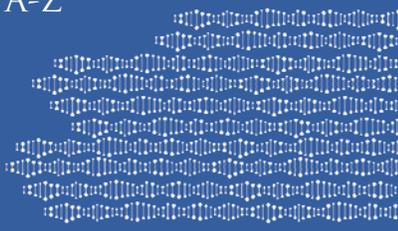


 CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

## THE CPRIT GRANT POST-AWARD PROCESS: A-Z

FY2017



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### WELCOME & INTRODUCTIONS

|   |   |
|---|---|
| <p>Cameron Eckel<br/>Staff Attorney<br/>512-305-8495<br/><a href="mailto:ceckel@cprit.texas.gov">ceckel@cprit.texas.gov</a></p>                   | <p>Ramona Magid<br/>Senior Program Manager for Prevention<br/>512-305-8417<br/><a href="mailto:rmagid@cprit.texas.gov">rmagid@cprit.texas.gov</a></p> |
| <p>Oralia Huggins<br/>Grant Compliance Specialist<br/>512-305-8475<br/><a href="mailto:ohuggins@cprit.texas.gov">ohuggins@cprit.texas.gov</a></p> | <p>Vince Burgess<br/>Chief Compliance Officer<br/>512-305-8453<br/><a href="mailto:vburgess@cprit.texas.gov">vburgess@cprit.texas.gov</a></p>         |
| <p>Dan Limas<br/>Operations Specialist<br/>512-305-8479<br/><a href="mailto:dlimas@cprit.texas.gov">dlimas@cprit.texas.gov</a></p>                |   |

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### TRAINING OVERVIEW

- Compliance Program
- Administrative Rule Changes
- Required Reporting
- Change Requests/Grant Closeout

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## GRANT REQUIREMENTS SOURCES

- [Texas Health and Safety Code Chapter 102](#)
- [Texas Administrative Code, Title 25, Chapters 701–703](#)
- CPRIT Policies and Procedures Guide
- Uniform Grant Management Standards
- Grant Contract
- Request for Applications

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## GRANTEE RESOURCES

[http://www.cprit.state.tx.us/funded-grants/  
grantee-resources/](http://www.cprit.state.tx.us/funded-grants/grantee-resources/)

- Grant Policies and Procedures Guide
- Guidance on Agreed Upon Procedures
- Required Reports and Consequences Table
- FSR Required Supporting Documentation
- Non-Key PLOE Update Form

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## COMMON ACRONYMS

- ASO – Authorized Signing Official
- AUP – Agreed Upon Procedures
- CARS – CPRIT Application Receipt System
- CGMS – CPRIT Grants Management System
- CR – Company Representative
- FICR – Federal Indirect Cost Rate
- FSR – Financial Status Report
- HUB – Historically Underutilized Business
- MCC – Matching Compliance Certification

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## COMMON ACRONYMS

- NCE – No Cost Extension
- OC – Oversight Committee
- PI – Principal Investigator
- PD – Program Director
- PLOE – Personnel Level of Effort
- RFA – Request for Applications
- SAD – Single Audit Determination
- TAC – Texas Administrative Code
- UGMS – Uniform Grant Management Standards

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## COMPLIANCE PROGRAM OVERVIEW

*Ensures CPRIT's commitment to our mission, transparency, and accountability through:*

- Monitoring Grant Awards Process
- On-Boarding / Annual Training
- Grant Monitoring
  - Risk Assessments
  - Annual Attestation
  - Desk Reviews
  - On-site Reviews
  - Ad-hoc Reviews
  - Single Audit Reviews
- Fraud, Waste, & Abuse Reporting

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## FRAUD, WASTE, & ABUSE

**How do I Make a Report?**

(Users can remain anonymous)

**Use Client Code #5124633190**

**Call**

1-877-64-RedFlag  
(1-877-647-3335)

**Online**

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

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## FRAUD, WASTE, & ABUSE



**Red Flag Reporting**  
Report concerns safely, securely and anonymously 24/7.

If you are uncomfortable with a situation, *Be Proactive*.

Red Flag Reporting is your hotline for:

- fraudulent activity/ theft,
- misconduct,
- safety violations,
- unethical behavior.

Protect your organization and your co-workers.

Secure Every Employee's Desire to Feel Protected and Safe.

