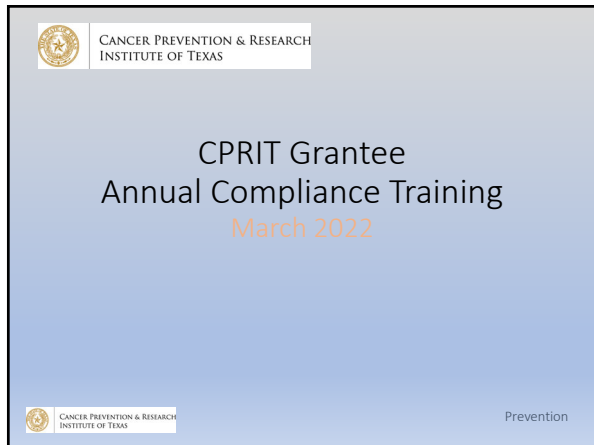
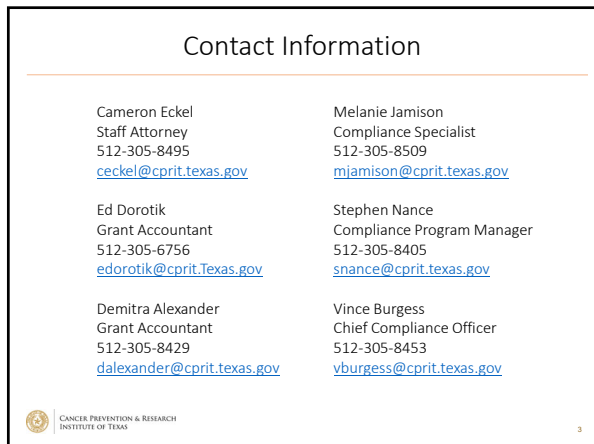


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3

Programmatic Contact - Prevention

Ramona Magid
Chief Prevention Officer
512-305-8417
rmagid@cpr.it.texas.gov



4

4

Training Overview

- Introductions
- FWA Reporting
- Policy and Procedure Guide Overview
- Recent Administrative Rule Changes
- Required Reporting
- Programmatic Topics



5

5

Fraud, Waste, & Abuse



6

6

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



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.
Report today. 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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Policies & Procedures

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Sources for 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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Grant Policies & Procedures Guide


- Rules
- Statute
- Grant Contract
- Texas Grant Management Standards (formerly Uniform Grant Management Standards)



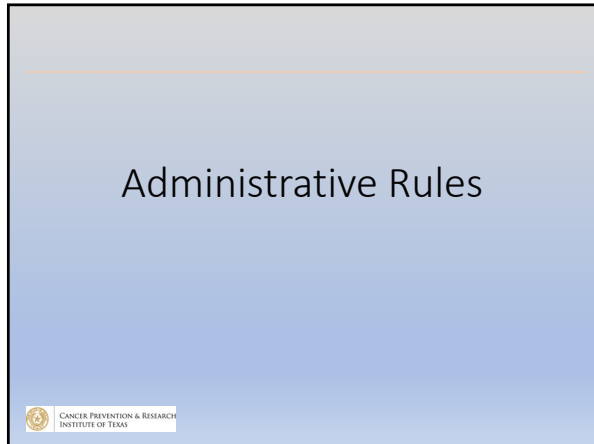
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Emphasis on *Guide*

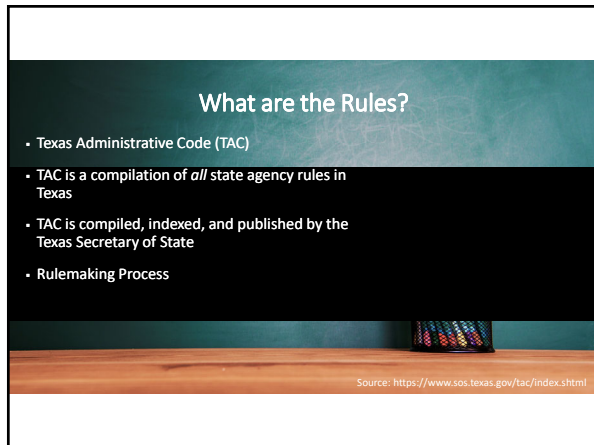
- The Grant Policies & Procedures Guide is only a *resource*
- The Grant Policies & Procedures Guide is not an authoritative source
- CPRIT's rules, statute, and grant contract each outweigh the Guide



