

CPRIT Grantee Annual Compliance Training

March 2024



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Prevention

1


CONTACT INFORMATION

Cameron Eckel
Staff Attorney
512-305-8495
ceckel@cprit.texas.gov

Rashonda Thomas
Lead Compliance Specialist
512-626-2546
rthomas@cprit.texas.gov

Stephen Nance
Compliance Program Manager
512-305-8405
snance@cprit.texas.gov

Vince Burgess
Chief Compliance Officer
512-305-8453
vburgess@cprit.texas.gov




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

2

PROGRAMMATIC CONTACT – PREVENTION

Carlton Allen
Program Manager for Prevention
512-626-2358
cmallen@cprit.texas.gov

Ramona Magid
Chief Scientific Officer to Chief Prevention Officer
512-305-8417
rmagid@cprit.texas.gov




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

3

TRAINING OVERVIEW

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



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

4

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)




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS



5

Fraud, Waste, & Abuse



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

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

 CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

7

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. Everyone deserves to feel protected and safe.

Click  www.RedFlagReporting.com
or
Call  1-877-64-RedFlag (1-877-647-3335)
Client Code: 5124633190

 CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

8

Administrative Rules and
Policies and Procedures Guide

 CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

9



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

HomeOur ProgramsApply for FundingGrants FundedGrantee ResourcesNews & EventsAbout Us

Home > Grants Funded > Grantee Resources

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

The grantee resources page includes the sources of CPRIT's requirements, such as statutory and administrative rule text, as well as guidance on how to understand and apply those requirements during a CPRIT grant project. Examples of the grantee resources include proposed administrative rule changes, the Grant Policies and Procedures Guide, previous and upcoming compliance training opportunities, and other helpful webinars. Grantees will also find guidance on how to report fraud, waste, and abuse to CPRIT using Red Flag Reporting.

Manage My Grant

Rules and Statutes

Policies and Procedures

Training

Funding Webinars

Reporting Forms

Reporting Fraud

CPRIT Grant Management System

CPRIT utilizes an online grants management system that allows you to correspond with staff, manage budget information, submit reimbursement requests and required reports, manage grant contacts and review and accept contracts and contract amendments.

Manage My Grant

Manage My GRANT

CPRITGRANTS.ORG

Upcoming Oversight Committee Meetings

March 08, 2024

May 15, 2024

August 21, 2024

Sign Up for Our Newsletter

10

Manage My Grant

Rules and Statutes

Policies and Procedures

Training

Funding Webinars

Reporting Forms

Reporting Fraud

Rules and Statutes

State law requires agencies to use a rulemaking process, which includes an opportunity for the public to comment on proposed rules and rule changes before the agency adopts the final rule. When CPRIT proposes a new administrative rule or a change to an existing administrative rule, it must do so through a rulemaking project. The rulemaking project, which CPRIT announces in the Texas Register, gives the public advance notice of the proposed rule so that interested persons may decide whether they wish to comment on the proposal.

Current Rulemaking Project

There is no current rulemaking project at this time.

Recently Adopted Rule Changes

At its November 15, 2023, meeting, the Oversight Committee approved the final adoption of recent changes to Section 701.25 that were initially presented at the August 16 meeting. The amendment expands CPRIT's electronic signature policy to include Grant Applicants.

Beginning on December 7, 2023, Texas Administrative Code Chapter 701 will reflect the recent rule amendments, which are also available [here \(CPRIT Adopted Rule Chapter 701.25\)](#).

Additional Resources

- [CPRIT's Governing Statute](#)
- [Administrative Rules](#)
- [CPRIT's Texas Constitution Article](#)

Upcoming Oversight Committee Meetings

March 08, 2024

May 15, 2024

August 21, 2024

Sign Up for Our Newsletter

11

HomeOur ProgramsApply for FundingGrants FundedGrantee ResourcesNews & EventsAbout Us

Home > Grants Funded > Grantee Resources

Grantee Resources

The grantee resources page includes the sources of CPRIT's requirements, such as statutory and administrative rule text, as well as guidance on how to understand and apply those requirements during a CPRIT grant project. Examples of the grantee resources include proposed administrative rule changes, the Grant Policies and Procedures Guide, previous and upcoming compliance training opportunities, and other helpful webinars. Grantees will also find guidance on how to report fraud, waste, and abuse to CPRIT using Red Flag Reporting.