Click [www.RedFlagReporting.com](http://www.RedFlagReporting.com)  
or  
Call 1-877-66-RedFlag (1-877-647-3333)  
Client Code: 512633190

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## GIFTS TO CPRIT

- CPRIT may not award a grant to an applicant who has made a gift to CPRIT on or after June 14, 2013
- Applicants must certify they have not made a gift to CPRIT at the time of submission and at the time of contract execution
- An application submitted by a grant applicant that has made a gift to CPRIT or a foundation supporting CPRIT will be withdrawn from consideration for a grant award – the donation must be returned in order for the applicant to be eligible

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## CPRIT ACKNOWLEDGEMENT

- Grant Contract Article 9, Section 9.04
- Acknowledgement in all materials regarding the work associated with Institute-Funded activities
- Submit electronic version of final peer-reviewed manuscripts that arise from grant funds to PubMed Central
- Prior approval required before printing of materials that are Institute-Funded
- Use of Logo – name and state seal
  - <http://www.cprit.state.tx.us/news/media-center/>

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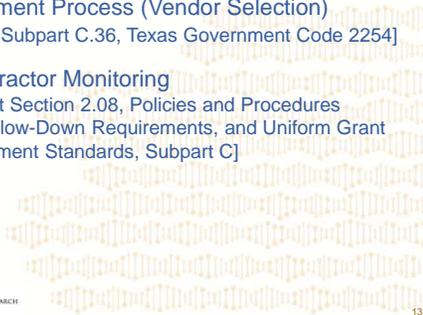
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**COMMON COMPLIANCE REVIEW FINDINGS**

- Procurement Process (Vendor Selection)  
[UGMS, Subpart C.36, Texas Government Code 2254]
- Subcontractor Monitoring  
[Contract Section 2.08, Policies and Procedures Guide: Flow-Down Requirements, and Uniform Grant Management Standards, Subpart C]



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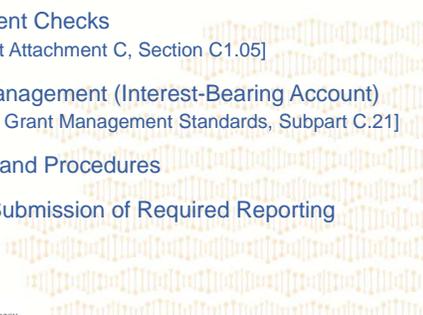
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**COMMON COMPLIANCE REVIEW FINDINGS**

- Debarment Checks  
[Contract Attachment C, Section C1.05]
- Cash Management (Interest-Bearing Account)  
[Uniform Grant Management Standards, Subpart C.21]
- Policies and Procedures
- Timely Submission of Required Reporting



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**COMMON COMPLIANCE REVIEW FINDINGS**

- CPRIT Acknowledgment in Publications
- Single Audit Determination (SAD) Form Errors
- Matching Compliance Certification (MCC) Errors
- FSR Reporting Errors



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## REPORTING & CONSEQUENCES

| Category                        | Required Report   | Frequency  |
|---------------------------------|---|--|
| Administrative/Financial Report | All grant recipients  | 90 days after the end of the state fiscal quarter<br>Tex. Admin. Code § 201.00200  |
| Progress Report                 | All grant recipients  | 90 days after the end of state fiscal quarter<br>Tex. Admin. Code § 201.00200  |
| Scientific Progress Report      | Prevention grant recipients   | 15 days after the end of the state fiscal quarter  |
| Research Report                 | All grant recipients  | 90 days after the anniversary of the grant contract effective date<br>Tex. Admin. Code § 201.00200   |
| Compliance Report               | Compliance/Contractual/Personnel grant recipients                           | Have Certifications of Adequacy for specific grants<br>Tex. Admin. Code § 201.00200  |
| Final Progress Report           | All grant recipients  | Within 90 days of grant contract termination date<br>Tex. Admin. Code § 201.00200  |
| Final Financial Report          | Research grant recipients including compliance/contractual/personnel        | Complete final certification, 90 days following the due date of the final scientific report received during the last year of the grant's contract year<br>Tex. Admin. Code § 201.00200 |
| Final Progress Report           | All grant recipients  | 90 days after the anniversary of the grant contract effective date<br>Tex. Admin. Code § 201.00200   |
| Final Financial Report          | All grant recipients  | 90 days after the anniversary of the grant contract effective date<br>Tex. Admin. Code § 201.00200   |
| Final Progress Report           | All grant recipients  | 90 days after the anniversary of the grant contract effective date<br>Tex. Admin. Code § 201.00200   |
| Final Financial Report          | All grant recipients  | 90 days after the anniversary of the grant contract effective date<br>Tex. Admin. Code § 201.00200   |
| Final Progress Report           | Recipients that exceed 500,000 of direct costs in the contract's final year | Within 90 days of receipt, but no more than 120 days after the recipient's final year end<br>Tex. Admin. Code § 201.00200  |
| Final Financial Report          | All grant recipients  | 90 days after the grant contract termination date<br>Tex. Admin. Code § 201.00200  |

