


CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Academic Research Program

CPRIT Grantee
Annual Compliance Training
March 2025



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TRAINING OVERVIEW


- **Introductions**
- **FWA Reporting**
- **Administrative Rule Changes / P&P Guide Overview**
- **Required Reporting**
- **Compliance Reviews**
- **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

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FRAUD, WASTE, & ABUSE

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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
or
Call 1-877-64-RedFlag (1-877-647-3335)
Client Code: 5124633190

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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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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
CPRITGRANTS.ORG

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.

Upcoming Oversight Committee Meetings
March 08, 2024
May 15, 2024
August 21, 2024

Sign Up for Our Newsletter

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CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

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
May 15, 2024
August 21, 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
CPRITGRANTS.ORG

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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May 15, 2024
August 21, 2024

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How to Stay in the Know






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

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Recently Adopted Administrative Rule Changes


-  Audit Threshold for Grantees
-  Unallowable Grantee Expenses
-  Texas Cancer Plan Format

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Recently Adopted Administrative Rule Changes

Adopted Administrative Rule	Citation	Rule Change Description	Published
Audit Threshold	§ 703.13(b)	* Increases the grant recipient audit threshold from \$750,000 to \$1 million. * A grantee who expend at or above the threshold must obtain an annual single independent audit.	Texas Register on 12/06/24
Unallowable Grantee Expenses	§ 703.26(e)	* Adds the following to the list of unallowable grantee expenses: * "reimbursements to employees for their out-of-pocket health insurance premium or other health care expenses which are not made through an employer-sponsored plan established under Section 105 of the Internal Revenue Code."	Texas Register on 12/06/24
Texas Cancer Plan format	§ 701.11(f)	* Removes the hard copy option for the Texas Cancer Plan. * The 2024 Texas Cancer Plan is available as a fully online, dynamic resource available to the public (https://www.texasancerplan.org/)	


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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 active.
- Grantees must notify CPRIT of IP-related actions through the [CPRIT Intellectual Property \(IP\) Reporting Portal](#).
- CPRIT's Dr. Michelle Leeuwon provides IP database updates 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
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Q&A

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REQUIRED GRANT REPORTS

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Reporting Requirements


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

❖ All report due dates are available in CGMS

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FINANCIAL STATUS REPORT (FSR)

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Polling Question

Quarterly FSRs, in 'Complete Web Form' status, can be submitted as early as the day after the fiscal quarter ends.

A. True
B. False

Answer: A. True



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FSR Due Dates

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

FSRs 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 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.

Manage My Grant	Resource Documents
Rules and Statutes	<p>The grant reporting resource documents listed here are designed to assist grantees in submitting accurate information and documentation for all expenses reported to CPRIT.</p> <ul style="list-style-type: none"> FSR Checklist for Academic Research FSR Checklist for Product Development FSR Checklist for Prevention FSR categories and required supporting documentation Reporting Instructions for New and Existing Investigators Match Eligibility Matrix
Policies and Procedures	
Training	
Funding Webinars	
Reporting Forms	
Reporting Fraud	
Resource Documents	

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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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Polling Question

Acceptable written explanation for an OTP expense includes a separate memorandum or a note written directly on the supporting documentation that explains the OTP expense.

A. True
B. False

Answer: A. True

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Acceptable Out of the Period (OTP) Memo

To:
From:
Date:

Re: Request for payment of Out of the Period (OTP) expenses

Dear [Grant Accountant Name],

This request is to allow the following expense(s) from a previous reporting period to be reported within the current reporting period. *[enter reporting period dates]*.

List vendor, amount and paid date for each OTP expense and provide an explanation for why changes were not reported in the correct reporting period.

Thank you for your consideration of this request.

