CPRIT Grantee Annual Compliance Training

March 2023

Academic Research

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

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Training Overview

- Introductions

- FWA Reporting

- Recent Administrative Rule Changes

- Policies and Procedures Guide Overview

- Required Reporting

- Programmatic Topics

Fraud, Waste, & Abuse

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Fraud, Waste, & Abuse

How do I Make a Report?

Use Client Code #5124633190

(Users can remain anonymous)

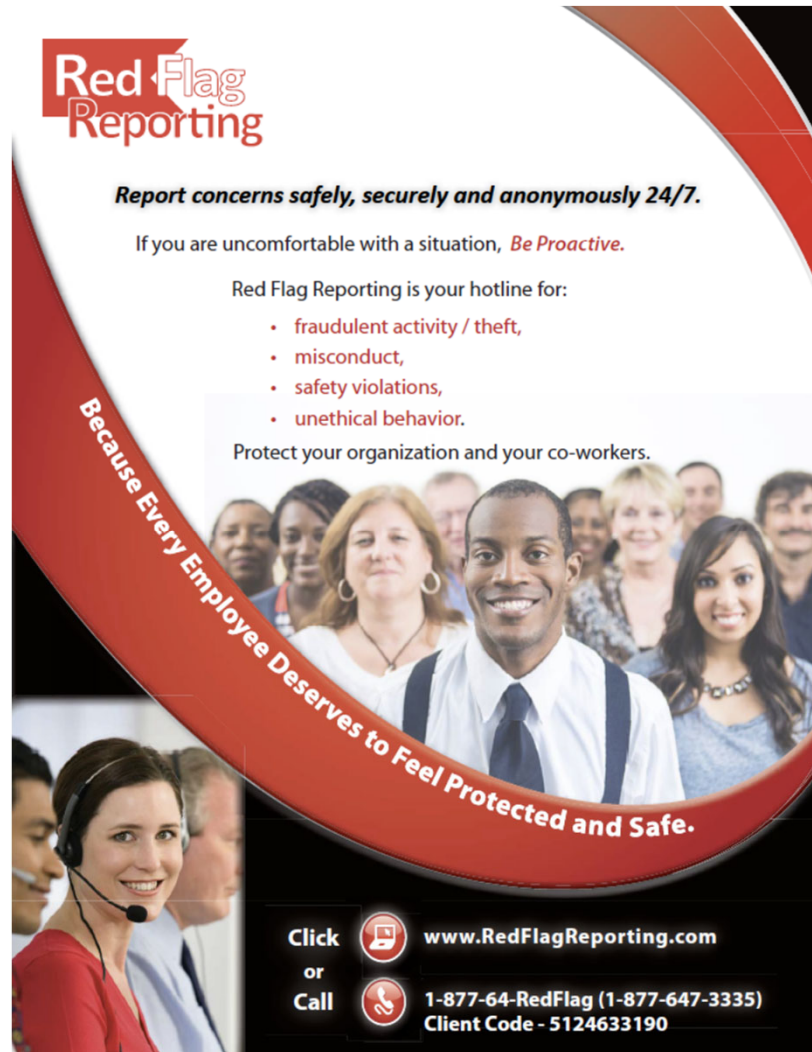| Call	1-877-64-RedFlag (1-877-647-3335)
Online	www.RedFlagReporting.com

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Fraud, Waste, & Abuse

Administrative Rules

How to Stay in the Know

☑ Check CPRIT's website

☑ Receive CPRIT listserv emails

☑ Watch Oversight Committee meetings

☑ Attend training webinars

Recent Administrative Rule Changes

Corrections to Financial Status Report (FSR) Supporting Documentation

Eligible Grantee Matching Funds

Texas Grant Management Standards

Corrections to Financial Status Report (FSR) Supporting Documentation

§703.24(a)(5)

- Requires a grantee to submit corrections to FSR supporting documentation within five (5) business days after CPRIT makes the request.

- If a grantee does not meet the deadline then CPRIT may disapprove the FSR.

- Public comment period closed on October 3rd

- The Oversight Committee will consider adopting this rule change at the November 16 meeting.

Eligible Grantee Matching Funds

§ 703.11(c)(7)

- Adds relocation costs to Texas as a source of encumbered funds that a grantee may use to fulfill their matching funds requirement.