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## REPORTING & CONSEQUENCES

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| Final Financial Report          | All grant recipients  | 90 days after the grant contract termination date<br>Tex. Admin. Code § 201.00200  |

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## CONSEQUENCES OF NON-COMPLIANCE

- Withhold Reimbursement/Advancements
- Waive Reimbursement
- Termination of the Grant
- Ineligible to receive additional grants

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COMPLIANCE PROGRAM/MONITORING

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Q & A

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CURRENT, PROPOSED ADMINISTRATIVE RULE CHANGES\*

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1. Single Audit Determination
2. Agreed Upon Procedures
3. No Cost Extension
4. Financial Status Reports
5. Final Financial Status Report
6. Fiscal Policies
7. Disbursement of Grant Funds
8. Grant Award Budgets
9. Allowable Costs

\* Note that the above topics are just a sample of the proposed administrative rule changes presented at the 8/17/16 Oversight Committee meeting. To see all proposed changes, visit CPRIT's website: <http://www.cprit.state.tx.us/about-cprit/laws-rules-and-guidelines/>.

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1. SINGLE AUDIT DETERMINATION

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- Proposed changes address when a Single Audit Determination (SAD) form is due and increase the threshold requiring an audit.

|   |   |
|---|---|
| <p><b>Background:</b> All grantees are required to submit a SAD form. Some grantees may also be required to submit an audit, which currently is required if a grantee spends \$500,000 or more in state awards.</p> | <p><b>Proposed Changes:</b> Clarifies that a SAD form is due within 60 days of the anniversary date of the grant contract effective date. <b>The threshold requiring an audit is increased to \$750,000.</b></p> <p>Applicable Rule: § 703.13</p> |
|---|---|

> The proposed rule does not change the SAD due date but clarifies within the "Audit and Investigations" rule.

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## 2. AGREED UPON PROCEDURES

- If a grantee is required to submit an audit, there are three options to fulfill the requirement: independent audit, program specific audit, or an agreed upon procedures engagement.

**Background:** Guidance on agreed upon procedures for grantees has been available on CPRIT's website since the fall of 2015.

**Proposed Change:** The proposed amendment codifies current requirements to fulfill an agreed upon procedures engagement.

**Applicable Rule:** § 703.13

- This proposed rule change does not substantively affect grantees but makes it clear what is required in an agreed upon procedures engagement.

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## 3. NO COST EXTENSION

- A grantee may request a no cost extension (NCE) in order to complete goals and objectives of the grant project.

**Background:** Grantees may ask for additional time to complete work on a grant project via a NCE request. A typical NCE duration is six months unless special circumstances justify more time.

**Proposed Changes:** Clarifies when and how often a NCE may be granted by CPRIT. The proposed changes also clarify how a grantee may request a NCE outside of the specified time period. The request must be in writing and show good cause.

**Applicable Rules:** § 703.14

- NCE must be submitted no earlier than 180 days and not later than 30 days before the termination date of a grant contract.
- The CPRIT CEO may approve a late NCE for good cause.
- Grantee must be in good fiscal and programmatic standing in order to receive NCE approval.
- CPRIT may approve multiple NCEs for a grantee.

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## 4. FINANCIAL STATUS REPORTS

- All grantees must complete Financial Status Reports (FSRs) to report grant expenditures. The new rule, § 703.24, details FSR requirements, many of which are already required in § 703.21.

**Background:** The proposed new rule contains all requirements currently in § 703.21 including: due date, grace period, deferrals, waivers, and appeal of waivers.

**New Rule:** Clarifies what must be included in an FSR, appropriate supporting documentation, and what the Institute will review.

**Applicable Rule:** §703.24(a)-(b)

- An FSR is due within 90 days of the end of a state fiscal quarter. There is a 30 day grace period after the 90 days. A grantee may request a deferral, which is due on or before the end of the 90 day due date.
- If an FSR is not submitted or properly deferred, reimbursement will be waived.

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## 5. FINAL FINANCIAL STATUS REPORTS

- Grantees must submit a final FSR at the end of a grant project.