Kindest regards,

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Unacceptable Out of the Period (OTP) Reimbursement Request

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

Contract	Project	Activity	Customer/Account	Descr	Acct Category	Sum Amt	Code	Posted Date	Supplier	Name
SPA0003291	10029435	000004	100949	510497 On Lab And Med Sup	SUPPLIES	1,070.00	RFP	1/18/2023	0000137252	CITIBANK N.A
SPA0003291	10029435	000003	100949	542210 Travel Out of State	TRAVEL	327.96	RFP	6/17/2022	0000137252	CITIBANK N.A
SPA0003291	10029435	000003	100949	542210 Travel Out of State	TRAVEL	25.00	RFP	6/17/2022	0	
SPA0003291	10029435	000003	100949	542210 Travel Out of State	TRAVEL	267.95	RFP	6/17/2022	0000137252	CITIBANK N.A
SPA0003291	10029435	000003	100949	542210 Travel Out of State	TRAVEL	25.00	RFP	6/17/2022	0	

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Common Resubmission Issues

MISSING SUPPORT DOCUMENTATION

MISCATEGORIZED EXPENSES

EXPENSE DESCRIPTION OR CLARIFICATION

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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

Payment Date	GL Account Long Text	Company Code Commodity Value	Name	Text
4/27/2024	Supplies - Chemicals	p. 9	215.85 ASILENT TECHNOLOGIES INC	Female 8 firm
5/2/2024	Supplies - Lab	1091.59	ASILENT TECHNOLOGIES INC	Inert Draw Out 8 0mm, Inconel
4/18/2024	Supplies - Lab	-201.5	SUMMAUS INDUSTRIES INC	75UM ID X 363UM CONTINUOUS P5 TUBING
4/27/2024	Supplies - Lab	34.02	PHENOMENIX INC	Shipping
4/27/2024	Supplies - Computer	2	CDW GOVERNMENT LLC	Asset Tag
4/27/2024	Supplies - Computer	67.38	CDW GOVERNMENT LLC	AppleCare - extended service agreement
4/27/2024	Supplies - Computer	636.6	CDW GOVERNMENT LLC	Apple MacBook Pro 16 M3 Max 36
4/6/2024	Supplies - Lab	p. 10 1360.28	WATERS TECHNOLOGIES CORPO	Xbridge 85H Amide Column, 120Å, 3.5µm, 4

❖ The AppleCare Extended warranty expense was reallocated from the 'Supplies' to 'Other' category.

ERP Guide Reference:
10.8 Other Expense Category

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Expense Description is Unclear

A clear description of the purchased item is not provided on the GL or the invoice.

General Ledger

Consumable Non-Office Supplies	2024-05-07	00318410	2,608.00	Lab Supplies	Suny BioTech
Consumable Non-Office Supplies	2024-05-07	00318410	2,958.00	Lab Supplies	Suny BioTech

Invoice

SunyBiotech

Invoice receipt date: 5/6/24
Voucher ID: 00318410

INVOICE

TO: [REDACTED] INVOICE NO: 2504031052-03
ADDRESS: [REDACTED] DATE: May 6, 2024
PO NO: N/A

Product NO.	PID	Description of the order	Price (USD)
GP40	A003	unc-1048D1181FE: P1003190(GP24 order)	2608.00 ↓
GP41	A003	unc-1048D1427FE: GP40 order	2958.00 ↓
		Shipping & Handling Fees	268.36

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Polling Question

Supplies and other expenses under \$750, do not require support documents or description of the items purchased.

A. True

B. False

Answer: B. False

- Support documents are not required for supplies and other expenses under \$750, however item descriptions are required.
- Descriptions assist in confirming the eligibility and classification of budget categories.

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Expense Description is Missing


A description of each line item is required to determine allowability

Cost element name	Value	TransCurt	Name of offsetting account
CCM CHARGES	18.21		CCM-IN BRD OF ANIMAL 12202355733431
Services - Laboratory Analysis	96		
Services - Laboratory Analysis	144		
Services - Laboratory Analysis	20		
Services - Laboratory Analysis	120.7		
Services - Laboratory Analysis	49		
Services - Laboratory Analysis	40		
Services - Laboratory Analysis	28		
Services - Laboratory Analysis	50		
Services - Laboratory Analysis	50		
Services - Laboratory Analysis	528.66		
Services - Laboratory Analysis	112		
Services - Laboratory Analysis	20		
Services - Laboratory Analysis	25		
OTHER	1,298.57		

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FINANCIAL STATUS REPORT
Q&A

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PERSONNEL / FRINGE EXPENSE CATEGORY

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Polling Question


The salary cap standards that apply to grant personnel also apply to consultants/subcontractors.