- Public comment period closed on October 3rd

- The Oversight Committee will consider adopting this rule change at the November 16 meeting.

Texas Grant Management Standards

§§ 703.10, 703.15, and 703.26

- Replaces references to Uniform Grant Management Standards with Texas Grant Management Standards (TxGMS) in CPRIT's administrative rules.

- CPRIT looks to TxGMS when there is not an agency-specific administrative rule.

- Public comment period closed on October 3rd

- The Oversight Committee will consider adopting this rule change at the November 16 meeting.

Administrative Rule Changes

Q & A

CPRIT Policies & Procedures Guide

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)

CPRIT's website is the best place to find the current rules and P&P Guide

https://cprit.texas.gov/about-us/statute-rules-and-grant-policies-guide/

Policies & Procedures Guide Overview

Table of Contents

Policies & Procedures Guide

CPRIT Policies and Procedures Guide
Chapters Covered Today

Chapter	Topic
5	Grant Contracts
6	Required Grant Reports
9	Allowable Costs
10	Grantee Budget/Expense Categories and Required Documentation
13	Termination, Extension, and Closeout of Grant Contracts

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Chapter 5: Grant Contracts

Personnel Level of Effort
(PLOE)

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Polling Question

As a general rule, you should update the personnel level of effort form once a year:

- True or False

Answer: False

Polling Question

Do employees whose salaries and fringe are charged to the grant need to be listed on the PLOE?

Answer: YES

PLOE Checklist

- PLOE **must be updated prior** to submitting FSR

- Each employee with salary/fringe has Level of Effort for current award year

- All employees with travel, tuition, stipends and conference fees are listed on the PLOE

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

Enter information for all 3 categories

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

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PLOE Recap

- **Update PLOE prior to submitting FSR**

- **When grant moves to <u>closeout status</u>**

  o **PLOE cannot be revised in CGMS**

  o **Expenses related to personnel not updated on the PLOE will not be reimbursed**

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Personnel Level of Effort
Q & A

Chapter 6: Required Grant Reports

Polling Question

All CPRIT required reports should be submitted on an annual basis?

- True or False

Answer: False

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

Periodic

- Interim/ Tranche Report (PD Grantees)

Chapter 5: Grant Contracts

Chapter 6: Required Grant Reports

Progress Reports

Progress Reports

Ensure that Progress Reports contain accurate and complete impact data.

This includes, but is not limited to:

- Publications
- Follow-on funds
- Patents
- Clinical trials
- Research training award data

Progress Reports – Common Errors

Incomplete report

Overlap with previous reports

Duplicate entries (publications, jobs, etc.)

Inconsistencies between narrative and data entered

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.

CPRIT Acknowledgment

P&P Guide Reference:
5.10 Acknowledgement of CPRIT Funding

Chapter 6: Required Grant Reports

Matching Compliance Certification
(MCC)

Polling Question

Which items are allowable match expenses?

A. Travel expenses that exceed the GSA per diem limit on hotel rates or meals

B. Short-term travel visa fees and associated costs for an employee listed on the PLOE

C. An employee's salary amount that exceeds CPRIT's $200,000 cap

D. Grantee professional association fees or dues

E. None of the above

F. All of the above

Answer: F

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

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

MCC Support Documentation

At the time the MCC form is completed and uploaded to CGMS, grantees must upload 100% of the supporting documentation.

MCC will not be approved until all documentation is uploaded and reviewed by CPRIT.

Grantee expenditures must be direct costs incurred while working on the CPRIT-funded project or work that supports, extends, or facilitates the CPRIT project, even if it is not funded by CPRIT.

MCC Required Support Documentation

Match Expenses Ledger

Invoices related to Match expenses

MCC - Deficiency

A match deficiency may be carried forward and added to the matching fund requirement for the next project year so long as:

- Deficiency is equal to or less than 20% of the total matching funds required for the same period; and

- No prior matching funds deficiency

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 (in addition to 5% indirect costs claimed for reimbursement) 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 limit on hotel rates or meals

- Airfare costs that exceed coach class airfare

- Foreign travel related to CPRIT's funded project

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

Match Certification

Grant funds for the next project year will not be distributed until the previous year's matching funds verification and certification for the upcoming year have been **approved**.