**Background:** Clarifies when a final FSR is due.

**Due Date:** The final FSR is due within 90 days of the end of the state fiscal quarter that includes the termination date of the grant contract.

**Applicable Rule:** §703.14(d)

- CPRIT may approve additional time to submit the final FSR for good cause shown by the grantee.

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## 6. FINANCIAL POLICIES APPLICABLE TO GRANTEES

- Current text in § 703.15 is replaced with grantee fiscal policy requirements.

A grantee must maintain a sound financial management system that provides controls and accounting procedures to ensure accurate reports and documentation to CPRIT.

**Review:** CPRIT may review the adequacy of the financial management system of a grantee to ensure it fulfills CPRIT's requirements.

**Applicable Rule:** §703.15

- A grantee may use controls and policies already in place as long as they are consistent with all CPRIT requirements.
- A grantee must use cash basis accounting for CPRIT award funds.

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## 7. DISBURSEMENT OF GRANT FUNDS

- The proposed new rule clarifies how CPRIT may disburse grant funds. The new rule incorporates requirements currently located in § 701.19.

**Background:** Most grant funds are disbursed on a reimbursement basis. If approved by the Oversight Committee, some grantees may receive advanced funds (most commonly Product Development Research grantees).

**To receive disbursement:** Must be reported on an FSR, allowable, supported by adequate documentation.

**Applicable Rule:** §703.23

- The Institute may withhold disbursement if required programmatic and financial reports are not submitted and approved.
- Grant funds will not be disbursed prior to the effective date of an executed grant contract.

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## 8. GRANT AWARD BUDGET

- The proposed new rule, § 703.25, codifies procedures and requirements a grantee must follow regarding a grant award budget.

**Transfers:** Transfers between or among budget categories are allowed as long as within the scope of the grant contract and total budget.

**Institute Approval:** All budget changes or transfers require Institute approval except if the change or transfer is not more than 10%, will not increase or decrease total budget, and will not materially change scope of project. All changes to the equipment budget category must be approved by CPRIT.

> A grantee may carry forward unexpended budget funds in a project year. A carry forward must be approved by CPRIT if the amount is more than 10% of the project year budget and a grantee must provide justification why the award amount should not be reduced.

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## 9. ALLOWABLE COSTS

- The proposed new rule, § 703.26, defines allowable costs as well as moves list of examples of unallowable costs from § 703.12 to § 703.26 .

**Allowable cost:** a cost is allowable if it is reasonable, allocable, and adequately determined.

**Allocable Cost:** benefits the grant award, assigned to the grant award, not prohibited, not used as part of matching fund requirement, and follows all applicable state laws and rules.

- Allowable costs must be incurred within the contract term, unless the grantee has received written approval from CEO
- An allowable cost is not eligible to be reimbursed if it does not benefit the CPRIT grant award
- If CPRIT's statute, administrative rules, and contract are silent on an issue, consult the Uniform Grant Management Standards.

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## CURRENT, PROPOSED ADMINISTRATIVE RULE CHANGES

# Q & A

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## REPORTING - FSRs

- FSRs are due within 90 days of the end of the state fiscal quarter
- Grantees have a 30 day grace period after the FSR Due Date
- Reimbursement of project costs incurred during the reporting period **will be waived** if the FSR is not submitted within 30 days of the FSR due date

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## REPORTING - FSRs

| Fiscal Quarter/<br>Reporting Period | FSR<br>Due Date | Last Day of<br>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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## \*REPORTING - FSRs (CONTRACTS EFFECTIVE 8/31)

| Fiscal Quarter/<br>Reporting Period | FSR<br>Due Date | Last Day of<br>Grace Period |
|-------------------------------------|-----------------|-----------------------------|
| Aug 31 - Aug 31                     | Nov 29          | Dec 29                      |
| 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 30                     | Nov 28          | Dec 28                      |

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### REPORTING - FSRs

- Report only expenses paid during the reporting period
  - Payroll is an exception
- Process for reporting expenses outside of reporting period
  - CPRIT will accept invoices outside of reporting period only with management justification for late submission



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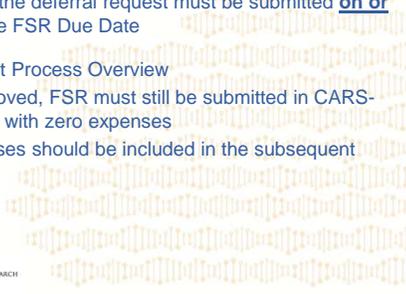
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### REPORTING - FSRs