Manage My Grant

Rules and Statutes

Policies and Procedures

Training

Funding Webinars

Reporting Forms

Reporting Fraud

Policies and Procedures Guide

The Policies and Procedures Guide is made available for individuals and organizations interested in the CPRIT cancer research and prevention funding award program. It provides the framework for the review, award, implementation, and monitoring of CPRIT funded research and prevention grant awards, as well as information on the rules and requirements that applicants and recipients of CPRIT grant awards must follow.

- [CPRIT Policies and Procedures Guide](#)
- [Texas Grant Management Standards \(TxGMS\)](#)

Manage My GRANT

CPRITGRANTS.ORG

Upcoming Oversight Committee Meetings

March 08, 2024

May 15, 2024

August 21, 2024

Sign Up for Our Newsletter

12


4

CEO


New slide

Cameron Eckel, 2024-03-05T20:49:05.988

How to Stay in the Know



- ✓ Check CPRIT's website
- ✓ Receive CPRIT listserv emails
- ✓ Watch Oversight Committee meetings
- ✓ Attend training webinars



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS


13

Recently Proposed & Adopted Administrative Rule Changes

Definition and Use of "Tranche"

Applicability of CPRIT's Electronic Signature Policy

Definition and Use of "Scope of Work"



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

14


Definition of "Tranche"

§ 701.3


Proposed at the February 21st Oversight Committee meeting

CEO


- A portion of grant funds that is released to a grantee after the successful completion of predefined milestones.
- Adds "Tranche," which CPRIT has used for over a decade, to the agency's list of defined terms in Chapter 701.




Expected to be published in the *Texas Register* on March 22nd.



Public comment will be open through April 22nd.



Final adoption at the May 15th Oversight Committee meeting.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

15

CEO

New slide


Cameron Eckel, 2024-03-05T18:42:34.986


Use of “Tranche”


§§ 703.10, 703.21, and 703.23


Proposed at the February 21st Oversight Committee meeting

- Capitalizes the term “Tranche” where it already appears in Chapter 703.
- These are non-substantive changes.

 Expected to be published in the Texas Register on March 22nd.

 Public comment will be open through April 22nd.

 Final adoption at the May 15th Oversight Committee meeting.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS


16


Applicability of CPRIT’s Electronic Signature Policy

§ 701.25

Adopted & final in December 2023

- Clarifies that CPRIT’s electronic signature policy applies to grant applicants as well as grant recipients.
- The policy allows CPRIT to rely on information submitted by a Grant Recipient’s Authorized Signing Official (ASO) as legally binding.





CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

17

Definition of “Scope of Work”


§ 701.3(63)

Adopted & final in September 2023

CPRIT amended the definition of scope of work to include “specific aims and sub aims, if appropriate.”

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.

A request for Applications (RFA) will specify applicable terminology for a grant mechanism.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

18

CEO

Updated slide

Cameron Eckel, 2024-03-05T18:07:07.169

Use of "Scope of Work"


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

Adopted & final in September 2023

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

CPRIT replaced variations referring to scope of work (e.g., project goals, project scope) with the defined term "Scope of Work."

Scope of Work includes CPRIT grant project: goals and objectives, specific aims and sub aims, if appropriate, timeline, and milestones to be achieved.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

19


EO

Update on CPRIT's Online Portal for Grantee Intellectual property (IP) Reporting

- The CPRIT online portal for IP reporting is now operational for grantees to fulfill their IP reporting requirements.
- Attachment D of the grant contract requires grantees to notify CPRIT of certain IP-related actions (e.g., invention disclosures). IP reports submitted by grantees through the online portal fulfills IP reporting requirements of the grant contract.
- Dr. Michelle Leeuwon at CPRIT continues to provide IP database updates to grantees via email.
- If you have any questions about the online portal for IP reporting, please contact jpreporting@cprit.texas.gov.

20

Administrative Rules and Policies and Procedures Guide Q&A



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

21

CEO

New slide

Cameron Eckel, 2024-03-05T20:54:07.779

Required Grant Reports



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS


22

Polling Question

The Financial Status Report (FSR), Inventory Report and Audit Report are all annual reports.