Matching Compliance Certification

Q & A

Chapter 9: Allowable Costs

Chapter 10: Grantee Budget/Expense Categories and Required Documentation

Financial Status Report (FSR)

Polling Question

A justification memo or letter should be included with the FSR supporting documentation for expenses submitted "outside the period".

- True or False

Answer: True

Polling Question

How many days does a grantee have to respond to a request for additional FSR documentation?

A. 21 days

B. 5 days

C. 30 days

Answer: B

FSR – Due Dates

Fiscal Quarter/ Reporting Period	FSR Due Date	Last Day of Grace Period
Sept 1 – Nov 30	Feb 28	Mar 30
Dec 1 – Feb 28	May 29	June 28
Mar 1 – May 31	Aug 29	Sept 28
June 1 – Aug 31	Nov 29	Dec 29

FSR Review and Approval Process

Submit FSR in CGMS

→ Grant Accountant (GA) Review

→ 2nd Level Review

→ FSR Approved in CGMS by GA
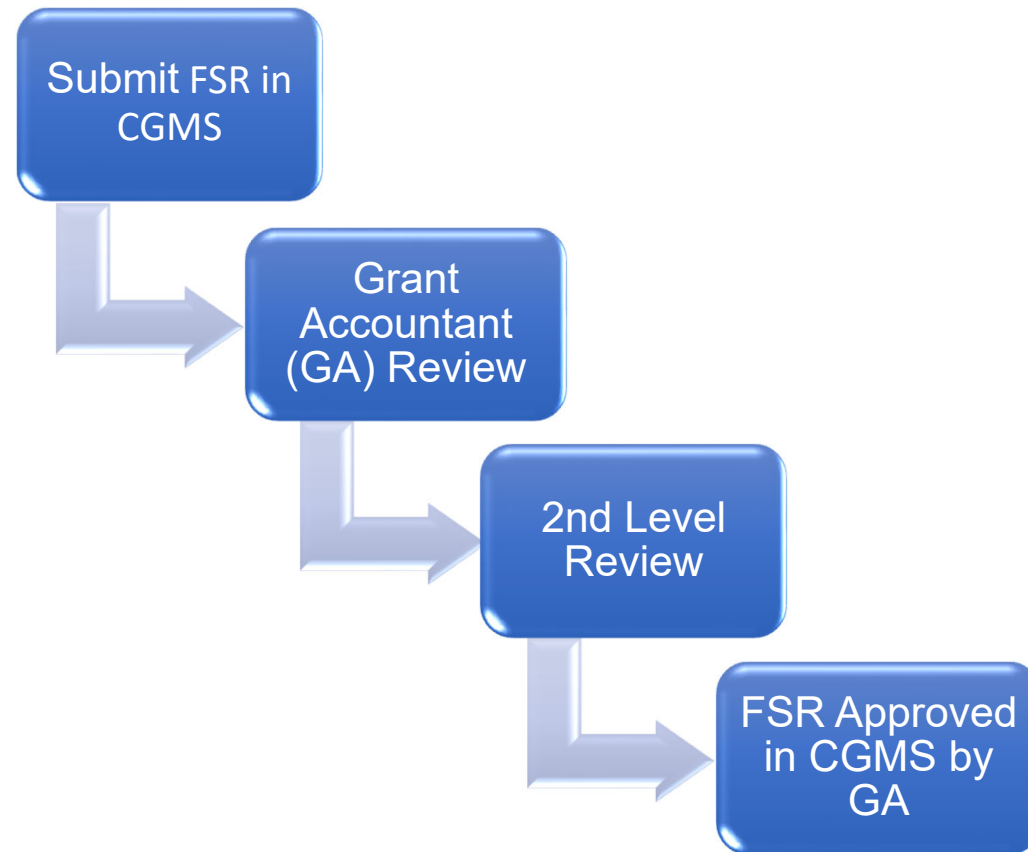
FSR Required Supporting Documentation

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**
- **amount paid with expense totals broken down by category**

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.

Appendix

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FSR Required Supporting Documentation by Expense Category

Personnel	• Personnel cost report for the pay period including the names, titles, and pay for <u>each individual</u> whose salary is charged to the grant. • Names and titles must match the Personnel Level of Effort Form (PLOE) in CGMS • Changes to personnel must be submitted on the Personnel Level of Effort change request in CGMS and approved by CPRIT. • Non - academic institutions must provide copies of payroll ledger information as well as supporting documentation such as timesheets and payroll statements.
Fringe Benefits	• Summary of benefits paid including employee name, type of benefit, and the amount with a total • Grantees reporting pooled fringe benefits in accordance with a federally approved fringe benefit rate agreement may report a total fringe amount by employee without categorization of each type of benefit. o Provide a copy of the agreement that was in effect during the FSR reporting period and the agreement must describe the categories of benefits included in the pool.