- Grantees can request a deferment for filing an FSR; however, the deferral request must be submitted **on or before** the FSR Due Date
- Deferment Process Overview
  - If approved, FSR must still be submitted in CARS-CGMS with zero expenses
  - Expenses should be included in the subsequent FSR



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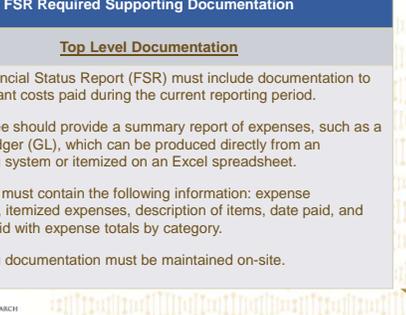
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### REPORTING - FSRs

**FSR Required Supporting Documentation**

Top Level Documentation

- Every Financial Status Report (FSR) must include documentation to support grant costs paid during the current reporting period.
- The grantee should provide a summary report of expenses, such as a general ledger (GL), which can be produced directly from an accounting system or itemized on an Excel spreadsheet.
- The report must contain the following information: expense categories, itemized expenses, description of items, date paid, and amount paid with expense totals by category.
- Supporting documentation must be maintained on-site.



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## REPORTING - FSRs

**FSR Required Supporting Documentation**

**Top Level Documentation**

- If date paid information cannot be found in the summary report, it should be noted on invoices.
- A payment claimed for a period earlier than the current period should be accompanied by a letter or memo explaining the extenuating circumstance that the payment was not claimed in the appropriate period.
- In addition to the summary report of expenses, a grantee must provide documentation to support expenses reported for each category listed below.



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## COMMON FSR REPORTING ERRORS

1. Submitting accrued expenses.

- All expenses submitted for reimbursement must have been paid during the quarter reported. No accrued expense should be reported on the FSR.



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## COMMON FSR REPORTING ERRORS

2. Submitting invoices with dates outside the current reporting period.

- CPRIT will accept invoices with prior dates within 90 days of reporting period only with management justification for late submission.
- Invoices with dates after the reporting period must be reported in the following quarter when they are paid.



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### COMMON FSR REPORTING ERRORS

3. Employees reported on grant payroll are not listed on the Personnel Level of Effort form in CARS/CGMS or Non-Key CPRIT Grant Personnel Update form

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### PLOE & NON-KEY PLOE

- Employee positions listed in the approved budget should be listed on the Personnel Level of Effort (PLOE) in CARS / CGMS
- If you are submitting salary expenses for an employee on the financial status report, show the position name and title on the PLOE prior to submitting for payment
- Changes in Key Personnel should be reported in CARS / CGMS on the Personnel Level of Effort Form
  - Key Personnel are defined as Principal Investigator, Program Director, and/or Company Representative

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### PLOE & NON-KEY PLOE

- Non-Key PLOE form allows grantees to report personnel changes to the CPRIT grant and does not require CPRIT approval
- Non-Key PLOE form can be found on the CPRIT website, Grantee Resources Page:  
<http://www.cprit.state.tx.us/funded-grants/grantee-resources/>

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### COMMON FSR REPORTING ERRORS

#### 4. Submitting reimbursement for expenses not listed and approved in initial project budget.

- If a major expense is not itemized in the budget, it will not be reimbursed without program management approval, i.e. tuition, stipends, equipment, gift cards, and office furniture.
- For gift card incentives, you must maintain a log of recipients with their signature and date they received the card to submit with the reimbursement request.
- All furniture purchases must be approved by program managers and listed on the project budget.

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### COMMON FSR REPORTING ERRORS

#### 5. Interdepartmental charges not adequately documented.

- CPRIT will accept a form developed by the organization that details the interdepartmental expenses (services/supplies) with dates received and the signature of an individual documenting receipt.

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### COMMON FSR REPORTING ERRORS

#### 6. Inadequate supporting documentation

- For academic institutions, the Supplies and 'Other' categories require invoices for any single expenditure equal to or greater than \$750. There is no minimum amount for non-profits and for-profits.
- Travel, contractual, and equipment require 100% documentation – *applies to all grantees*.
- Must provide vendor invoices instead of purchase orders.

