



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Academic Research Program

CPRIT Grantee
Annual Compliance Training
March 2026



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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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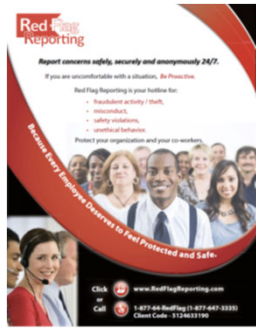
FRAUD, WASTE, & ABUSE

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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

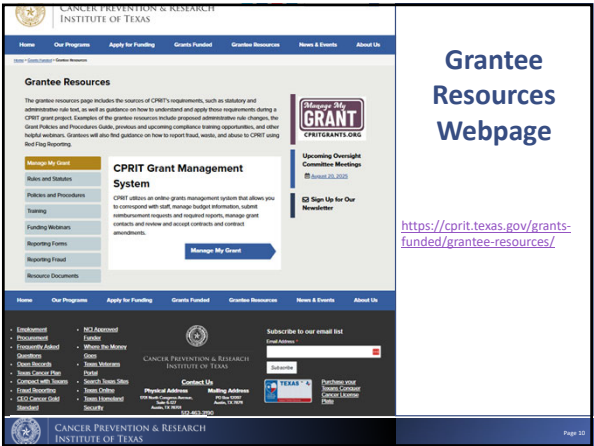
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ADMINISTRATIVE RULES AND POLICIES AND
PROCEDURES GUIDE

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Grantee Resources Webpage

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

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Grantee Resources Webpage Rules & Statutes Section

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

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Grantee Resources Webpage Policies & Procedures Guide Section

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

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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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Proposed Rule
Amendment §
703.24(f)

CPRIT will review and pay a Financial Status Report (FSR) within 30 days of receiving a correct and complete FSR from a grantee.

↓

CPRIT’s CEO may waive 30-day deadline.

↓

Anticipated adoption date in Tex. Admin. Code: March 2026



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Online Portal for Grantee Intellectual Property (IP) Reporting

-  Grantees must notify CPRIT of IP-related actions through the [CPRIT Intellectual Property \(IP\) Reporting Portal](#).
-  Refer to Attachment D of grant contract.
-  If you have any questions about the online portal for IP reporting, please contact ipreporting@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

Submitting required reports late may result in delays on reimbursements.

Answer: True



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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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Financial Status Report (FSR) Submission Requirements

- ❖ Due 90 days after state fiscal quarter
 - Can be submitted as early as the day after the fiscal quarter ends, up until the due date
- ❖ Summary of expenses from accounting system or in an Excel spreadsheet
 - Should include:
 - ✓ Expense categories
 - ✓ Itemized Expenses
 - ✓ Clear description of items
- ❖ All support documents should be in English



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Common Resubmission Issues

MISSING SUPPORT DOCUMENTATION

MISCATEGORIZED EXPENSES

UNCLEAR EXPENSE DESCRIPTION

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Missing Support Documentation

Change Request Approval (Equipment, foreign travel)

General Ledger

PLOE

Invoices

Time sheet information

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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

Summary

Pay Status: Paid

Supplier Invoice No.: 8816190758

Supplier Name:  VWR

Supplier Account No.: no value

PO business unit: 

PO Department: 28-BMEN (28-BMEN)

Invoice Owner: 

Invoice Date: 5/30/2024

Discount Date: no value

Due Date: 6/29/2024

Terms: 0, Net 30

Terms Discount: 0.00 USD

Invoice Name: no value

Report Reference A: no value

Report Reference B: no value

Summary - VWR

Supplier Invoice No.: 8816190758

View Supplier cXML

Total (\$41.14 USD)

Subtotal: 841.14

Discount: 0.00

Tax1: 0.00

Shipping: 0.00

Handling: 0.00

841.14

Related Documents

Purchase Order: A80917501

Requisition: 186649352

What's next?

4013 Supplies - Research	E-Supplies	841.14	p 53
4013 Supplies - Research	E-Supplies	111.98	

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Miscategorized Expenses

Common misclassification errors occur when “Other” expenses are allocated to “Supplies”.

- Warranty/Service Agreements (e.g., Apple Care)
- Services (e.g., Synthesis, Antibody Productions)
- Advertising



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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

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 CPRIT.

- 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
- Template for Product Development grantees for annual report



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FINANCIAL STATUS REPORT Q&A



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PERSONNEL / FRINGE EXPENSE CATEGORY

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Polling Question

Employees who work on administrative activities directly related to a grant award may be classified as:

A. Direct costs and budgeted under the Personnel budget category

B. Indirect costs and budgeted under the Indirect budget category

Answer: A.