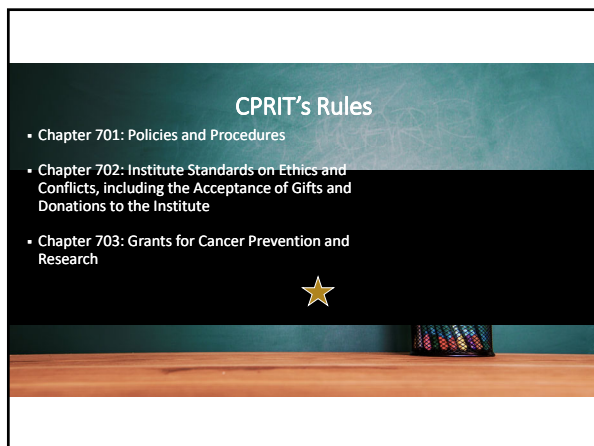
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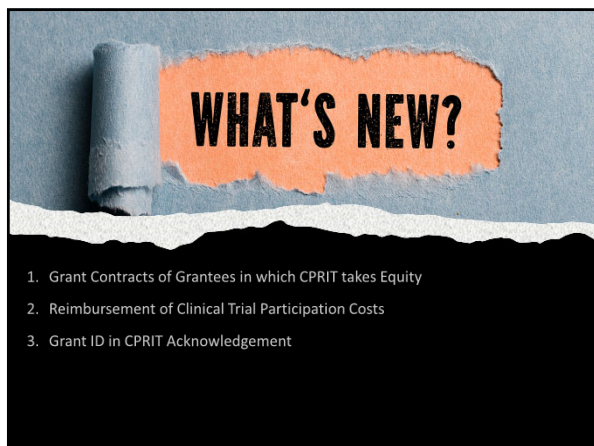
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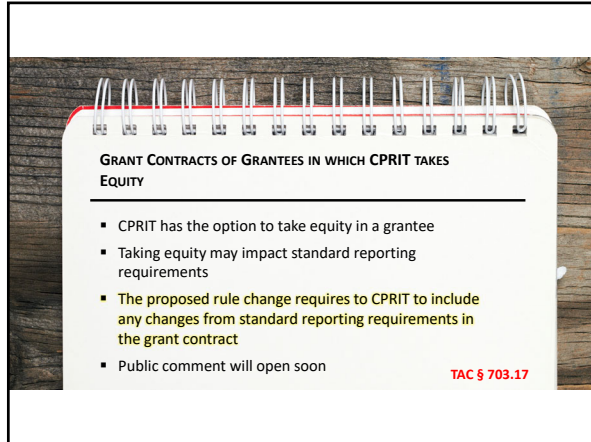
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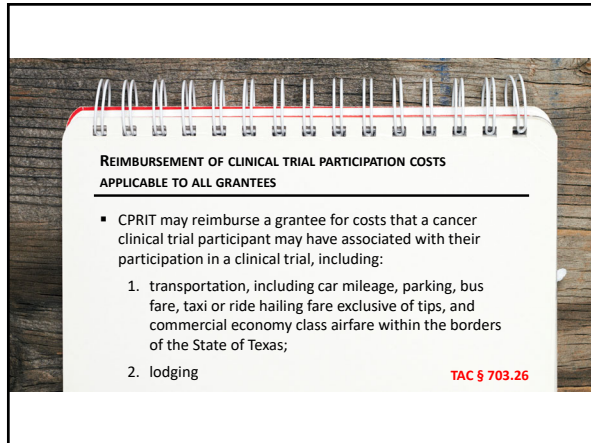


GRANT CONTRACTS OF GRANTEEES IN WHICH CPRIT TAKES EQUITY

- CPRIT has the option to take equity in a grantee
- Taking equity may impact standard reporting requirements
- The proposed rule change requires to CPRIT to include any changes from standard reporting requirements in the grant contract
- Public comment will open soon

TAC § 703.17

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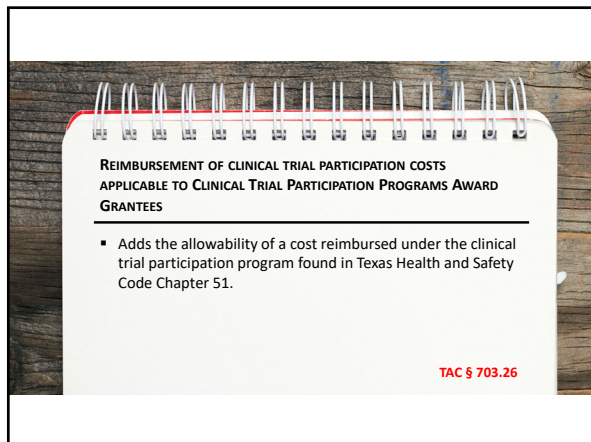