Answer: False

The Financial Status Report (FSR) is due quarterly



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

23

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



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

24

Financial Status Report (FSR)



25

The deadline for a grantee to respond to a request for additional FSR documentation is 5 business days.

Answer: True



26

Texas Administrative Code

TITLE 25
PART 11
CHAPTER 703
RULE §703.24

HEALTH SERVICES
CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
GRANTS FOR CANCER PREVENTION AND RESEARCH
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.



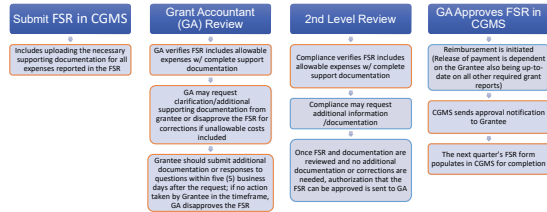
FSR – Due Dates

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



28

FSR Review and Approval Process




29


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


30

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

31

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

32

FSR – Examples of Unallowable Costs

INDIVIDUAL
PROFESSIONAL
MEMBERSHIP FEES

ALCOHOL

TIPS & GRATUITIES

BAD DEBT

LOBBYING COSTS

ENTERTAINMENT


33

Polling Question

What is the top reason FSRs are returned to grantees?

- A. PLOE revisions needed
- B. Unallowable expenses
- C. Missing support documents
- D. Lack of Out of the Period (OTP) Memo

Answer: C




34

TOP 3 RESUBMISSION ISSUES

Missing support documentation


Need for expense clarification

Miscategorized expenses




35

TOP MISSING SUPPORT DOCUMENTATION



- Change Request Approval (Equipment, foreign travel)
- General Ledger
- PLOE
- Illegible documentation
- Invoices
- Time sheet information



36

Miscategorized Expenses

FSR Submitted with \$88,645.78 in "Other"; After review the correct categorization was as follows.

- \$40,700.26 allocated to "Equipment."
- \$44,165.52 allocated to "Supplies."
- \$3780 remained in "Other."

Pay Date	Descr	Budget Category (BUDC)	Descr	Fund	Dept	Project / Document	Expended	Pay Period/Details	Amount	Invoice Date	Line Item #
11/13/2024	MS SGA Q1 Ch4R5B5	Other	Maintenance & Operation	42044	100100	11740	117026.18	11/13/2024	117026.18	11/13/2024	1
11/13/2024	MS SGA Q1 Ch4R5B5	Other	Maintenance & Operation	42044	100100	11740	44,165.52	11/13/2024	44,165.52	11/13/2024	2

Budget Categories		
1	Salary	\$39,237.09
2	Fringe	\$10,615.54
3	Travel	\$0.00
4	Equipment	\$40,700.26
5	Supplies	\$44,165.52
6	Contractual	\$0.00
7	Other	\$3,780
8	Indirect Costs	\$7,289.39
Total		\$145,787.80

37

Dell DIR-TSO-3763

OMNIA #R200803

Hardware

Reclassified from "other" to "equipment"

Description	Price
PowerEdge R7525 - [amer_r7525_13945]	\$40,700.26
Description	
SA/SATA Backplane	379-B05S
PowerEdge R7525 Server	210-AUVO
Trusted Platform Module 2.0 V3	461-AAAG
8x 3.5 SA/SATA with XGM	321-8FDU
AMD T702 2GHz/4C/128T 256M 200W 3200	338-B0WH
AMD T702 2GHz/4C/128T 256M 200W 3200	338-B0WH
Additional Processor Selected	378-B0CO
HeatSink for 2 CPU + GPU/PGA Full Length card config configuration	412-AAAG
Performance Optimized	370-AAAP
32GB MTa RDIMMs	370-AEVR
RAID 5	760-BCEP
PERC H745 Controller, Front	405-AAUE

38

Dell DIR-TSO-3763

OMNIA #R200803

Hardware

Reclassified from "other" to "supplies"

