

# CPRIT Grantee Annual Compliance Training

June 2023



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

Prevention

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## Contact Information

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## Programmatic Contact – Prevention

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Training Overview

- Introductions
- FWA Reporting
- Recent Administrative Rule Changes
- Policies and Procedures Guide Overview
- Required Reporting
- Programmatic Topics

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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](http://www.RedFlagReporting.com)

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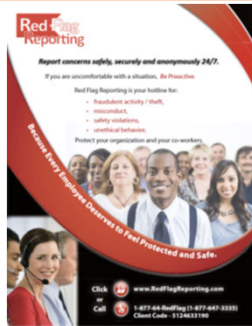
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## Fraud, Waste, & Abuse



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## Administrative Rules

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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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### Recent Administrative Rule Changes

Definition and Use of "Scope of Work"

Corrections to Financial Status Report (FSR) Supporting Documentation

Eligible Grantee Matching Funds

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### Definition of "Scope of Work"

§ 701.3(63)

*Proposed rule change*

*Public comment period is open.*

- Scope of Work: the goals and objectives or specific aims and sub aims, if appropriate, of the Cancer Research or Cancer Prevention project, including the timeline and milestones to be achieved.
- RFA will specify applicable terminology for a grant mechanism.

!

Public comment period is open through July 3<sup>rd</sup>.

📅

The Oversight Committee will consider final adoption at the August 16<sup>th</sup> meeting.

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### Use of "Scope of Work"

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

*Proposed rule change*

*Public comment period is open.*

- These are nonsubstantive changes that ensure consistent use of "Scope of Work" in CPRIT's rules.

!

Public comment period is open through July 3<sup>rd</sup>.

📅

The Oversight Committee will consider final adoption at the August 16<sup>th</sup> meeting.

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Corrections to Financial Status Report (FSR) Supporting Documentation  
§703.24(a)(5)  
*Adopted & final in 2022*

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.

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Eligible Grantee Matching Funds  
§ 703.11(c)(7)  
*Adopted & final in 2022*

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

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Administrative Rule Changes  
Q & A

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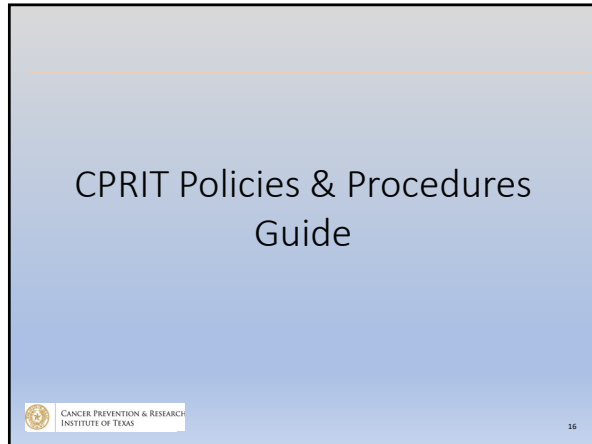
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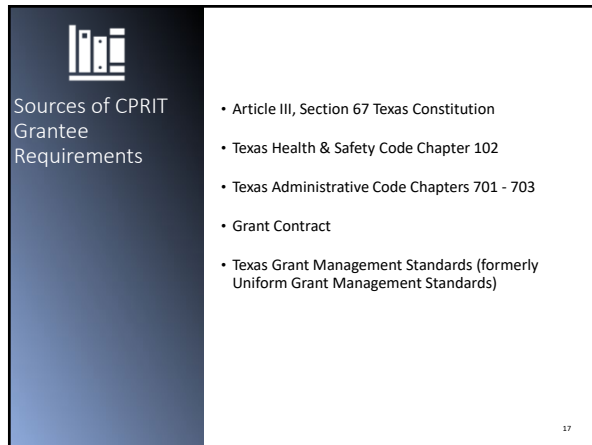
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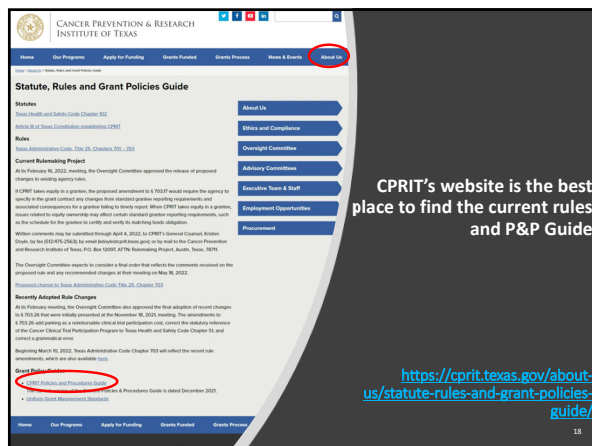
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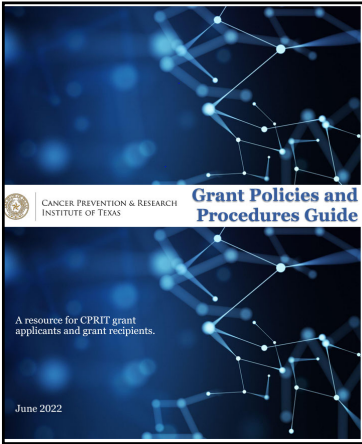
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Policies & Procedures Guide Overview

