed for change but not for other grants. For this reason, we require the requested purchase of equipment.

Timeline:

- 2022-02-07 10:41: Complete Web Form [REDACTED]
- 2022-02-07 10:41: Notify Information [REDACTED]
- 2022-02-07 10:41: AMI Review Approved [REDACTED]
- 2022-02-07 12:07: Grant Manager Review Approved - Mike, Polly (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 | TA | QUANTITY | UNIT PRICE | EXTENSION |
|------|---------|------------------------------|----|----|----------|------------|-------------|
| 1 | MSB001 | Neurospine® Spine Instrument | EA | R | ✓ 1.0000 | 25,116.00 | ✓ 25,116.00 |
| 2 | | FREIGHT CHARGE | EA | N | 0.0000 | 0.00 | 79.50 |

Detailed Budget for Year One

| | |
|--|----------|
| Other Direct Charges | |
| Travel | \$3,000 |
| Equipment (Detailed) ✓ | \$50,000 |
| Funds are requested to upgrade several instruments to optimize manufacturing and to enhance efficiency (Equipment, Neurospine, Neurospine) Agilent TaperStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details). | |

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Matching Compliance Certification (MCC)



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Matching Compliance Certification (MCC)

- 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




[PRR Guide Reference](#)
6.4 Matching Funds Certification and Verification

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Matching Compliance Certification (MCC)







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




[PRR Guide Reference](#)
6.4 Matching Funds Certification and Verification

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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 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

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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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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

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CPRIT Single-Budget
6.4 Matching Funds Certification and Verification 78


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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.



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Aims/ Sub Aims Change

- Material changes in the design and/or specific aims likely to result in an amended scope of work



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Progress Reports

Ensure that Progress Reports contain accurate and complete impact data.

This includes, but is not limited to:

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

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Progress Reports – Return Reasons

- Progress report is internally inconsistent
- Details of progress is in an attached PDF instead of the Summary of Progress or Summary text boxes.
- Repeated publication or grant.
- Incomplete information
- PI does not provide enough detail about
 - work performed to allow an evaluation,
 - repeats work from another objective or from a previous year,
 - or marks not required when work was required according to the timeline or anticipated activities in previous year's report.

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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.

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Change Request Types





- 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

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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



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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

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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 Chief Scientific Officer
- Bio-sketch of proposed PI
- 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




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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.




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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.





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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

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Recruitment Applications Administrative Issues

-  Ensure that the nominators' email address is the actual one, not generic or ASO-related
-  Candidate eligibility for award
-  Budget for 12 months, including summer
-  Institutional commitment complete with all components and required statements



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Contact Us

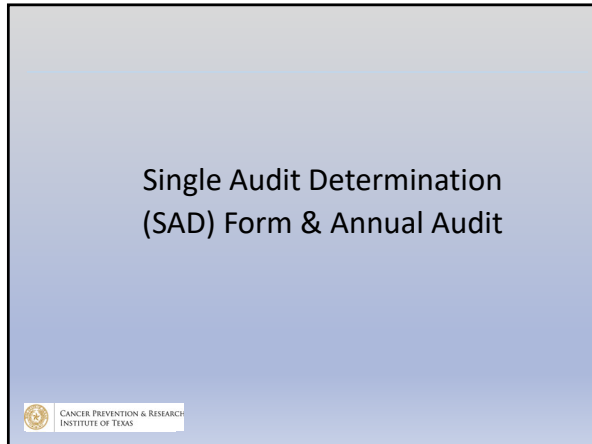
CPRIT's success is based on our funded research project successes. Please **contact** the Academic Research team with your pre- and post-award questions.