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## COMMON FSR REPORTING ERRORS

### 7. Submitting incorrect travel documentation.

- The following must be provided for all travel expense reported: receipts for Hotel, Airfare, Car Rental and Travel Mileage Logs, Google Maps showing total travel mileage.
- Tips and alcohol are unallowable.
- CPRIT uses the State of Texas Travel Guidelines via the Comptroller's website & Texas Administrative Code § 20.301-369.

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## REPORTING - FSRs

### Costs – Allowable vs. Unallowable

- Purchase of equipment, if not initially budgeted in the CPRIT proposal, requires prior approval.
- Academic conferences may be paid for with CPRIT grant funds if they are in the budget. In most cases, CPRIT grant awards only pay for two participants to attend the biennial CPRIT Conference. Research Training Awards and poster session presenters are exceptions to the two-attendee rule.

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## REPORTING - FSRs

### Costs – Allowable vs. Unallowable

- Invoices posting after the end of a financial quarter are unallowable. These costs should be reported in the following quarter's financial status report.
- Cost transfers processed after 90 days are unallowable. Cost transfers are allowed to make corrections to bookkeeping errors.

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## REPORTING - FSRs

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### Costs – Allowable vs. Unallowable

- Clothing purchases such as uniforms, lab coats, boots, etc. necessary to perform the project work are allowable, but they must be listed in the project budget.
- Personal insurance on a rental car is unallowable. CPRIT will cover insurance costs when insurance is purchased through the car rental agency.
- Cell phone charges paid as supplemental payroll are unallowable. Payments directly to a cell phone provider are allowable.

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## REPORTING - MCC

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### Helpful Hints

- Notice of Award for State, Federal, or non-governmental entity can fulfill requirement
- Maintain a separate account for funds used to meet matching requirement
- Submit all documentation of expenditures used to meet annual matching requirement
- Institutions of Higher Education may use their Federal Indirect Cost Rate to fulfill match requirement
- Institutions of Higher Education must upload most current indirect cost rate agreement

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## REPORTING - MCC

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### MCC for Public and Private Institutions of Higher Education – use of Federal Indirect Cost Rate (FICR)

Example:

- University receives a one year grant totaling \$500,000
- Required Matching Funds = \$250,000 (\$500,000 X 50%)
- University's FICR = 54%
- Of the 50% match required, 49% (54% – 5%) is covered by FICR credit.
- FICR Credit of \$245,000 (\$500,000 X 49%) counted toward match.
- University funds needed for match = \$5,000 (\$500,000 X 1%)

- The matching funds credit is the difference between the FICR and the 5% indirect cost rate allowed by CPRIT
- For any required match amount not covered by FICR credit, grantee must have funds dedicated to the project
- The grantee must file documentation of the FICR with CPRIT and maintain adequate documentation of funds used for match at the time of the certification

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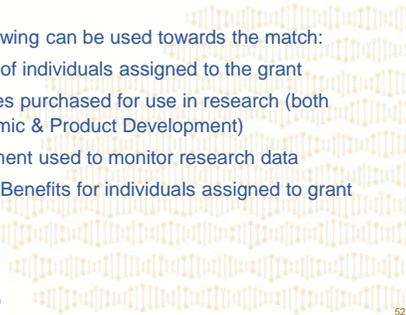
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## REPORTING - MCC

### Helpful Hints

- > The following can be used towards the match:
  - Salary of individuals assigned to the grant
  - Supplies purchased for use in research (both Academic & Product Development)
  - Equipment used to monitor research data
  - Fringe Benefits for individuals assigned to grant
  - Travel



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## REPORTING - MCC

### Helpful Hints

- > Restrict use of matching funds to activities related specifically to the grant
- > Grant funds for the next project year will not be disbursed until the matching funds verification for the previous year and certification for the upcoming year have been approved



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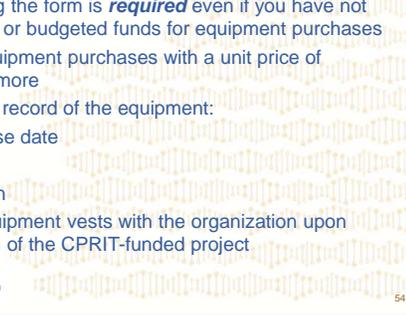
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## REPORTING - INVENTORY REPORT

### Helpful Hints

- > Completing the form is **required** even if you have not purchased or budgeted funds for equipment purchases
- > Report equipment purchases with a unit price of \$5,000 or more
- > Maintain a record of the equipment:
  - Purchase date
  - Cost
  - Location
- > Title to equipment vests with the organization upon completion of the CPRIT-funded project