Description	Price	Qty	Ext. Price
ME4084 Drive Upgrades	\$788.67	56	\$44,165.52
Description			
14TB Hard Drive SAS 1500rpm 7.2K 512e 3.5in Hot-Plug, C10R A8			
Quantity			
56			
Subtotal			
			\$44,165.52

Correctly classified as "other"

Description	Price	Qty	Ext. Price
Services: Block Hours	\$189.00	20	\$3,780.00
Description			
Enterprise Block Hours - Enterprise Block Hours Services can be used for a number of services. 20 Hours of Services are estimated to complete the installation and configuration of the 56 drives in the ME4084 Drive Array.			
Subtotal			
			\$3,780.00

39

TOP EXPENSE CLARIFICATION

Unclear description:

Line #	PO Line #	Description	UOM	Qty	Unit Price	Extended Amount
1		COLUMBIA C4 2147P DIE VYDAC SUM	EA	1	\$ 1,127.65	

Clear description:

Line #	PO Line #	Description	UOM	Qty	Unit Price	Extended Amount	
10002-00		Sculpt Studio #22	2	C	\$4.50	0.000	100.00

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

40

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.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

41

Acceptable OTP Explanation

Example A: the grantee has provided a clear explanation for why the expenses were not reported during the correct period

August 2, 2023

Financial Manager
CPRIT

RE: [redacted]

Dear [redacted],

We request that charges for personnel services provided from outside the current reporting period be allowed to be reported during the reporting period 03/01/23-05/31/23.

Some employees had corrections for prior reporting periods. We have confirmed that these corrections are allowable and that the employee was authorized for the period paid.

Thank you very much for your consideration of this request.

With best regards,

[redacted]
VP Finance and Chief Accounting Officer

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS


42

Unacceptable OTP Explanation

Example B: the grantee has requested that the OTP expenses be approved, with no explanation for why the expenses were not reported during the correct period

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

Contract	Project	Activity	Customer Account	Order	Asset Category	Item Amt	Code	Posted Date	Supplier Name
SPA0003291	10029435	000004	100649	510457 Cdn Lab And Med Sup	SUPPLIES	1,070.00	RFP	1/16/2023	0000137252 CITIBANK N.A
SPA0003291	10029435	000003	100649	542210 Travel Out of State	TRAVEL	327.96	RFP	8/17/2022	0000137252 CITIBANK N.A
SPA0003291	10029435	000003	100649	542210 Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0
SPA0003291	10029435	000003	100649	542210 Travel Out of State	TRAVEL	287.95	RFP	8/17/2022	0000137252 CITIBANK N.A
SPA0003291	10029435	000003	100649	542210 Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

43

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.

44


Financial Status Report
Q&A



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

45

Personnel / Fringe Expense
Category



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS


46

FSR Personnel & Fringe Best
Practices

- Payroll ledger included and ties to expense ledger
- 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.

47

Personnel Level of Effort
(PLOE)




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

48

PLOE Updates


FSR	Keep PLOEs current (update prior to submitting the FSR) Outgoing personnel who provided LOE for reimbursement should remain on the PLOE for compliance purposes
NCE	Ensure that the PLOEs are current and accurate for No Cost Extensions (NCEs) as they default to zero.
Closeout	Grants transitioning to closeout status cannot be revised in CARS-CGMS, and any unlisted personnel expenses will not be reimbursed.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

52


Personnel Level of Effort Q&A



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

53

Travel Expense Category



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

54


Multiple lunches can be reimbursed on the same receipt if each person's name and organization are provided.

Answer: False

CPRIT will only reimburse meals for the individual(s) listed on the PLOE.

The receipt should indicate the allowed meal(s), minus any alcohol and gratuities.

Polling Question



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

55

Fiscal Management

State Finance

State Comptroller of Public Accounts

About FMX

Topics

Systems

Calendars/Schedules

Policies/Procedures (FPP)

Forms

Publications

Training

Home

Travel

Home

Rules

Transportation

Meals and Lodging

Exceptions

Miscellaneous Provisions

Examples

Documentation Required

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.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

56

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

57

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

58

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

59

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)

Ineligible Travel Costs



60




Foreign Currency

All foreign currency 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 all applicable supporting documents.