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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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Required Grant Reports



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Polling Question

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

Answer: False

Seven of the required CPRIT reports are submitted annually.

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Reporting Requirements



Annual

- Inventory Report
- Revenue Sharing Report
- HUB/Texas Suppliers Report
- Annual Progress Report
- Single Audit Determination Form
- Audit Report



Quarterly

- Financial Status Report
- Quarterly Progress Report

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Progress Reports



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Progress Reports

**Progress Reports should contain accurate and complete impact data for annual and final reports.**

**This includes, but is not limited to:**

- Publications
- Follow-on funds
- Patents and Patent Applications
- Client Stories
- Abstracts and Presentations



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Progress Reports

- **Economic Impact**
  - How many NEW jobs were created = the number of positions filled during the last year (including the final report; final report should NOT be the cumulative number over the entire project). This number should be ZERO if positions haven't been added during the grant year
  - How many jobs were maintained = the number of positions that continue from the year



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Progress Reports  
– Common Errors

Incomplete report

Overlap with previous reports

Duplicate entries (publications, jobs, etc.)

Inconsistencies between narrative and data entered

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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 on all cancer-related publications

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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.

P&P Guide Reference:  
5.10 Acknowledgement of CPRIT Funding

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Financial Status Report (FSR)

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Polling Question

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

Answer: True

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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

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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

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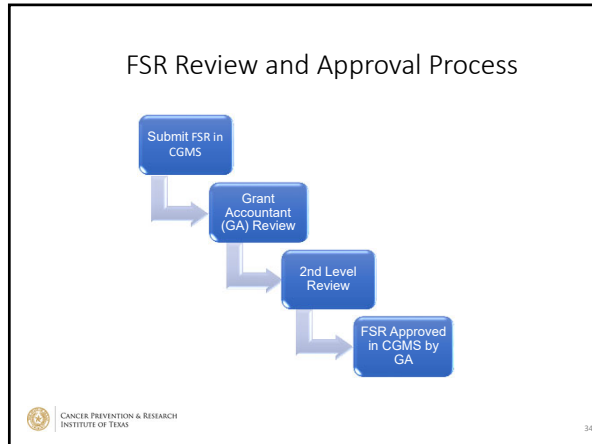
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#### FSR Required Supporting Documentation

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
- amount paid with expense totals broken down by category

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#### FSR Required Supporting Documentation

If the date paid is not found in the summary report, it should be noted on invoices.

A payment claimed for a period prior to the current period should be accompanied by an **Out of Period (OTP)** letter or memo explaining why the payment was not claimed in the appropriate period.

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### FSR Support Documentation Resources

**FSR Required Supporting Documentation by Expense Category**

Details the documentation a grantee must provide to support expenses reported for each budget category

**CPRIT FSR Checklist**

A tool to assist grantees submit accurate information and documentation for all costs requested for reimbursement.