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## REPORTING - REVENUE SHARING

### Tips & Hints

- Completing the form is **required** even if you have no revenue to report
- Maintain a separate account for revenue earned from grant funded activity, sales, etc.
- Keep complete and accurate revenue records
- Payments due to CPRIT shall be determined on a calendar basis and shall be paid quarterly within 30 days after the close of the calendar quarter

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## REPORTING - HUB/TEXAS SUPPLIERS

### Tips & Hints - HUBs

- Grant recipients are expected to make good faith efforts to utilize HUBs in subcontracts for construction, commodities purchases, and other services, including professional and consulting services, paid for with Grant Award funds

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## REPORTING - HUB/TEXAS SUPPLIERS

### Tips & Hints – Texas Suppliers

- For goods and services purchased with Grant Award funds, grant recipient must make good faith efforts to purchase at least 50% from suppliers in the State of Texas
- A Grant Recipient that expends more than 40% of Grant Award funds budgeted for a Project Year on goods and services outside of the State must notify CPRIT in writing and provide an explanation of the good faith efforts undertaken to purchase from suppliers in the State

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## REPORTING - HUB/TEXAS SUPPLIERS

### Tips & Hints

- Form is **required** even if you have been unable to purchase from Texas suppliers or HUB(s)
- Complete form in its entirety - make sure to enter a check on all checkboxes or form will be disapproved
- Link to HUB Directory <https://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp> and vendor debarment list

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## REPORTING - SAD FORM

### Helpful Hints

- Form completion is required even if you have not spent more than \$750,000 and/or the grant has ended
- Always enter the current fiscal year end date that falls within the grant year listed at the top right of the form

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## SAD FORM EXAMPLE

Grantee's Fiscal Year End Date:   
 Grant Contract Effective Date:   
 Contract Year 1 End Date:   
 Contract Year 2 End Date:   
 Contract Year 3 End Date:

Year 1 SAD Form –  
 Enter Fiscal Year End:

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### SAD FORM EXAMPLE

September 1, 2014  
Grant Contract Begins

August 31, 2015  
Grant Year 1 End Date

June 30, 2015  
Grantee's Fiscal Year End Date

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### REPORTING - SAD FORM

**Helpful Hints**

- **EXCEPTION:** when a grant year begins on the same date as the fiscal year end, the SAD form should reflect the following fiscal year
- **Please note:** if there is at least a one month difference between the grant year end and fiscal year end, the form should reference the fiscal year that ends within the grant year, even if no costs are incurred during that period.

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### SAD FORM EXAMPLE

Grantee's Fiscal Year End Date: August 31, 2015

Grant Contract Effective Date: August 31, 2015

Contract Year 1 End Date: August 30, 2016

Contract Year 2 End Date: August 30, 2017

Contract Year 3 End Date: August 30, 2018

Year 1 SAD Form –  
Enter Fiscal Year End: August 31, 2016

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### SAD FORM EXAMPLE

**August 31, 2015**  
Grant Contract Begins

**August 30, 2016**  
Grant Year 1 End Date

**August 31, 2015**  
Grantee's Fiscal Year End Date

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### SAD FORM EXAMPLE

**Grantee's Fiscal Year End:**

**Grant Contract Effective Date:**

**Contract Year 1 End Date:**

**Contract Year 2 End Date:**

**Contract Year 3 End Date:**

**Year 2 SAD Form –**  
**Enter Fiscal Year End:**

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### SAD FORM EXAMPLE

**Grantee's Fiscal Year End Date:**

**Grant Contract Effective Date:**

**Contract Year 1 End Date:**

**Contract Year 2 End Date:**

**Contract Year 3 End Date:**

**Year 2 SAD Form –**  
**Enter Fiscal Year End:**

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### SAD FORM EXAMPLE

**Grantee's Fiscal Year End Date:**

**Grant Contract Effective Date:**

**Contract Year 1 End Date:**

**Contract Year 2 End Date:**

**Contract Year 3 End Date:**

**Year 1 SAD Form –**  
**Enter Fiscal Year End:**



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### REPORTING - SAD FORM

#### **Audit Requirement**

- If a grantee expends \$750,000 or more in state awards, they are required to submit a single audit, program-specific audit, or an agreed-upon procedures engagement
- Must be submitted within 30 days of receipt, but no more than 270 days after the grantee's fiscal year end