61

Travel Expense Category Q&A

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

62

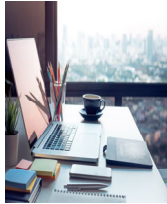
Supplies, Other, Contractual & Equipment

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

63

Supply Category Expenses

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



PAE Guide Reference, 10.6 Supplies Expense Category



64

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 paid prior to travel.*
- Postage and shipping services (FedEx, UPS), etc.



PAE Guide Reference, 10.6 Other Expense Category

65

My Company Ltd.

Date: 2019-01-01

Order No: 1234

INVOICE No: INV001

My Company Logo

Invoice To:

My Customer Name
1 Customer Street
Customer City
AB1 1CD
UK

Item	Description	Qty	Each	Total
1	Part No. 1	1	100.00	100.00
2	Part No. 2	2	200.00	400.00
3	Part No. 3	3	300.00	900.00

Total Net Amount € 1,400.00

VAT € 245.00 (17.5%)

Invoice Total € 1,645.00

Taxable net amount of invoice

My Company Ltd.

Head Office
1234
City
UK

Ref: 01234 5678
Rev: 01234 5678
Email: info@mycompany.com
Phone: [+441234567890](tel:+441234567890)

Issuance of goods and services when the invoice is paid in full

Downloaded by: [John Smith](#) for [John Smith](#) on 2019-01-01 10:00:00


FSR – Contractual

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

66

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


FSR – Contractual Travel



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

67

Equipment




For all equipment expenses (unit cost of \$5000 or more), the grantee **must** include acceptable documentation of CPRIT approval.

• Acceptable documentation includes:

• Initial Budget Justification with **equipment items highlighted**.


• Approved change request




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

68

Acceptable Equipment Documentation





CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS


69

Acceptable Equipment Documentation

LINE	PART ID	DESCRIPTION	UNIT	TSA	QUANTITY	UNIT PRICE	EXTENSION
1	MS0001	NanoAscenter Spin Instrument	EA	R	✓ 1.000	25,116.00	✓ 25,116.00
2		FREIGHT CHARGE	EA	N	0.000	0.00	78.00

Detailed Budget for Year One


Other Direct Charges	
Tax/rent	\$1,000
Equipment (Detailed) ✓ <small>Grants 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).</small>	\$50,000



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

70

Programmatic Topics



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS


71


Progress Reports

Ensure that Progress Reports contain accurate and complete impact data.

This includes, but is not limited to:

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





CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

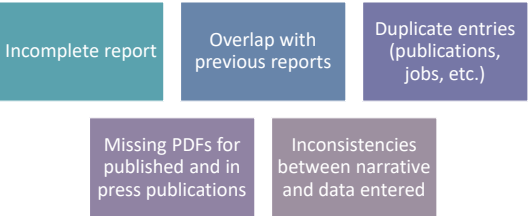
72

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

73

Progress Reports – Common Errors



74

CPRIT Acknowledgment

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

- Printed and visual materials related to CPRIT funding should include CPRIT acknowledgment and grant ID.
- Publications not funded by CPRIT, should not be included in the progress report
- **RR grants only** - Recruitment awardees are expected to report all publications relating to cancer, not just those fully or partially funded by CPRIT.

75

GIFT CARD CERTIFICATION

Gift Card Certification Form for CPRIT Grants

Grant recipients seeking reimbursement for otherwise allowable gift card expenditures must complete and submit this form to support the reimbursement request. **A separate form is required for each gift card denomination amount provided to project participants.** By submitting this form to CPRIT, you are certifying the accuracy of the information provided.

Project ID	
Date of Event	June 2023
Date of Gift Card Distribution <i>Enter if different than event date</i>	6/1; 6/8; 6/13; 6/15; 6/16; 6/19; 6/21; 6/22;
Demonination Value of gift cards <i>Only one denomination per form</i>	\$25.00
Total gift cards purchased <i>Report total number of gift cards of the same denomination (units received)</i>	100 @ \$24.85 =
Total gift cards distributed <i>Report total number of gift cards of the same denomination</i>	22 \$24.85 = \$546.70

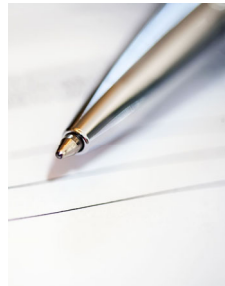
The date of the event, date of distribution, and total number of gift cards distributed should all fall within the FSR period and tie to the general ledger.