FSR Required Supporting Documentation by Expense Category

Travel	• Employee travel reimbursement request form
	    o To be eligible for grant reimbursement, employee names must match those on the PLOE
	
	• Documentation to support all travel costs.
	    o mileage logs
	    o hotel receipts
	    o airfare receipts
	    o GSA rate printout for travel location zip code(s)
	    o public transportation receipts
	    o
	    o meal receipts (not required if traveler claims per diem for meals)
	    o conference/seminar registration
	    o copy of CPRIT approval for international travel expenses (initial budget justification or change request)
	
	• Grantees must exclude tips and alcohol (unallowable expenses) from any travel reimbursement charged to the grant.
	
	Travel costs charged to the grant must be consistent with the State of Texas TexTravel Guide, https://fmx.cga.state.tx.us/fmx/travel/textravel/index.ghg.

FSR Required Supporting Documentation by Expense Category

Equipment	• Copy of the vendor invoices for all equipment costs 　○ *Purchase orders and packing slips are not acceptable forms of supporting documentation* • Prior to the actual procurement of the item, equipment purchases must be approved by CPRIT. • Copy of CPRIT approval (initial budget justification or change request)
Supplies	• Summary report with a description of the supply purchased, vendor name, date paid, and amount paid. • Central supply department transactional document • **Academic Institution** grantees must provide a copy of the vendor invoice for any supply purchase of $750 or more. • Non - academic institutions must provide invoices to support all expenses regardless of amount.

FSR Required Supporting Documentation by Expense Category

Contractual	• Subcontractor invoices for all contractual expenses (service contracts and subawards) • Subcontractor expenses claimed against the grant must adhere to the same cost principles regarding allowable and nonallowable expenses as any other expense claimed by the grantee. • It is the grantee's responsibility to apply these cost principles, and grantees may be asked to provide a copy of the subcontractor contract in some cases.
Other	• Summary report with a description of the item purchased, date of purchase, date paid, and amount paid for any expenses that cannot be applied to any of the expense categories above. • Central supply department transactional document • **Academic Institution** grantees must provide a copy of the vendor invoice for any supply purchase of $750 or more. • Non - academic institutions must provide invoices to support all expenses regardless of amount.
	• For detailed information about required documentation for costs claimed on a FSR, grantees should refer to Chapter IO of CPRIT's *Policies and Procedures Guide*.

FSR Submissions Checklist

Expenses are paid within FSR period

Payment date is included for all transactions

FSR amounts match ledger totals by expense category

Supporting documents are scanned in the same order as the transaction listing

FSR Submissions Checklist

Supporting documents are legible

Invoice amounts match amounts shown on the ledger and partial charges are explained on the invoice

Expenses are allowable and properly categorized

A memo justification for cost out of period is provided

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FSR – Examples of Unallowable Costs

INDIVIDUAL PROFESSIONAL MEMBERSHIP FEES

ALCOHOL

TIPS & GRATUITIES

BAD DEBT

LOBBYING COSTS

ENTERTAINMENT

Common FSR Review Issues

Mis-categorization of expenses

Reimbursement amount is not clear

Documents are not clearly labeled

Invoices lack detailed purchase description

Lack of response from grantee for additional information

Miscategorization of Expenses

Supplies Expense

Equipment with unit cost of less than $5000

Lab materials

Office Supplies

Other Expense

Lab care (mice per diem)

Copying services

Publication fees

Equipment warranties and service contracts

Conference/registration fees (not associated with travel)
- *Conference/registration fees that are paid as part of travel expenses are reimbursable on a travel voucher*

Shipping services (FedEx, UPS), etc.