REIMBURSEMENT OF CLINICAL TRIAL PARTICIPATION COSTS APPLICABLE TO ALL GRANTEEES

- CPRIT may reimburse a grantee for costs that a cancer clinical trial participant may have associated with their participation in a clinical trial, including:
 1. transportation, including car mileage, parking, bus fare, taxi or ride hailing fare exclusive of tips, and commercial economy class airfare within the borders of the State of Texas;
 2. lodging

TAC § 703.26

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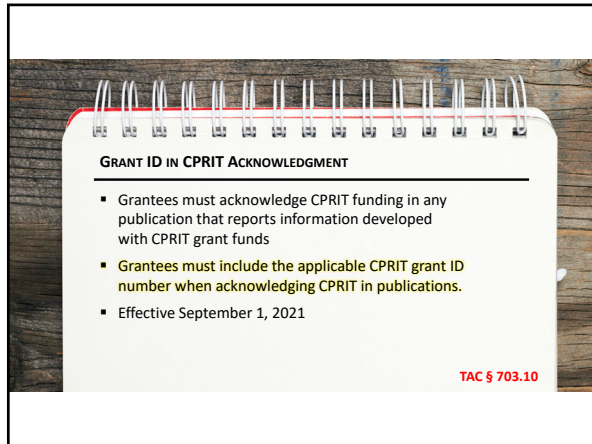


REIMBURSEMENT OF CLINICAL TRIAL PARTICIPATION COSTS APPLICABLE TO CLINICAL TRIAL PARTICIPATION PROGRAMS AWARD GRANTEEES

- Adds the allowability of a cost reimbursed under the clinical trial participation program found in Texas Health and Safety Code Chapter 51.

TAC § 703.26

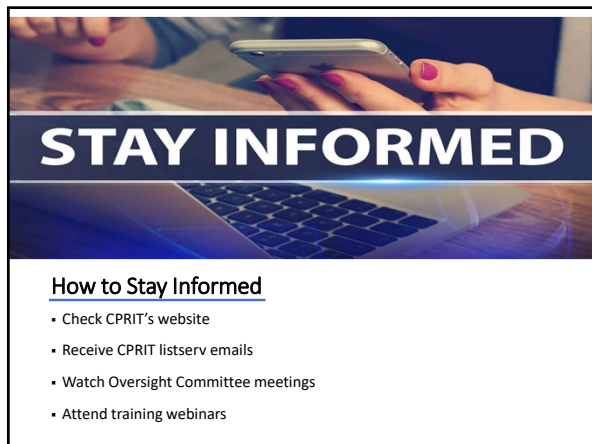
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Administrative Rule Changes


Q & A

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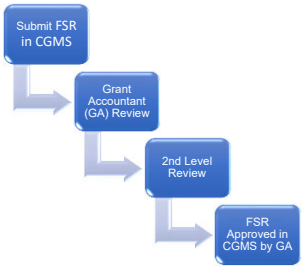
Financial Status Reports (FSR)

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FSR Review and Approval Process



```
graph TD; A[Submit FSR in CGMS] --> B[Grant Accountant (GA) Review]; B --> C[2nd Level Review]; C --> D[FSR Approved in CGMS by GA];
```

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FSR – Checklist


- Expenses are paid within FSR period (cash basis)
[7.6.3 Cash Basis Accounting](#)
- Payment date is included for all transactions
- FSR amounts match ledger totals by expense category

Best Practice

①

②

③



P&P Guide Reference:
9.4 Determining if a Cost is Allowable

2

8

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FSR – Checklist

- Supporting documents are scanned in the same order as the transaction listing
- Supporting documents are legible
- Expenses are allowable

Best Practice

①

②

③



P&P Guide Reference:
9.4 Determining if a Cost is Allowable

2

9

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FSR – Checklist

- Invoice amounts match amounts shown on the ledger. Partial charges are explained on the invoice
- Expenses are properly categorized
- Justification provided for prior period expenses

Best Practice

①

②

③



P&P Guide Reference:
9.4 Determining if a Cost is Allowable

3

0

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FSR - Support Documentation

- Identify the amount charged to CPRIT when less than invoice amount.

