



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Product Development Program

CPRIT Grantee
Annual Compliance Training
June 2025

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CONTACT INFORMATION

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TRAINING OVERVIEW


- **Introductions**
- **FWA Reporting**
- **Administrative Rule Changes / P&P Guide Overview**
- **Required Reporting**
- **Compliance Reviews**
- **Programmatic Topics**

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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

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FRAUD, WASTE, & ABUSE

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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.
Because Every Employee Deserves to Feel Protected and Safe.

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

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FRAUD, WASTE, & ABUSE

How do I Make a Report?
Use Client Code #5124633190
(Users can remain anonymous)

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

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ADMINISTRATIVE RULES AND POLICIES AND
PROCEDURES GUIDE

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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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Recently Adopted Administrative Rule Changes


-  Audit Threshold for Grantees
-  Unallowable Grantee Expenses
-  Texas Cancer Plan Format

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Recently Adopted Administrative Rule Changes

Adopted Administrative Rule	Citation	Rule Change Description	Published
Audit Threshold	§ 703.13(b)	* Increases the grant recipient audit threshold from \$750,000 to \$1 million. * A grantee who expend at or above the threshold must obtain an annual single independent audit.	Texas Register on 12/06/24
Unallowable Grantee Expenses	§ 703.26(e)	* Adds the following to the list of unallowable grantee expenses: * "reimbursements to employees for their out-of-pocket health insurance premium or other health care expenses which are not made through an employer-sponsored plan established under Section 105 of the Internal Revenue Code."	Texas Register on 12/06/24
Texas Cancer Plan format	§ 701.11(f)	* Removes the hard copy option for the Texas Cancer Plan. * The 2024 Texas Cancer Plan is available as a fully online, dynamic resource available to the public (https://www.texasancerplan.org/)	


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CPRIT's Online Portal for Grantee Intellectual Property (IP) Reporting

- The CPRIT online portal for IP reporting is now active.
- Grantees must notify CPRIT of IP-related actions through the [CPRIT Intellectual Property \(IP\) Reporting Portal](#).
- CPRIT's Dr. Michelle Leeuwon provides IP database updates via email.
- If you have any questions about the online portal for IP reporting, please contact jreporting@cprit.texas.gov.

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ADMINISTRATIVE RULES AND POLICIES AND
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Q&A

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REQUIRED GRANT REPORTS


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Reporting Requirements


- ❖ **Annual**
 - Inventory Report
 - Revenue Sharing Report
 - HUB/Texas Suppliers Report
 - Matching Compliance Certification
 - Annual Progress Report
 - Single Audit Determination Form
 - Audit Report
- ❖ **Quarterly**
 - Financial Status Report
 - Quarterly Progress Report
- ❖ **Periodic**
 - Interim/ Tranche Report

❖ All report due dates are available in CGMS

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FINANCIAL STATUS REPORT (FSR)

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Polling Question

Quarterly FSRs, in 'Complete Web Form' status, can be submitted as early as the day after the fiscal quarter ends.

A. True
B. False

Answer: A. True



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FSR Due Dates

Fiscal Quarter	FSR/Deferral Due Date	Last Day of Grace Period
Sept 1 – Nov 30	February 28	March 30
Dec 1 – Feb 28	May 29	June 28
Mar 1 – May 31	August 29	September 28
June 1 – Aug 31	November 29	December 29

FSRs in "Complete Web Form" status can be submitted as early as the day after the fiscal quarter ends, up until the due date.

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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.

Resource Documents

The grant reporting resource documents listed here are designed to assist grantees in submitting accurate information and documentation for all expenses reported to CPRIT.

- [FSR Checklist for Academic Research](#)
- [FSR Checklist for Product Development](#)
- [FSR Checklist for Prevention](#)
- [FSR categories and required supporting documentation](#)
- [Match Eligibility Matrix](#)

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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

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Polling Question

Acceptable written explanation for an OTP expense includes a separate memorandum or a note written directly on the supporting documentation that explains the OTP expense.