A. True
B. False

Answer: A. True

- Personnel and consultants/subcontractors must follow the salary cap guidelines.
- CPRIT conducts an annual salary cap review.



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Salary Cap

CPRIT Grant Applications Cycle 25.1

- The maximum compensation supported for an individual whose salary is paid on the grant is \$225,000, including consultants.

Grants awarded prior to review cycle 25.1.

- The maximum compensation supported for an individual whose salary is paid on the grant is \$200,000, including consultants.

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PERSONNEL LEVEL OF EFFORT (PLOE)

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Personnel Level Of Effort (PLOE)

Personnel Level of Effort		Year 1	Year 2	Total Person Months Per Year
Investigator	Type App. (months)	12	12	
	Effort on Project	0.00%	2.00%	
PI/PODR	Person Months	8.00	8.00	
	Type App. (months)	12	12	
Senior Research Assistant	Effort on Project	10.00%	10.00%	
	Person Months	4.00	4.00	
Total Person Months Per Year		24	24	

- ❖ The PLOE must include:
 - Employee name (must be same spelling as on payroll)
 - Position title
 - Level of Effort

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PLOE Updates Best Practice



- FSR**
 - Update quarterly prior to submitting the FSR
 - Outgoing personnel who provided LOE for reimbursement should remain on the PLOE for
- NCE**
 - Ensure that the PLOEs are updated 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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No Cost Extension - PLOE

- Extension period for NCEs default to zero
- Update is required

DMH Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Program Coordinator	Effort on Project	0	0	12	12	24
	Type Appr. (months)			12	12	
	Person Months	0.00	0.00	12.00	0.00	12.00
Program Director	Effort on Project	12	12	12	12	48
	Type Appr. (months)	12	12	12	12	
	Person Months	12.00	12.00	12.00	0.00	36.00
Co-Program Director	Effort on Project	0	0	0	0	0
	Type Appr. (months)	0	0	0	0	
	Person Months	0.00	0.00	0.00	0.00	0.00
Project Assistant	Effort on Project	0	0	12	12	24
	Type Appr. (months)			12	12	
	Person Months	0.00	0.00	12.00	0.00	12.00
Project Assistant	Effort on Project	0	0	12	12	24
	Type Appr. (months)			12	12	
	Person Months	0.00	0.00	12.00	0.00	12.00
Project Assistant	Effort on Project	0	0	12	12	24
	Type Appr. (months)			12	12	
	Person Months	0.00	0.00	12.00	0.00	12.00
Project Assistant	Effort on Project	0	0	12	12	24
	Type Appr. (months)			12	12	
	Person Months	0.00	0.00	12.00	0.00	12.00
Total Person Months Per Year		0.00	0.00	36.00	0.00	36.00

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

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PERSONNEL LEVEL OF EFFORT Q&A

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TRAVEL EXPENSE CATEGORY



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Polling Question

Which of the following statements is true? *(Select all that apply)*

- A. To request reimbursement for actual meal expenses, travelers must provide itemized receipts for all meals, including those listed on lodging receipts.
- B. If a receipt includes multiple meals, the grantee must indicate which specific food and/or beverage is being claimed.
- C. In cases where a meal receipt is missing, the grantee must complete a missing meal receipt form.
- D. All the Above