Item Total	USD	3,430.00
Gross Value		3,430.00
Net Value		3,430.00
Shipping Fees		14.50
Total Solution Cr.		1,166.00
Amount Paid	USD	2,278.52
\$2,000 charged to CPRIT & paid		USD 2,278.52

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FSR - Allowable Costs

Costs should be:



Reasonable - Section 9.4.1

Allocable - Section 9.4.2

Adequately documented - Section 9.4.6

Note: CPRIT is responsible for making the final determination regarding whether an expense is an allowable expense

P&P Guide Reference:
9.4 Determining if a Cost is Allowable

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FSR – Examples of Unallowable Costs


- Individual Professional Membership fees
- Alcohol
- Tips & Gratuities
- Bad debt
- Lobbying costs
- Entertainment


P&P Guide Reference:
9.4 Determining if a Cost is Allowable

33

FSR - Reporting

- No disbursement of grants funds will be made until all required financial and programmatic reports are approved
- If errors are made and adequate information is not provided, report will be disapproved and sent back for rework
- Allow enough time for ASO approval and submission before deadline




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Financial Status Reports Q & A

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Equipment


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FSR – Equipment

- Include documentation of CPRIT approval for all equipment expenses
 - Initial Budget Justification
 - Change Not Otherwise Specified (CNOS)



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FSR – Equipment


- Initial Budget Justification-include copy with FSR support and match amount to equipment on invoice:

LINE	PART ID	DESCRIPTION	UM	TAX	QUANTITY	UNIT PRICE	EXTENSION
1	NS0001	NanoAssembler Spark Instrument	EA	R	✓ 1.0000	25,116.00	✓ 25,116.00
2		FREIGHT CHARGE	EA	N	0.0000	0.00	78.50

Detailed Budget for Year One

Other Direct Charges	
Travel	\$3,000
Equipment (Itemized)	\$50,000

Funds are requested to upgrade several instruments to optimize manufacturing and to enhance efficiency [Precision NanoSystems NanoAssembler] Agilent TapeStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).

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FSR – Equipment

- Change Not Otherwise Specified—include copy with CPRIT approval:

Change Requests

Grant ID: [REDACTED]
PI/PO/CA: [REDACTED]

Grant Title: [REDACTED]
Organization: [REDACTED]

Grant Information

Contracts

Documentation & Reports

Correspondence & Notices

Internal Review

Revisions & Comments

Program Reports

Change Requests

Back to Change Requests

Change Request Details

Change - Not Otherwise Specified

I am requesting to re-budget funds allocated to subcontracts to purchase a tissue microarray (TMA) tool.

Justification:

The existing equipment is a 10-year old TMA tool that is no longer functional and has reached the end of its useful life. The requested TMA tool is a newer model that will improve the quality and efficiency of the research.

Review/Revise and Comments/Revised Data Submitted


2022-02-07 09:45 Complete Web Form [REDACTED]

2022-02-07 09:45 Verify Information [REDACTED]

2022-02-07 09:45 Add Review [REDACTED]

2022-02-07 10:05 Grant Manager Review [Approved] - Monia, Patty (Grant Manager)

2022-02-07 10:07 Contract Manager Review [Approved] - Nelson, Lisa (Contract Manager)

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FSR - Travel Expense Checklist


➤ Meals expenses supported by itemized receipts unless using per diem

➤ Split receipts with multiple meals

➤ Exclude Group meals

➤ Exclude gratuities and alcohol



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FSR - Travel Expense Checklist


➤ Meals and lodging expenses are within GSA limits

➤ Support includes copy of GSA rates for meals and lodging

➤ Taxi/Uber/Lyft receipts are included minus gratuities

➤ Receipts are legible



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FSR - Travel Expense Checklist

➤ International travel expenses include CPRIT approval (must provide with FSR)


➤ Initial Budget Justification

➤ Change Not Otherwise Specified

➤ All travelers are listed on the PLOE

➤ Meals for day trips are excluded




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FSR – Ineligible Travel Costs

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



P&P Guide Reference:
10.4.3.2 Meal Expenses
10.4.1 Allowable Travel Costs

46

FSRs - Foreign Currency

- Submit requests for reimbursement in United States dollar amounts
- If the original cost is in a foreign currency, the Grant Recipient must convert the cost to U.S. dollar amount and provide documentation of the exchange rate used for the conversion




P&P Guide Reference:
10.4.4 International Travel Requires Prior Approval

47

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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FSR - Travel
Q & A