Reimbursement Amount Not Clear

- 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			14.52
Total Solution Cr.			1,166.00–
Amount Paid		USD	2,278.52

$2,000 charged to CPRIT award

Credit Card Charge Details:
MC ****5345   USD   2,278.52

✓

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Documents Not Clearly Labeled

- Individual items referenced in GL with the same letter:

TRAVEL		19.25	I	8/24/2022
TRAVEL		23.10	I	8/24/2022
TRAVEL		30.00	I	8/24/2022
TRAVEL		24.48	I	8/24/2022
TRAVEL	✓	989.00	I	8/24/2022
TRAVEL		725.00	I	8/24/2022
TRAVEL		18.70	I	8/24/2022
TRAVEL		17.60	I	8/24/2022
TRAVEL		20.16	I	8/24/2022
TRAVEL		33.52	I	8/24/2022
TRAVEL		29.92	I	8/24/2022
TRAVEL		46.20	I	8/24/2022
TRAVEL		6.38	J	8/24/2022
TRAVEL		4.93	J	8/24/2022
TRAVEL		790.30	J	8/24/2022
TRAVEL		36.91	J	8/24/2022
TRAVEL		9.25	J	8/24/2022
TRAVEL		5.89	J	8/24/2022
TRAVEL		14.84	J	8/24/2022
TRAVEL		33.53	J	8/24/2022
TRAVEL		9.25	J	8/24/2022

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Documents Not Clearly Labeled

- Items individually referenced

Travel Out of State	TRAVEL	251.61	D1	✓	6/1/2022	CITIBANK N.A		4/26/2022	5/27/2022
Travel Out of State	TRAVEL	25.00	D1	✓	6/1/2022		o	1/0/1900	5/16/2022
Travel Out of State	TRAVEL	600.63	D2	✓	6/8/2022			6/2/2022	6/6/2022
	Disallowed, GL error	(0.01)	D2	✓					
Travel Out of State	TRAVEL	27.73	D3	✓	6/8/2022			6/2/2022	6/6/2022
	Disallowed, unknown fees	(12.63)	D3	✓					
Travel Out of State	TRAVEL	33.26	D4	✓	6/8/2022			6/2/2022	6/6/2022
	Disallowed, unknown fees	(8.02)	D4	✓					
Travel Out of State	TRAVEL	11.88	D5	✓	6/8/2022			6/2/2022	6/6/2022
	Disallowed tip	(1.00)	D5	✓					
Travel Out of State	TRAVEL	11.88	D6	✓	6/8/2022			6/2/2022	6/6/2022
	Disallowed tip	(1.00)	D6	✓					
	Total Travel	939.32	CV						
	Total GL	38,636.55							

D5. $11.88

✓ $11.88

Pain au Chocolat × 1	$5.50	✓
A&J King Artisan Bakers		
Pour Over × 1	$5.00	✓
Three Africas		
None	$0.00	
Purchase Subtotal	$10.50	
MA Meals Tax (7%)	$0.38	
Tip	$1.00	✗
Total	$11.88	✓

Invoices Lack Detailed Description

- Unclear description:

Line #	PO Line #	Description	UOM	Qty	Unit Price	Extended Amount
1	1	COLUMN C4 214TP SRS VYDAC 5UM	EA	1	$ 1,127.6100	$ 1,127.61

- Clear description:

| 10022-00 | Scalpel Blades #22 | | | 2 | C | 54.50 | 0.000 | 109.00 |

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Lack of response from grantee for additional information

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)

Financial Status Reports
Q & A

Chapter 10: Grantee Budget/Expense Categories
and Required Documentation

Equipment Expense Category

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Polling Question

Can equipment, not listed in original application, be purchased in lieu of the equipment in the approved application?

Answer: Yes, with CPRIT approval obtained prior to purchasing the replacement equipment via a Change Not Otherwise Specified (CNOS) change request.

Polling Question

Can service agreements be purchased to extend the agreement during the period of the NCE?

<u>Answer</u>:   Yes; however, the cost must be prorated if the service agreement extends beyond the new end date of the grant.

Equipment

For all equipment expenses, the grantee **must** include acceptable documentation of CPRIT approval.

Acceptable documentation includes:

- Initial Budget Justification with <mark>equipment items highlighted</mark>

- Approved change request

Acceptable Equipment Documentation

Change Requests

Grant ID: ▮▮▮▮▮▮▮
Grant Title: ▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮
PI/PD/CR: ▮▮▮▮▮▮
Organization: ▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮

| Grant Information | Contacts | Documents & Forms | Correspondence | Internal Notes | Budget & Financial Status Reports | Progress Reports | Change Requests |

Back to Change Requests

Change - Not Otherwise Specified

* Change Request Details:
I am requesting to rebudget funds allocated to subcontracts to purchase a tissue homogenizer, ~$6,700.