Answer: D




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Home / Travel



Rules of the Road on the Road

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


Current Rates

Fiscal 2025 Travel Reimbursement Rates

Employees

In-State or Out-of-State Meals and Lodging	Refer to the U.S. General Services Administration's (GSA's) federal Domestic Maximum Per Diem Rates , effective Oct. 1, 2024. If the city is not listed, but the county is listed, use the daily rate of the county. For locations not listed (city or county), the daily rates are: • Lodging in state/out of state: up to \$110. • Meals in state/out of state: up to \$48.
In-State or Out-of-State Non-Overnight Meals	Not to exceed \$26 daily
Automobile Mileage	70 cents per mile (Jan. 1 - Dec. 31, 2025)
Aircraft Mileage	\$1.75 per mile (Jan. 1 - Dec. 31, 2025)

[GSA Per diem rates](#)



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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

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FSR - Travel Expense Checklist

-  All travelers are listed on the PLOE
-  Receipts are legible
-  Expenses are within GSA limits; copy of GSA rates for meals and lodging included
-  Taxi/Uber/Lyft receipts are included minus tips/gratuities

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FSR - Travel Expense Checklist



INTERNATIONAL TRAVEL MUST INCLUDE CPRIT APPROVAL (BUDGET JUSTIFICATION OR CHANGE REQUEST)



MEALS FOR DAY TRIPS ARE EXCLUDED

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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

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Foreign Currency

All foreign currency expenses **must** be:

- Converted to US dollar before CPRIT submission.
- Documentation of conversion rate included in supporting documents



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Foreign Currency – Inadequate Support Documentation

Hotel
 AT&T Hotel & Conference Center at the University of Texas (ID # 2169414)
 1900 University Avenue, Austin, TX 78705 US
 Phone: 1-512-404-1800
 Fax: 1-512-404-1800
 Check-in: 2/5/2024
 Check-out: 2/6/2024

Room details
 Room 1: (refundable)
 CONFIRMED for


Charges
 Cost per night in **RS\$ BRL**, (excluding taxes and fees):
 2/5/2024: **RS\$1,982.71 (Room 1)** = **RS\$1,982.71**
 Total per room **RS\$ BRL**, (excluding taxes and fees):
 Room 1: **RS\$1,982.71**
 Taxes: **RS\$37.06 BRL**
 Grand Total (including taxes and fees):
RS\$2,019.77 (BRL) PAID
 Service Fee: **BRL \$229.01** (Shown as a separate line item)

- This hotel receipt was submitted in foreign currency for a stateside conference.
- Conversion to US dollars was not provided.

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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 \$10,000

R&E Guide Reference:
10.6 Supplies - Expense Category




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Other Category Expenses




Printing and reproduction expenses



Services (e.g., animal cost care, gene synthesis)



Publication fees




Equipment warranties and service contracts


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Other Category Expenses




DNA sequencing, cloning, etc. services provided by a vendor



Conference/registration fees paid prior to travel dates



Postage and shipping services (FedEx, UPS), etc.



Allowable participant payments (e.g., gift cards, gas cards)

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Contractual Category

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

Support documentation required for contractual travel expenses

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

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Contractual Travel – Receipt Requirements

Meals, that are not per diem, and ground transportation receipts are required for contractual travel.

Meal Receipt:

- 8930 Multina
- CHK: 216723
- 8/17/2023 2:44 PM
- 1 FAJALIL PITA \$13.00
- SIDE SALAD \$14.33
- Food \$13.00
- Tax \$1.33
- Payment Change Due \$0.00
- Check Closed 8/17/2023 2:45 PM

Lyft Receipt:

- Thanks for riding with [redacted]!
- 100% of fees go to drivers. [View & Like](#)
- Lyft fare (2.18mi, 14m 17s) \$9.74
- Service Fee, includes a \$0.30 Lyft California Driver \$3.60
- Benefits Fee \$0.43
- SF Rideshare Tax
- MasterCard \$13.77

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Equipment Category

- ❖ Equipment expenses (unit cost of \$10,000 or more), **must** include acceptable CPRIT approval documentation.
- Initial Budget Justification with **equipment items highlighted**.
- Approved Change Request

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Example of Equipment Approval – Budget Justification