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### FSR Submissions Checklist

**Expenses are paid within FSR period**

**Payment date is included for all transactions**

**FSR amounts match ledger totals by expense category**

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

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### FSR Submissions Checklist

**Supporting documents are legible**

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

**Expenses are allowable and properly categorized**

**A memo justification for cost out of period is provided**

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FSR – Examples of Unallowable Costs



INDIVIDUAL PROFESSIONAL MEMBERSHIP FEES



ALCOHOL



TIPS & GRATUITIES



BAD DEBT



LOBBYING COSTS



ENTERTAINMENT

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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

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Mis-categorization of Expenses

- Expense mis-categorization is most common in these three budget categories;
  - Supplies
  - Other
  - Equipment
- Ensure that your budget justification allocates expenses to the appropriate budget category.

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Mis-categorization of Expenses

- Expense mis-categorization is most common in these three budget categories;
  - Supplies
  - Other
  - Equipment
- Ensure that your budget justification allocates expenses to the appropriate budget category.

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Supplies Category Expenses

- Desktop and laptop computers (including notebooks, tablets, and similar devices)
- Non-portable printers and copiers
- Communication devices (mobile telephones)
- Lab materials
- Office Supplies
- Equipment with unit cost of less than \$5000



P&P Guide Reference:  
10.6 Supplies Expense Category

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Other Category Expenses

- Printing and reproduction expenses
- Gift or gas cards
- Publication fees
- Equipment warranties and service contracts
- Conference/registration fees
  - Conference and seminar registration fees should be reported in the "other" category when incurred by the institution/organization or when paid by an employee, but employee is not requesting travel reimbursement.
- Postage and shipping services (FedEx, UPS), etc.



P&P Guide Reference:  
10.8 Other Expense Category

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Equipment Category Expenses

- Equipment with unit cost of \$5000 or more


P&P Guide Reference:  
12.4.4.7 Equipment

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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	23.18	I	8/24/2022
TRAVEL	30.00	I	8/24/2022
TRAVEL	24.40	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	20.10	I	8/24/2022
TRAVEL	33.55	I	8/24/2022
TRAVEL	29.90	I	8/24/2022
TRAVEL	46.20	I	8/24/2022
TRAVEL	6.30	I	8/24/2022
TRAVEL	4.90	I	8/24/2022
TRAVEL	790.50	I	8/24/2022
TRAVEL	36.90	I	8/24/2022
TRAVEL	9.20	I	8/24/2022
TRAVEL	5.80	I	8/24/2022
TRAVEL	14.80	I	8/24/2022
TRAVEL	33.55	I	8/24/2022
TRAVEL	9.20	I	8/24/2022

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Financial Status Reports  
Q & A


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Personnel / Fringe Expense  
Category


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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.

Best Practice

①  
②  
③




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# Personnel Level of Effort (PLOE)



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Polling Question

The personnel level of effort (PLOE) form should be updated once a year.

Answer: False

The PLOE should be updated quarterly before submitting the FSR.

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Polling Question

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

Answer: Yes

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### 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

**Best Practice**



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



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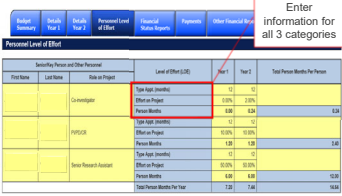
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### PLOE Checklist

PLOE change requests contain all the following elements:

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



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



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**Important**



- Update PLOE prior to submitting FSR
- When grant moves to closeout status
  - PLOE cannot be revised in CGMS
  - Expenses related to personnel not updated on the PLOE **will not be reimbursed**



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Personnel Level of Effort  
Q & A

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Travel Expense Category

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Polling Question

International travel requires prior approval if it is not included in the original budget justification.

Answer: True

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Polling Question

Should meal receipts be submitted if claiming per diem?

Answer: No

Meal receipts are not required when claiming per diem

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Travel Expense Report Requirements

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

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

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Travel Expense Checklist




All travelers must be listed on the PLOE




Receipts should be legible and in same order as GL



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



Clearly identify meals for reimbursement on split receipts



Group and day trip meals are not allowed

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Travel Expense Checklist



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



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



Mileage calculations and transportation receipts included



Gratuities and alcohol should be excluded



Meals and lodging expenses are within GSA limits



Include a calculation to show that hotel room rates and taxes are prorated when they exceed the per diem

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Texttravel – Hotel Occupancy taxes Maximum Reimbursement

Fiscal Management

Home / Travel

Meals and Lodging

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.