* Justification:
The remaining experiments require a greater degree of T cells to be recovered from tumors and lymph node tissues than possible from our past animal cohorts. For this reason, we require the equipment purchase of a homogenizer.

[View/Hide Notes and Comments About This Document]

2022-02-07 09:46 Complete Web Form - ▮▮▮▮▮▮

2022-02-07 09:46 Verify Information (verified) - ▮▮▮▮▮▮▮

2022-02-07 09:51 ASO Review (approved) - ▮▮▮▮▮▮▮

2022-02-07 12:05 Grant Manager Review (approved) - Moore, Patty (Grants Manager)

2022-02-07 12:07 Contract Manager Review (approved) - Nelson, Lisa (Contract Manager)

Acceptable Equipment Documentation

LINE	PART ID	DESCRIPTION	U/M	TAX	QUANTITY	UNIT PRICE	EXTENSION
1	NIS0001	NanoAssemblr Spark Instrument	EA	R	✓ 1.0000	25,116.00	✓ 25,116.00
2		FREIGHT CHARGE	EA	N	0.0000	0.00	78.50

████████ **Detailed Budget for Year One**

Other Direct Charges	
Travel	$3,000
Equipment (Itemized) ✓ Funds are requested to upgrade several instruments to optimize manufacturing and to enhance efficiency: Precision NanoSystems NanoAssemblr, Agilent TapeStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).	$50,000

Chapter 10: Grantee Budget/Expense Categories and Required Documentation

Travel Expense Category

Polling Question

International travel requires prior approval if the international travel is not included in the original grant application in the budget and budget justification.

- **True or False**

Answer: True

Polling Question

Should meal receipts be submitted if claiming per diem?

Answer: Meal receipts are not required when claiming per diem

Travel Expense Report Requirements

For each trip taken, a separate travel expense report with all supporting documentation should be submitted, which should include:

- Grantee Name

- Traveler's Name

- Date(s) of travel

- Purpose of the travel

- Itemization of expenses

- Proof of payment

Travel Expense Checklist

All travelers **must** be listed on the PLOE

Receipts should be legible and in same order as GL

Unless using per diem, meal expenses should be supported by itemized receipts.

Clearly identify meals for reimbursement on split receipts

Group and day trip meals are not allowed

Travel Expense Checklist

Grantee **must** include documentation of CPRIT approval for all international travel expenses

GSA rate printout for the travel location(s) zip code should be attached

Mileage calculations and transportation receipts included

Gratuities and alcohol should not 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

Textravel – Hotel Occupancy taxes Maximum Reimbursement

Fiscal Management
Glenn Hegar
Texas Comptroller of Public Accounts

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Home / Travel

textravel
Rules of the road on the Web

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

Meals and Lodging

Meals

Lodging

Hotel occupancy taxes

Exception for employees of educational organizations

Exception for certain state officers or employees

Exception for travel outside

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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Prorated hotel room rate and taxes when they exceed the per diem

08/19/22	ROOM CHARGE	RP1214	239.94	**187 on FSR (GSA)**
08/19/22	Room Tax	RT1214	28.55	**22.25**
08/19/22	City Tax	CT1214	10.80	**8.42**
08/19/22	County Tax	T41214	2.40	**1.87**

Prorated taxes based on $187 max GSA lodging rate:

(28.55/239.94)*187=22.25

(10.8/239.94)*187=8.42

(2.40/239.94)*187=1.87

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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)

Foreign Currency

Foreign currency travel 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 supporting documents.

Contractual Travel

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

Travel Expenses Recap
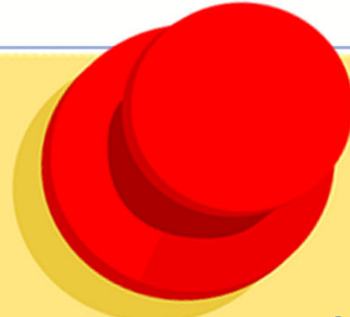
- **Submit a <u>complete</u> travel expense report for each traveler and include all supporting documents**

- **Travel receipts should be in same order as GL**

- **Submit copy of GSA meals and lodging rates with supporting documents**

- **Submit foreign travel approval with supporting documents**

- **Convert foreign travel currency expenses to USD and include exchange rate used**

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Travel Expenses

Q & A

Chapter 10: Grantee Budget/Expense Categories and Required Documentation

Personnel / Fringe Expense Category

FSR Personnel & Fringe

- 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

  - **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.