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Financial Status Reports –
Personnel / Fringe



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FSR-Personnel/Fringe

- Timesheets are signed by employee and supervisor
- Payroll ledger included and it ties to GL
- All employees are listed on PLOE with Level of Effort for current award year
- Fringe expenses are listed by category for each employee

Best Practice

①

②

③





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FSR-Personnel/Fringe

Timesheets / Records of Actual Time Worked

- Time sheets or other records of actual hours worked must:
- Reflect an after-the-fact distribution of the actual time spent on each activity



P&P Guide Reference:
10.2 Personnel Expense Category

52

Personnel Level of Effort (PLOE)

53

PLOE - Checklist

- PLOE is updated prior to submitting FSR
- Each employee with salary/fringe has Level of Effort for current award year
- All employees with travel, tuition, stipend and conference fees are listed on the PLO



P&P Guide Reference:
5.5.8 Personnel Level of Effort Form

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PLOE - Checklist

PLOE change requests contain all the following elements:

- type of appointment
- number of months
- % effort
- justification for the change

Budget Summary		Start Year	End Year	Accountant of Effort	Effort Period	Personnel	Other Resources	Information for all 3 categories
Personnel Level of Effort								
Describe Person and Other Personnel				Level of Effort (LOE)		Total Person Months Per Person		
First Name	Last Name	Role on Project		Year 1	Year 2			
	Principal Investigator	Year 1: Monthly		12	12			
		Effort on Project		0.00%	0.00%			
		Person Months		0.00	0.00	0.00		
		Total Person Months Per Person		0.00	0.00	0.00		
	PI/COPI	Year 1: Monthly		12	12			
		Effort on Project		0.00%	0.00%			
		Person Months		0.00	0.00	0.00		
		Total Person Months Per Person		0.00	0.00	0.00		
	Senior Research Associate	Year 1: Monthly		12	12			
		Effort on Project		0.00%	0.00%			
		Person Months		0.00	0.00	0.00		
		Total Person Months Per Person		0.00	0.00	0.00		
				Total Person Months Per Person		0.00		

Enter information for all 3 categories

P&P Guide Reference:
5.5.8 Personnel Level of Effort Form

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PLOE

reminder

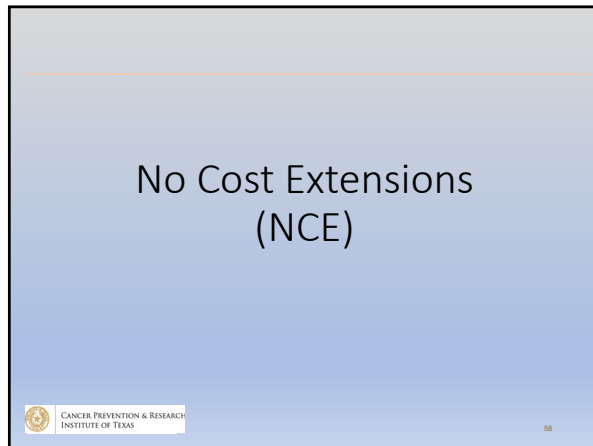
When grant moves to closeout status from active status (equivalent to the contract end date), the PLOE **cannot** be revised in CARS-CGMS, and any expenses related to personnel not listed on the PLOE **will not be reimbursed**

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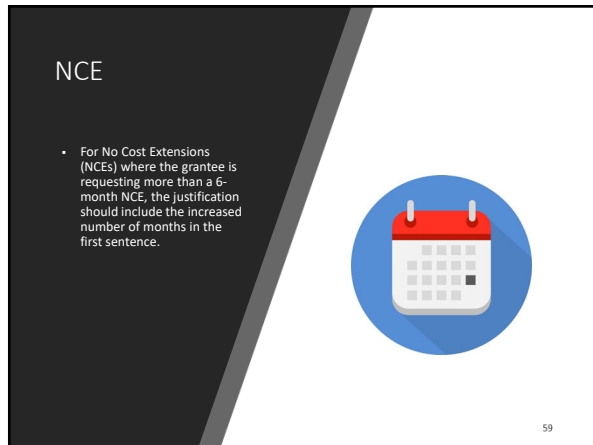
Personnel Level of Effort Form