VEXLUM INVOICE

Date: 26.7.2022
 Invoice Number: 1074
 Bank Reference Code: [redacted]
 IBAN account number: [redacted]
 BIC: [redacted]
 Terms of Payment: 30 days net
 Due Date: 26.8.2022
 Interest Rate: 8 %
 Currency: USD
 Order Reference: #723

Product	Product Code	Amount	Unit	Unit Price	Excluding VAT	VAT-%
single-frequency visible laser	VALO_SHG_SF	45000.00	1 pcs	45000.00	45000.00	0
extended warranty total 2 years		9000.00	1 yr	9000.00	9000.00	0

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Example of Equipment Approval – Budget Justification

Remit via First Class Mail
 Leybold USA Inc.
 Dept CH-17773
 Palatine IL 60055-7723

Your purchase order: 722
 Tracking no: [REDACTED]
 UPS

We delivered with delivery note as listed below

Item	Catalog no.	Quantity	Description	Unit price USD	Total price USD
00150	840081V3300	1	TURBOVAC 850 IX / RD486 / DN 180 CF Turbomolekular Vacuum Pump	24,011.00	24,011.00 T
			Sp.Net - Discount 40.00%	14,406.60	14,406.60 T

Serial #: (31002849336)
 CURRENT LEAD TIME: 4-10 WEEKS ARO
 HTSUS: 8414100000

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Example of Equipment Approval – Budget Justification

Other Direct Charges	
Travel	\$5,000
Equipment (Itemized) Laser System - \$136,000 x 2 Wave-meter - \$100,000 x 1 Vacuum Pumps Turbo Pumps, Ion Pumps - \$20,000 x 5 Vibration Isolation Table - \$18,000 x 1 Mass Spectrometer - \$9,000 x 1	\$499,000
Supplies (Itemized by Category) Supplies include: raw yttrium material - \$25,000 single-use vacuum seals - \$5,000 collection slides - \$2,000 metal foils - \$1,000 chemicals - \$1,000 inert gases - \$1,000	\$35,000

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Example of Equipment Approval – Change Request

BILL TO: [REDACTED]

ORDER DATE	ORDER #	PAID IN ADVANCE #	ORDER DATE
09/16/2020	8902249967	3001817985	09/03/2020
09/08/2021	9001817985		
02/26/2024	8362057361	10 days 1%, 30 days 1%	
ORDER TOTAL	090202020	Finance Fee (2004)	€ 7,892.00

SHIP TO: [REDACTED]

E-mail address changes to [REDACTED] 1 WE 0

Unless governed by a separate written agreement, sales are subject to VWR standard terms and conditions. Visit www.vwr.com for complete details.

LINE	QUANTITY	DESCRIPTION	UNIT	UNIT PRICE	EXTENSION	DISCOUNT	TAX
1	1	MISC-INST-STD0 (898543) Almgren 7-30R 120V - Cell Culture Packaging Slip: 8362057361 808543 Almgren 7-30R 120V - Cell Culture Prep (Basket containing complete assembly of reference centrifuge, SX4800 empty bucket rotor, 1550Dm adapters (1 ea))	EA	7,478.00	7,478.00		0.00

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Example of Equipment Approval – Change Request


Change - Not Otherwise Specified

Equipment Purchase Request - Allegra X30R Centrifuge

In the original Budget for grant RP190507, we budgeted \$4,550 in supplies to purchase an E grant, we identified an existing Allegra centrifuge being utilized for work on this grant that the centrifuge will replace our current Allegra centrifuge that has reached end of life. We have di conditions on the Allegra platform; procuring another will allow us to directly transfer our met and effort of re-deriving conditions on a different machine. This centrifuge will provide missio Recombinant Antibody Production Core. We have developed and optimized protocols based suppliers would require us to spend significant time and effort on protocol redevelopment.

Total cost of the Allegra X30R centrifuge is \$7,892.00. We are requesting approval to report instead of the originally budgeted supplies category.