Chapter 13: Termination, Extension, and Closeout of Grant Contracts

No Cost Extensions (NCE)

No Cost Extension (NCE)

- Request must be submitted at least 30 days prior to termination date but not more than 180 days prior

- **More than 6 months can be requested.** The increased number of months should be mentioned in the first sentence of the justification

- There is no automatic approval. NCEs are based on several factors including;
    o documentation of progress
    o documentation that the work proposed for the NCE is consistent with the initial award
    o grantee must be in good fiscal and programmatic standing

- **The PI must exhibit measurable effort during an approved NCE**

No Cost Extension (NCE)

For Approved NCEs

- The final report date for NCEs will change, but an additional annual report as well as quarterly reports are required until the contract ends

- You must update the PLOE for the extension time period because it defaults to zero for No Cost Extensions (NCEs)

No Cost Extension PLOE Update

Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Role on Project						
Program Coordinator	Type Appt. (months)	0	0	12	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
Co-Program Director	Type Appt. (months)	12	12	12	12	
	Effort on Project	8.00%	8.00%	8.00%	0.00%	
	Person Months	0.96	0.96	0.96	0.00	2.88
Project Assis...	Type Appt. (months)	0	0	4	12	
	...00%	.00%	0.00%	60.00%	0.00%	
	...00	0.00	0.00	2.40	0.00	2.40
Program Ass...		0	12		12	
	...00%	.00%	10.00%	10.00%	0.00%	
		0.00	1.20	1.20	0.00	2.40
Co-Program		12	12	12	12	
	...00%	.00%	8.00%	8.00%	0.00%	
		0.96	0.96	0.96	0.00	2.88
Program Coordinator	Type Appt. (months)	0	0	4	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
Project Assistant	Type Appt. (months)	0	0	4	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
PI/PD/CR	Type Appt. (months)	12	12	12	12	
	Effort on Project	50.00%	50.00%	50.00%	0.00%	
	Person Months	6.00	6.00	6.00	0.00	18.00
Project Assistant	Type Appt. (months)	0	0	1	0	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	1.00	0.00	1.00
	Total Person Months Per Year	7.92	9.12	32.52	N/A	49.56

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

NCE – Frequently Asked Questions

What research can be conducted during a NCE and/or can we use the NCE time period to write our next grant application?

Answer: Goals and objectives that have been approved but have not yet been completed.

Programmatic Topics

Program Manager
Q & A

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

Prior written approval must be given by CPRIT for the transfer of an award to another Principal Investigator (PI)

Change of PI/Co-Investigator

Required documents for review:
- Context and justification for change

- Bio-sketch of proposed PI

- 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 key personnel in an ad-hoc folder in CGMS

Change of PI/Co-Investigator

Programmatic – Frequently Asked Questions

Do we need CPRITs prior approval to modify subcontractors and subcontract budgets listed on the original application?

Answer: Yes, if the award is a Multi-PI and the PI is at a different institution, and if the subcontractor is key personnel.

Programmatic – Frequently Asked Questions

What are options to mitigate funding overlap between CPRIT and new Federal or Foundation Awards?

Answer: If there is a 100% overlap, a choice must be made between a CPRIT award and/or a Federal, Foundation Award.

With approval from the Federal project officer and CPRIT, one overlapping specific aim with a Federal award can be mitigated by eliminating the aim. The budget will be adjusted accordingly.

CANCER PREVENTION & RESEARCH
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Programmatic – Frequently Asked Questions

If a co-investigator leaves Texas, can they remain on the grant with salary support to conduct the work from their new institution?

Answer: An approved co-investigator on the original application who no longer resides in Texas may continue to contribute to the award project at the PI's discretion; however, CPRIT award funds may not be used to reimburse them for the completion of the scope of work.

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Institute of Texas

Grant Support

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

Cancer Prevention & Research
Institute of Texas

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CPRIT Grantee Annual Compliance Training

March 2023

Academic Research