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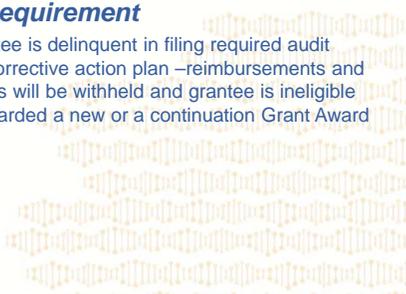
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### REPORTING - SAD FORM

#### **Audit Requirement**

- If a grantee is delinquent in filing required audit and/or corrective action plan –reimbursements and advances will be withheld and grantee is ineligible to be awarded a new or a continuation Grant Award



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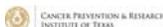
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## REQUIRED REPORTING

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# Q & A

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## REPORTING - PROGRESS REPORTS

- **Annual** - 60 days after the anniversary of the grant contract effective date
- **Quarterly\*** - 15 days after the end of the state fiscal quarter
- **Tranche/Interim** - Upon completion of milestones/per Program requirements
- **Final** - Within 90 days of grant contract termination date

\*PREVENTION ONLY

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## REPORTING - PROGRESS REPORTS

### Tips & Hints

- No disbursement of grants funds will be made until the progress report is approved
- If errors are made or adequate information is not provided, report will be disapproved and sent back for rework
- Allow enough time for ASO approval and submission **before** deadline
- Other financial reports must be submitted annually along with the programmatic progress report

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### REPORTING - PROGRESS REPORTS

#### Annual Progress Report Requirements

- Key Accomplishments
- Summary of Goals & Objectives
- Client Stories & Quotes
- Materials Produced
- Publications
- Abstracts & Presentations
- Patents
- Economic Impact
- Supporting Documents

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### REPORTING - PROGRESS REPORTS

- Quarterly Progress Reports – **\*PREVENTION ONLY\***
  - People Reached
  - People Served
  - People Educated – Actions Taken
  - Clinical Services
  - Abnormal Screening Results
  - Precursors or Cancers Detected
  - Professionals Reached
  - Professionals Educated/Actions Taken
  - Project Narrative

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### CHANGE REQUEST TYPES

- Audit Extension Change Request
- Change – Not Otherwise Specified (e.g., add equipment purchases, tuition costs, foreign travel approvals)
- Goal or Objective Change
- Change of Organization Request
- Contract Amendment Change Request

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### CHANGE REQUEST TYPES

- No Cost Extension  
(Must be submitted at least 30 days but no more than 180 prior to the Contract Termination Date)
- PI Change Request
- Rebudgeting  
(Requests under 10% are automatically approved)
- Personnel Level of Effort Change

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### CHANGE REQUESTS

**Unless otherwise noted, Change Requests:**

- Should be completed prior to submitting FSR
- Require CPRIT approval
- All requests must be made via the dropdown under the Change Request Tab in CGMS

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### GRANT CLOSEOUT

#### Close-Out Documents

- Final close-out documents include:
  - Final Progress Report
  - Annual Inventory Report
  - Historically Underutilized Business / Texas Supplier Report
  - Single Audit Determination Form
  - Revenue Sharing Form

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## GRANT CLOSEOUT

### Close-Out Documents

- Grantees must file final close-out reports **within 90 days** of contract termination date.
- **PLEASE NOTE:** Final Financial Status Report is due 90 days following the end of the last state fiscal quarter that includes the termination date of the grant contract.



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## GRANT CLOSEOUT

### Close-Out Documents

- Grant institutions are ineligible to receive new or continuation grant awards if close-out documents aren't submitted **within 180 days** of the termination date for any grant.
- An institution will remain ineligible to receive new grant awards or continuation grant awards until the close-out documents are submitted.
- It is possible to request that the CPRIT CEO waive submission of close out documents.



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## GRANT CLOSEOUT

### Post Close-Out

- Certain contractual obligations extend beyond the grant contract termination date such as:
  - Single Audit or an Agreed Upon Procedures should be submitted by the due date.
  - If applicable, providing intellectual property information about product development activities and revenue sharing.



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## GRANT CLOSEOUT

### Post Close-Out

- Maintaining grant contract records for 4 years from the termination date of the contract.
- Even though a grant is closed, certain forms and functions such as correspondence and the ability to upload Ad Hoc documents are still accessible in CGMS.

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## YEAR-END FORM SUBMISSION



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## CHANGE REQUESTS/GRANT CLOSEOUT

### Q & A

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## WELCOME & INTRODUCTIONS

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