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Salary Cap

The annual salary (also referred to as direct salary or institutional base salary) that an individual may be reimbursed from a CPRIT award is limited to a maximum of \$200,000

Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs

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

P&P Guide Reference:
9.5.2 Salary Limits

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Fringe Benefits

Examples of fringe benefits include the employer portion of FICA and Medicare, the cost of employee insurance, pensions, and unemployment benefit plans.

Fringe benefits may not exceed 35% of total salary expense for the period being reported.

Grantees reporting pooled fringe benefits using a federally approved rate can submit the total fringe amount for each employee without detailing the types of benefits. Include a copy of the agreement effective during the FSR reporting period, outlining the pooled benefit categories.

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Timesheets

 Timesheets must be signed by the employee and supervisor having first-hand knowledge of the activities performed by the employee

 An electronic signature on time sheets is acceptable

P&P Guide Reference:
10.2.2.1 Time Sheets/Other Records of Actual
Hours Worked

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PERSONNEL LEVEL OF EFFORT (PLOE)

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Personnel Level Of Effort (PLOE) – Myth vs Fact

Myth

Only employees receiving salary and fringe benefits should be included on the PLOE.

Fact

Employees eligible for travel expense reimbursements should also be listed on the PLOE as “Travel Only”

Employees eligible for stipend reimbursements should also be listed on the PLOE as “Stipend Only”

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Personnel Level Of Effort (PLOE)

Personnel		Year 1	Year 2	Year 3	Year 4	Total Person Months Per Period
Senior Key Person and Other Personnel	Employee Name					
	Position Title					
	Level of Effort (LOE)					
	Person Months					
Co-Investigator	Type App (months)	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
	Type App (months)	12	12			
PI/PO/CR	Type App (months)	12	12			
	Effort on Project	10.00%	10.00%			
	Person Months	1.20	1.20			2.40
	Type App (months)	12	12			
Senior Research Assistant	Effort on Project	50.00%	50.00%			
	Person Months	6.00	6.00			12.00
	Total Person Months Per Year	7.20	7.20			14.40

- Employee name (must match payroll ledger)
- Position title
- Level of Effort
- 'Stipend Only' or 'Travel Only' - applies to employees with 0% Level of Effort (LOE) who are eligible for reimbursement of those expense types

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No Cost Extension - PLOE

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

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

Personnel		Year 1	Year 2	Year 3	Year 4	Total Person Months Per Period
Other Personnel	Employee Name					
	Position Title					
	Level of Effort (LOE)					
	Person Months					
Program Contributor	Type App (months)	0	0	0	0	0
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type App (months)	12	12			
Co-Program Director	Type App (months)	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
	Type App (months)	12	12			
Program	Type App (months)	0	0	0	0	0
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type App (months)	12	12			
Co-PI	Type App (months)	0	0	0	0	0
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type App (months)	12	12			
Program Contributor	Type App (months)	0	0	0	0	0
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type App (months)	12	12			
Project Assistant	Type App (months)	0	0	0	0	0
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type App (months)	12	12			
PI/PO/CR	Type App (months)	0	0	0	0	0
	Effort on Project	50.00%	50.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type App (months)	12	12			
Project Assistant	Type App (months)	0	0	0	0	0
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type App (months)	12	12			
Total Person Months Per Year		0.00	0.00	36.00	0.00	36.00

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Best Practice - PLOE Updates

✓

Update quarterly prior to submitting the FSR

🔍

Ensure that 'Stipend only' or 'Travel only' is included for employees with 0% effort who qualify for expense type reimbursement

✳️

Outgoing personnel who provided LOE for reimbursement should remain on the PLOE for compliance purposes

📄

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

💰

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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Home / Travel

text

travel

Rules of the road on the Web

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 \$130. - Meals in state/out of state: up to \$68.
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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Domestic Travel Per Diem Rates – GSA.gov

Per diem rates

Overview

FY 2025 per diem highlights

FAQs

Per diem files

M&IE breakdowns

Factors influencing lodging rates

Per diem boundaries

Fire safe hotels

Per diem contacts

Per diem rates

We establish the per diem rates that federal agencies use to reimburse their employees for lodging and meals and incidental expenses incurred while on official travel within the 48 continental United States. A standard rate applies to most of CONUS. Individual rates apply to about 300 non standard areas. Most NSAs are a key city/primary destination and the surrounding county. Rates for the coming federal government fiscal year are typically announced in mid August. Search the rates below or refer to the [GSA file](#), [GSA IT](#), or [trip calculator](#).

Search by city, state, or ZIP code

Required fields are marked with an asterisk (*).

For fiscal year:*

2025 (Current fiscal year)

State: City:

OR

ZIP:

Find rates

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Foreign Travel Approval

International travel requires prior approval for each trip.

- Original Budget
 - International travel is considered approved if the grantee specified the specific international travel in the budget justification of the original grant application that received approval through CPRIT's peer review process.
- CNOS
 - The grantee is required to obtain approval by submitting a request through the "Change Not Otherwise Specified" form in CGMS/CARS prior to the travel taking place for each international trip identified after the contract is executed.