Q & A

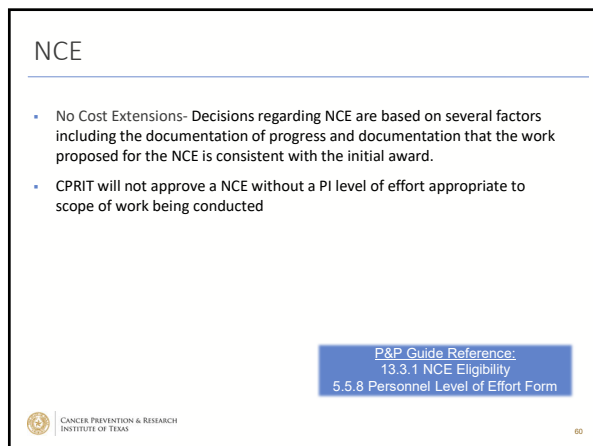
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NCE

- For No Cost Extensions (NCEs) the **PLOE comes in as a zero by default** – make sure PLOEs are current and accurate for NCEs

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NCE

Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Blank on Project	Type Appl. (months)	0	0	0	0	
Program Coordinator	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type Appl. (months)	12	12	12	12	
Co-Program Director	Effort on Project	0.00%	0.00%	0.00%	0.00%	
	Person Months	0.00	0.00	0.00	0.00	0.00
	Type Appl. (months)	0	0	0	0	
Project Asst.	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type Appl. (months)	0	0	12	0	
Program Asst.	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type Appl. (months)	12	12	12	12	
Co-Program	Effort on Project	0.00%	0.00%	0.00%	0.00%	
	Person Months	0.00	0.00	0.00	0.00	0.00
	Type Appl. (months)	0	0	0	0	
Program Coordinator	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type Appl. (months)	0	0	12	0	
Project Assistant	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type Appl. (months)	12	12	12	12	
PI/PO/CI	Effort on Project	50.00%	50.00%	50.00%	0.00%	
	Person Months	6.00	6.00	6.00	0.00	18.00
	Type Appl. (months)	0	0	0	0	
Project Assistant	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
	Type Appl. (months)	0	0	12	0	
Total Person Months Per Year		7.00	8.12	22.00	N/A	45.00

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Progress Reporting

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Progress Reporting

Publications

- Acknowledgement of CPRIT funding if research being conducted and/or prevention project is related to CPRIT funding
- Include at least one grant ID for all publications submitted for publication

P&P Guide Reference:
5.10 Acknowledgement of CPRIT Funding

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Progress Reporting

Annual and Final Progress Report Instruction

- Instructions accessible on any tab of the annual or final progress report
- Detailed updated instructions are now available


Progress Reports

Annual Progress Report Grant Year Ending 30 Aug 2021 Back to Progress Reports Print to PDF **Instructions**

Key Accomplishments Summary of Goals and Objectives Client Stories and Quotes Materials Produced Publications

Key Accomplishments


*** Key Accomplishments:**
Provide a numbered list of up to 8 key accomplishments during the reporting period.



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Programmatic Topics



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Change of Approved Goals and Objectives



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

P&P Guide Reference:
11.3 Goals and Objectives

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Project Coordinator

- Send contact info to CPRIT Prevention
- Project Coordinator can use the Alternate Submitter role in CGMS

My Profile | My Grants | Current Funding Opportunities | Feedback

Register

Click on the [help](#) icon for information/assistance in completing a given field.
Please fill in the form below to create an account on the system. Users should only have one account each. If you already have a user account, please [login here](#).

Account Info

The entries marked with * are required

Salutation *

First Name *

M.I.

Last Name *


Suffix *

Login/Username * (No spaces)

Password * New Password *

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Grant Support



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Points of Contact

CARS/CGMS Technical Issues?
 Contact CPRIT Helpdesk
 Email: Help@CPRITGrants.org
 Phone: 866-941-7146

Programmatic/ Content questions?
 Contact the CPRIT Program Manager/Officer

Financial Questions/Issues?
 Contact CPRIT Finance Manager/ Grant Accountant


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Contact Information

Cameron Eckel Staff Attorney 512-305-8495 ceckel@cprit.texas.gov	Melanie Jamison Compliance Specialist 512-305-8509 mjamison@cprit.texas.gov
Ed Dorotik Grant Accountant 512-305-6756 edorotik@cprit.texas.gov	Stephen Nance Compliance Program Manager 512-305-8405 snance@cprit.texas.gov
Demitra Alexander Grant Accountant 512-305-8429 dalexander@cprit.texas.gov	Vince Burgess Chief Compliance Officer 512-305-8453 vburgess@cprit.texas.gov

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CPRIT Grantee Annual Compliance Training

March 2022

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Prevention

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