Quote for this equipment is uploaded to Ad Hoc Documents: Allegra Centrifuge X30R Quote



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MATCHING COMPLIANCE CERTIFICATION
(MCC)



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Matching Compliance Certification (MCC)

- Institutions of Higher Education, as outlined in the Texas Education Code §61.003, are permitted to utilize their Federal Indirect Cost Rate to meet matching requirements.
- Institutions of Higher Education are required to upload the most recent indirect cost rate agreement to each grant record.
- If the grantee uses a blended indirect cost rate calculation, they must have and adhere to a written internal policy.

ERC Detail Reference:
6.4 Matching Funds Certification and Verification
TAC §703.11 (b)



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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

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

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MCC – Deficiency

- ❖ Grantees may carry forward a one-time deficiency in matching funds to the next budget year if it is -
 - Equal to or less than 20% of total match requirement
 - Have no previous matching fund deficiency
- ❖ This is a one-time opportunity.

TAC § 703.11(a),(e),(f),(g),(h); 703.21(b)(2)(B)(i)

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Grantee Resources

The grantee resources page includes the sources of CPRT's requirements, such as statutory and administrative rule text, as well as guidance on how to understand and apply those requirements during a CPRT 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 CPRT using Red Flag Reporting.

Manage My Grant

- Rules and Statutes
- Policies and Procedures
- Training
- Funding Webinars
- Reporting Forms
- Reporting Fraud
- Resource Documents**

Resource Documents

The grant reporting resource documents listed here are designed to assist grantees in submitting accurate information and documentation for all expenses reported to CPRT.

- FSR Checklist for Academic Research
- FSR Checklist for Product Development
- FSR Checklist for Prevention
- FSR categories and required supporting documentation
- Standardized GL with FSR and match columns
- Match Eligibility Matrix**

Manage My GRANT
CPRTGRANTS.ORG

Upcoming Oversight Committee Meetings

- May 15, 2024
- August 21, 2024

Sign Up for Our Newsletter

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MATCHING COMPLIANCE CERTIFICATION
(MCC)
Q&A



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COMPLIANCE REVIEWS




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Compliance Reviews

Enhanced Desk Review	Onsite Review
<ul style="list-style-type: none"> • Internal controls • Past fiscal audit review • Timeliness of required grant reporting submission • Expenditure Sampling • Requested documents due 21 days from receipt of email 	<ul style="list-style-type: none"> • Grant related policies and procedures review • Financial and administrative operations • Expenditure Sampling • Equipment and subcontractor monitoring • Requested documents due 30 days from receipt of email



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Recommended Attendees for Onsite Visits

- ❖ The following personnel are requested for the onsite visits;
 - ASO
 - Financial Representative
 - Procurement Representative
 - Asset Control/Equipment Representative (if applicable)
 - Personnel Representative (if applicable)
 - Principal Investigator (PI)

(Demonstration of processes during the meeting is encouraged but not required)

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Compliance Review Requests

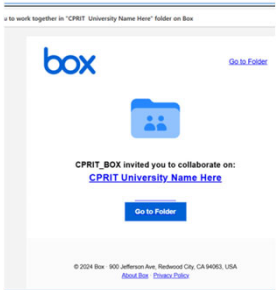
- ❖ An email will be sent out requesting the documents needed for the review
 - Enhanced Desk Review (EDR) – due 21 days from receipt of email
 - Onsite Review – due 30 days from receipt of email
- ❖ Documentation should be submitted
 - Following the labeling format (e.g., A 2 i. Financial Reporting Policy)
 - Via the CPRIT Box storage service – a link will be provided

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Upload Documents to Box

- ❖ When access is added, user receives an email
- ❖ Click on 'Go To Folder'
- ❖ If already signed in, you will go directly to the CPRIT folder that you are linked to

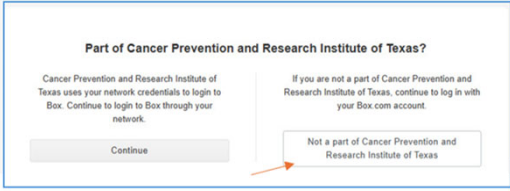


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Upload Documents to Box

- ❖ If not signed into Box.com, click on "Not part of Cancer Prevention and Research Institute of Texas".