Patty Moore, Ph.D.
 Director of Academic Research
 512-305-8491
pmoore@cprit.texas.gov

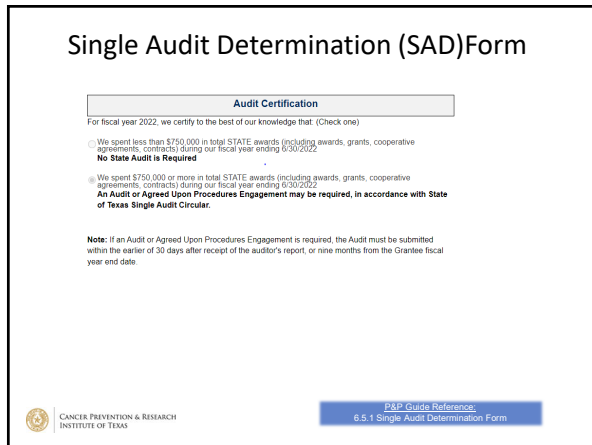
Myriam Casillas, DrPH
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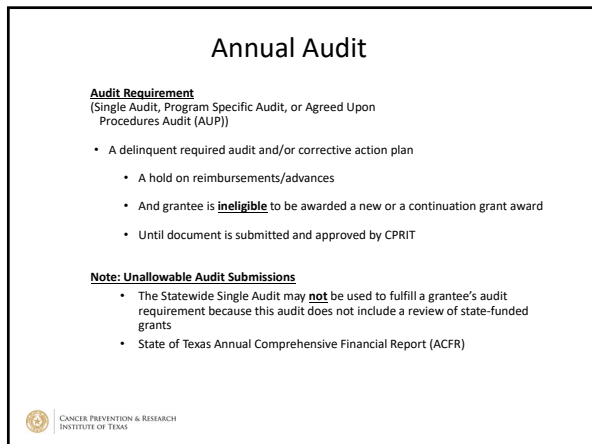
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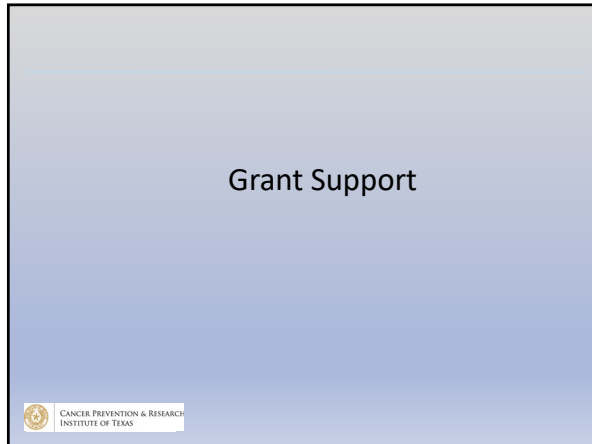
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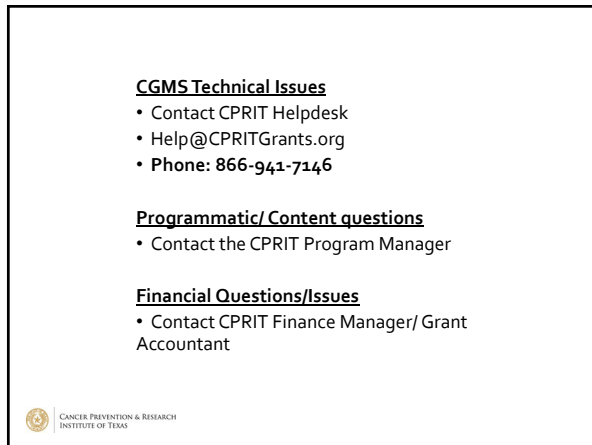
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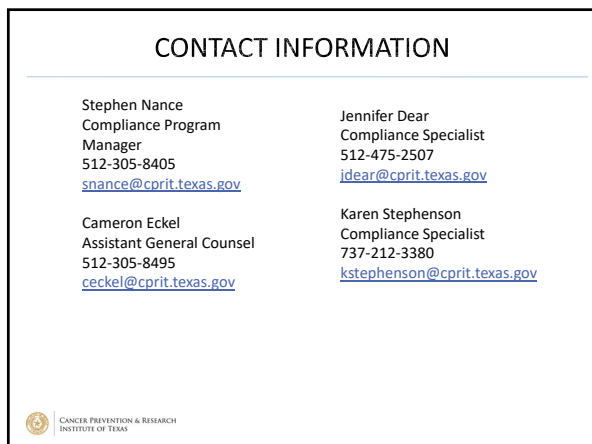
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