Home

Rates

Transportation

Meals and Lodging

Exceptions

Miscellaneous Provisions

Examples

Documentation Required

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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	741214	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)

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### 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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**RECAP**

- Submit a complete 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

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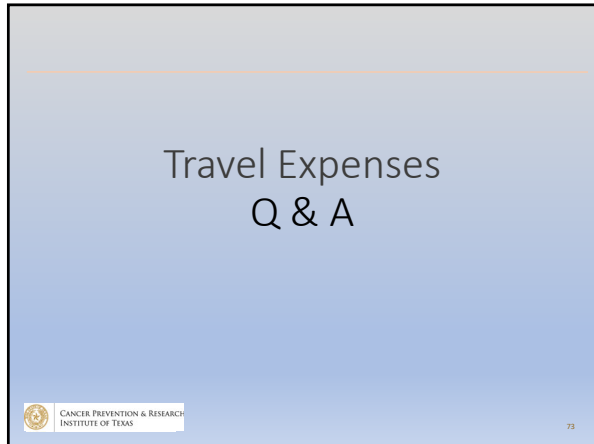
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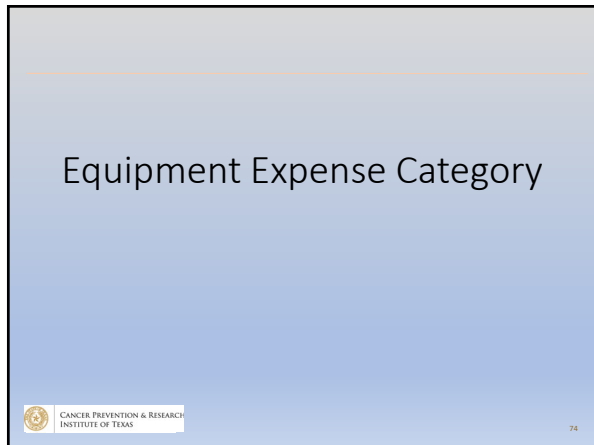
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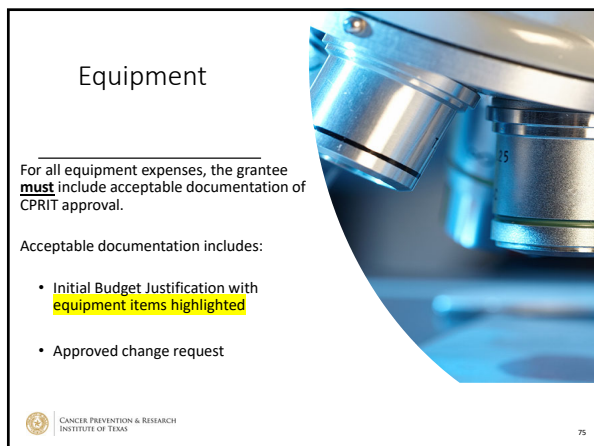
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## Acceptable Equipment Documentation

# Acceptable Equipment Documentation

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## Acceptable Equipment Documentation

# Acceptable Equipment Documentation

LINE	PART ID	DESCRIPTION	UM	TAX	QUANTITY	UNIT PRICE	EXTENSION
1	NS0001	NanoAssemble 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 (Revised) ✓ Funds are requested to <u>upgrade several instruments</u> to optimize manufacturing and to enhance efficiency [ <u>Precision NanoSystems NanoAssemble</u> ], Agilent TapeStation, Shaking Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).	\$50,000

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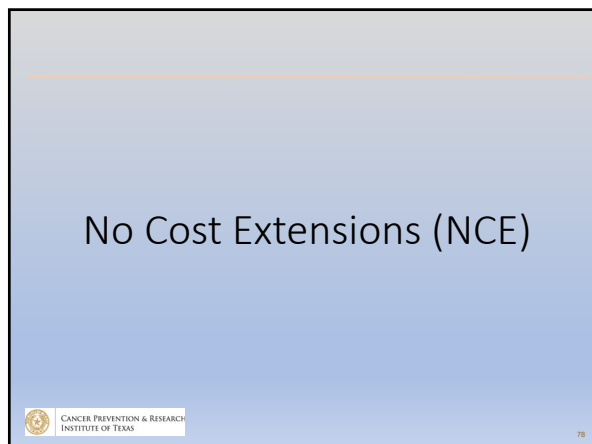
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## No Cost Extensions (NCE)