76

GIFT CARD SUPPORT DOCUMENTATION GUIDELINES

A receipt or ledger should include the following information.

- Participant's name or ID number
- Program or study name/number
- Gift card amount
- Distribution date
- Participant's signature



77

Gift Card Acknowledgement of Receipt

Date: _____

Protocol Number:

By signing below, I acknowledge receipt of the following Gift Card:

Recipient name or Participant ID number:

Gift Card Amount: _____

Purpose of Payment: _____

Signature of Participant: _____


78

Polling Question

Rebudgeting change requests are automatically approved by CPRIT in CGMS.


Answer: False

Rebudgeting change requests will only be automatically approved by CGMS if the changes are equal to or less than 10% of the grant year's total budget.




79

Change Request Types



- Goal or Objective Change
- Change of Organization Request
- No Cost Extension
- PI Change Request
- Key Personnel Level of Effort Change
- Rebudgeting
- Advancement of Funds
- Change – Not Otherwise Specified

80




Goal or Objective Change


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

81


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




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

82




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


CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

83



No Cost Extension (NCE)


- Not automatically approved
- Include new requested End Date
- More than 6 months can be requested. The increased number of months should be mentioned in the first sentence of the justification
- Request must be submitted at least 30 days prior to termination date but not more than 180 days prior
- The PI must exhibit measurable effort during an approved NCE


CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

84

Change in Principal Investigator (PI)

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







CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

85

Key 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







CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

86

Rebudgeting

- Total approved budget and assignment of costs may be adjusted
- Fund transfers between budget categories can be permitted if it aligns with the project's scope, contributes to project objectives, and is an efficient use of grant funds.
- Prior approval is not required for
 - Changes to line items within budget categories that do not exceed 10%
 - Do not alter the total approved budget, project nature, performance, or scope.





CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

87

Change Not Otherwise Specified (CNOS)
– International Travel

- International Travel added after contract execution
 - Include name of person traveling
 - Please provide Ad Hoc Documents with the conference brochure and travel expense cost estimates.

88

Single Audit Determination
(SAD) Form & Annual Audit

89

Single Audit Determination (SAD)Form

Audit Certification

For fiscal year 2022, we certify to the best of our knowledge that: (Check one)

☐ We spent less than \$750,000 in total STATE awards (including awards, grants, cooperative agreements, contracts) during our fiscal year ending 6/30/2022.
No State Audit is Required

☐ We spent \$750,000 or more in total STATE awards (including awards, grants, cooperative agreements, contracts) during our fiscal year ending 6/30/2022.
An Audit or Agreed Upon Procedures Engagement may be required, in accordance with State of Texas Single Audit Circular.

Note: If an Audit or Agreed Upon Procedures Engagement is required, the Audit must be submitted within the earlier of 30 days after receipt of the auditor's report, or nine months from the Grantee fiscal year end date.

PAP Guide References:
6.5.1 Single Audit Determination Form

90


Annual Audit

Audit Requirement
(Single Audit, Program Specific Audit, or Agreed Upon Procedures Audit (AUP))

- A delinquent required audit and/or corrective action plan
 - A hold on reimbursements/advances
 - And grantee is **ineligible** to be awarded a new or a continuation grant award
 - Until document is submitted and approved by CPRIT

Note: Unallowable Audit Submissions


- The Statewide Single Audit may **not** be used to fulfill a grantee's audit requirement because this audit does not include a review of state-funded grants
- State of Texas Annual Comprehensive Financial Report (ACFR)



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

91

Grant Support



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

92

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




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

93

CONTACT INFORMATION

Cameron Eckel Staff Attorney 512-305-8495 ceckel@cprit.texas.gov	Stephen Nance Compliance Program Manager 512-305-8405 snance@cprit.texas.gov
Rashonda Thomas Lead Compliance Specialist 512-626-2546 rthomas@cprit.texas.gov	Vince Burgess Chief Compliance Officer 512-305-8453 vburgess@cprit.texas.gov



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

94

CPRIT Grantee Annual Compliance Training

March 2024



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Prevention

95