Part of Cancer Prevention and Research Institute of Texas?

Cancer Prevention and Research Institute of Texas uses your network credentials to login to Box. Continue to login to Box through your network.

If you are not a part of Cancer Prevention and Research Institute of Texas, continue to log in with your Box.com account.

Continue

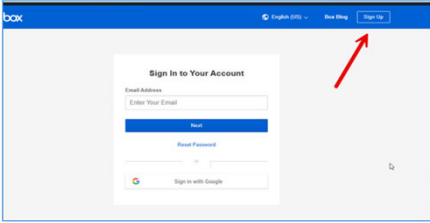
Not a part of Cancer Prevention and Research Institute of Texas

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Upload Documents to Box

- ❖ Sign in to your account.
- ❖ If you do not have a box.com account, click 'Sign Up'.
- ❖ Sign up under the email the invite was sent to.



Sign In to Your Account

Email Address

Enter Your Email

Reset Password

Sign Up

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**COMPLIANCE REVIEWS
Q&A**

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PROGRAMMATIC TOPICS



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Polling Question

Grantees can make transfers within budget categories without prior approval, if the total dollar amount of all changes are no more than what percentage of the line item?


- A. 5%
- B. 15%
- C. 10%
- D. None of the above



MONEY FLOW

Answer: C

No prior approval is needed for total changes that don't exceed 10% of line item.



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Polling Question

Which expenses require prior approval via a Change Not Specified (CNOS) to be eligible for reimbursement?

- A. Grantee membership that benefits CPRIT project
- B. Equipment purchase not in original budget
- C. Lab renovations
- D. Foreign travel
- E. All the above

Answer: E

All these expenses require prior approval to be eligible for reimbursement if they are not included in the original budget.



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Progress Reports

Ensure that Progress Reports contain accurate and complete impact data for Annual and Final reports

- 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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Annual Report – Common Errors

- ⚠ 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 - Lack of detailed performance data
- 🕒 Incomplete information - Repeated work from previous year, marks not aligned with timeline or anticipated activities

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CPRIT Acknowledgment


Funding
This work was conducted with support from [redacted] Cancer Prevention Research Institute of Texas (CPRIT) RP150587. [redacted] was supported by a Career Development Award (CDA 11-217) from the U.S. Department of Veterans Affairs. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.

- Printed and visual materials related to CPRIT funding should include CPRIT acknowledgment and grant ID.
- Publications not funded by CPRIT, should not be included in the progress report

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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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Aims / Sub Aims Change

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




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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) Continued



- 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
- The earlier the request is made, the better, although it must be submitted at least 30 days before the termination date and no more than 180 days before.
- The PD must exhibit measurable effort during an approved NCE


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Change in Principal Investigator (PI)

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



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Change in Principal Investigator (PI)


- Include resources (equipment, supplies, personnel) available to proposed PI
- Describe impact of change on the project goals and objectives, budget, key personnel, original timeline and CPRIT required reporting.
- Upload a revised budget and level of effort for all personnel in CGMS

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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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Change Not Otherwise Specified (CNOS)

- Presenting at a conference that was not specified in grant application
- Change in a subcontract agreement
- Foreign travel not specified in grant application
- Equipment purchase not specified in grant application




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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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GRANT SUPPORT

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Points of Contact

- **CGMS Technical Issues**
 - Contact CPRIT Helpdesk
 - Help@CPRITGrants.org
 - **Phone: 866-941-7146**
- **Programmatic/ Content questions**
 - Contact the CPRIT Program Manager
- **Financial Questions/Issues**
 - Contact CPRIT Finance Manager/ Grant Accountant

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Academic Research Program

CPRIT Grantee
 Annual Compliance Training
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