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No Cost Extension (NCE)

- Request must be submitted at least 30 days prior to termination date but not more than 180 days prior
- Grantee must complete the date field on the request**
- More than 6 months can be requested
  - CPRIT will complete the date field for request greater than 6 months**
  - The increased number of months should be mentioned in the first sentence of the justification

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No Cost Extension (NCE)

- There is no automatic approval. NCEs are based on several factors including;
  - documentation of progress
  - documentation that the work proposed for the NCE is consistent with the initial award
  - grantee must be in good fiscal and programmatic standing
- Approved NCEs
  - The PI must exhibit measurable effort during an approved NCE**
  - The final report dates will change, but an additional annual report as well as quarterly reports are required until the contract ends

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### No Cost Extension PLOE Update

The PLOE for NCEs needs to be updated because the extension time period defaults to zero.

Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Program Coordinator	Type App (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 App (months)	12	12	12	12	
	Effort on Project	0.00%	0.00%	0.00%	0.00%	
	Person Months	0.00	0.00	0.00	0.00	0.00
	Person Months	0	0	0	0	0
Program Coordinator	Type App (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
Project Assistant	Type App (months)	0	0	0	12	
	Effort on Project	0.00%	0.00%	0.00%	100.00%	
	Person Months	0.00	0.00	0.00	12.00	12.00
PI/PI/CA	Type App (months)	12	12	12	12	
	Effort on Project	0.00%	0.00%	0.00%	0.00%	
	Person Months	0.00	0.00	0.00	0.00	0.00
Project Assistant	Type App (months)	0	0	1	1	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	1.00	0.00	1.00
	Person Months	0.00	0.00	0.00	0.00	0.00
	Total Person Months Per Year	7.00	8.12	32.00	24.00	68.00

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

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NCE – Frequently Asked Questions

What research can be conducted during an NCE?

Answer: Only scope of work items and associated aims and sub-aims that have been approved but have not yet been completed can be conducted during an NCE.

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Programmatic Topics

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Producing Materials

Any materials produced (flyers, electronic materials, presentations, etc.) using CPRIT funds must be pre-approved by Carlton or Ramona BEFORE USE.

Please include Grant ID number in the document submission email. We will turn these around very quickly. Preferred file name: Grant ID number\_Title of document.

Specific information about the Brand Guidelines and Logo can be found here (<https://www.cprit.state.tx.us/news-events/media-resources#branding>)

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## Change in Key Personnel Level of Effort (PLOE)

- Make sure name is entered same as payroll
  - First then last
  - No nicknames
- If replacing someone
  - Add a new line with new personnel
  - Add correct effort for new personnel
  - Ensure old personnel has 0 effort going forward
- Add detailed justification

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## PLOE Continued

Personnel			Level of Effort (LOE)				Total Person Months Per Person
First Name	Last Name	Role on Project	Type of Effort (LOE)	Year 1	Year 2	Year 3	
Carter	John	Co-Program Director	Type A: 100%	12	12	12	36
			Effort on Project	40.00%	0.00%	0.00%	
			Person Months	5.00	0.00	0.00	
Kort	Cynthia	Health Education Coordinator	Type A: 100%	12	12	12	36
			Effort on Project	100.00%	100.00%	100.00%	
			Person Months	12.00	12.00	12.00	

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## Change – Not Otherwise Specified



Presenting at a conference that was not specifically specified in your application



Change in a subcontract agreement



Paying for an open access manuscript



Something was missing from your application

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## Conference and Seminar Registration Fees

- Conference and seminar registration fees should be reported in the "other" category when incurred by the institution/organization or when paid by an employee, but employee is not requesting travel reimbursement.
- Employees who pay the registration fees and incur travel expenses to attend the conference/seminar can report the fee on their travel reimbursement voucher.



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## New Quarterly Report

COMING SOON (FY 24)

NEW AND IMPROVED!

MORE COMMUNICATION COMING SOON

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## Grant Support



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## Points of Contact

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**CARS/CGMS Technical Issues?**  
 Contact CPRIT Helpdesk  
 Email: [Help@CPRITGrants.org](mailto: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

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# CPRIT Grantee Annual Compliance Training

June 2023



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Prevention

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