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Foreign Travel

GSA U.S. General Services Administration [Per diem lookup](#)

Buy through us ▾ Sell to government ▾ Real estate ▾ Policy and regulations ▾ Small business ▾ Travel ▾ Technology ▾ About us

[Home](#) ▾ [Travel](#) ▾ [Plan a trip](#) ▾ [Per diem rates](#)

For approved international travel:
 CPRIT will reimburse for **actual** costs of meals and lodging up to the maximum rate allowed by the U.S. Dept. of State.

Receipts should be submitted with reimbursement request



The Department of Defense sets rates for Alaska, Hawaii, and U.S. territories and possessions. Visit the [DDO site](#).

The Department of State sets foreign rates. Visit the [Department of State site](#).

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Travel Expense Report Requirements

A separate travel expense report must be submitted for each trip. The supporting documentation should include:

- Grantee Name
- Traveler's Name
- Date(s) of travel
- Purpose of the travel
- Itemization of expenses

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Travel Expense Report Requirements

Travel expenses covered by the institution, including airfare, accommodation, or conference registration fees, should include:

- The purpose of the trip
- Approval from the supervisor



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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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Ineligible Travel Costs

-  Alcohol or gratuities
-  Airfare costs that exceed coach class
-  Foreign travel without prior CPRIT approval
-  Travel outside of the PLOE period or grant contract effective dates.
-  Employee traveling not listed on Personnel Level of Effort (PLOE)
-  Meals for non-overnight travel



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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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TRAVEL EXPENSE CATEGORY
Q&A

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SUPPLIES, OTHER, CONTRACTUAL
& EQUIPMENT

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Polling Question

What are the two budget categories with the highest number of mis-categorization errors?

A. Personnel and Fringe

B. Supplies and Equipment

C. Other and Contractual

D. Supplies and Other

Answer: D

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Supplies and Other Category Expenses

<u>Supplies Category</u>	<u>Other Category</u>
- 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	- Printing and reproduction expenses - Services (e.g., animal cost care, gene synthesis) - Publication fees - Equipment warranties and service contracts - DNA sequencing, cloning, etc. services provided by a vendor - Conference/registration fees paid prior to travel dates - Postage and shipping services (FedEx, UPS), etc.

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Contractual and Equipment Category Expenses

<u>Contractual Category</u>	<u>Equipment Category</u>
- Itemized expense report for all contractual expenditures - Contractual Travel - o Itemized Amounts - Airfare - Mileage - Lodging - o Receipts (minus gratuity and tips) - Meals (if not claiming per diem) - Ground transportation (e.g., Lyft, Uber)	- Unit cost of \$10,000 or more - Including, - o freight and shipping costs - o any necessary modifications, attachments, accessories - o or auxiliary apparatus necessary to make the property usable - Support documentation <u>must</u> include approval via - o budget justification or - o Change Not Otherwise Specified (CNOS)

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MATCHING COMPLIANCE CERTIFICATION (MCC)

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Matching Compliance Certification (MCC)



Institutions of Higher Education are permitted to utilize their Federal Indirect Cost Rate to meet matching requirements (TEC §61.003)



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.

IRP Grantee Reference:
6.4 Matching Funds Certification and Verification
TAC §703.11 (b)



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MCC - Support Documentation

Submit all match support documentation to CGMS at the time the MCC form is submitted, and include;

- Match General Ledger in Excel format
- Invoices related to Match expenses
 - *Work is considered closely related if it supports, extends, or facilitates the project, even if not directly funded by CPRIT.*
- Timesheets/Certifications
- Proof of Payment

IRP Grantee Reference:
6.4 Matching Funds Certification and Verification
TAC §703.11 (b)



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MCC – Deficiency (*Only one allowed during grant life cycle*)

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

TAC § 703.11(a)(1)(B)(iii) 2019-21 (5/2/2019)



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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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PROGRAMMATIC TOPICS

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Polling Question

Which is NOT a change request type?

- A. Advancement of Funds
- B. Change – Not Otherwise Specified
- C. Change in Personnel
- D. Change to Report Due Dates
- E. No Cost Extension

Answer: D

Report due dates will not change unless grant is in early termination or close out status.



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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

Printed and visual materials associated with CPRIT funding must include acknowledgment of CPRIT and the grant ID.

Publications that are not funded by CPRIT should be excluded from the progress report.

Funding

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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

Any alterations in the design or specific objectives that may lead to a revised scope of work require approval from 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)

Not automatically approved

Include new requested End Date

If more than 6 months are being requested, mention additional months in the first sentence of the justification

The request must be submitted at least 30 days before the termination date

The PI 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 Application Administrative Checklist

- ☐ 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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CONTACT INFORMATION

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Academic Research Program

CPRIT Grantee
Annual Compliance Training
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