A. True
B. False

Answer: A. True

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Acceptable Out of the Period (OTP) Memo

To:
From:
Date:

Re: Request for payment of Out of the Period (OTP) expenses


Dear [Grant Accountant Name],

This request is to allow the following expense(s) from a previous reporting period to be reported within the current reporting period. *[enter reporting period dates]*.

List vendor, amount and paid date for each OTP expense and provide an explanation for why changes were not reported in the correct reporting period.

Thank you for your consideration of this request.

Kindest regards,


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Unacceptable OTP Reimbursement Request

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

Contract	Project	Activity	Customer/Account	Descr	Acct Category	Sum Amt	Code	Posted Date	Supplier	Name
SPA0003291	10029435	000004	100949	510497 On Lab And Med Sup	SUPPLIES	1,070.00	RFP	1/18/2023	0000137252	CITIBANK N.A
SPA0003291	10029435	000003	100949	542210 Travel Out of State	TRAVEL	327.96	RFP	6/17/2022	0000137252	CITIBANK N.A
SPA0003291	10029435	000003	100949	542210 Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0	
SPA0003291	10029435	000003	100949	542210 Travel Out of State	TRAVEL	267.95	RFP	6/17/2022	0000137252	CITIBANK N.A
SPA0003291	10029435	000003	100949	542210 Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0	

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Common Resubmission Issues

MISSING SUPPORT DOCUMENTATION

MISCATEGORIZED EXPENSES

UNCLEAR EXPENSE DESCRIPTION OR CLARIFICATION

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Missing Support Documentation

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

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Miscategorized Expenses

Payment Date	GL Account Long Text	Company Code Commodity Value	Name	Text
4/27/2024	Supplies - Chemicals	p. 9	215.85 ASILENT TECHNOLOGIES INC	Female 8 firm
5/2/2024	Supplies - Lab	1,093.59	ASILENT TECHNOLOGIES INC	Inert Draw Out 8 0mm, Inconel
4/18/2024	Supplies - Lab	-201.5	SUMMAUS INDUSTRIES INC	75UM ID X 363UM CONTINUOUS P5 TUBING
4/27/2024	Supplies - Lab	34.02	PHENOMENEX INC	Shipping
4/27/2024	Supplies - Computer	2	CDW GOVERNMENT LLC	Asset Tag
4/27/2024	Supplies - Computer	67.38	CDW GOVERNMENT LLC	AppleCare - extended service agreement
4/27/2024	Supplies - Computer	636.6	CDW GOVERNMENT LLC	Apple MacBook Pro 16 M3 Max 36
4/6/2024	Supplies - Lab	p. 10 1,360.28	WATERS TECHNOLOGIES CORPO	Xbridge 85H Amide Column, 150Å, 3.5µm, 4

❖ The AppleCare Extended warranty expense was reallocated from the 'Supplies' to 'Other' category.

ESP Guide Reference:
10.8 Other Expense Category

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Polling Question

The salary cap standards that apply to grant personnel also apply to consultants/subcontractors.

A. True
B. False



Answer: A. True

- Personnel and consultants/subcontractors must follow the salary cap guidelines.
- CPRIT conducts an annual salary cap review.

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Salary Cap

CPRIT Grant Applications Cycle 25.1

- The maximum compensation supported for an individual whose salary is paid on the grant is \$225,000, including consultants.

Grants awarded prior to review cycle 25.1.

- The maximum compensation supported for an individual whose salary is paid on the grant is \$200,000, including consultants.

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Timesheets

Timesheets or other records of actual hours worked that are submitted for supporting documentation with an FSR must:

- Be signed by the employee and supervisor having first-hand knowledge of the activities performed by the employee

Chief Executive Officers of Product Development Research companies (Fully or partially funding by CPRIT)

- Required to have signed timesheets from a supervisor having first-hand knowledge of the activities performed by the employee (e.g., a member/Chairman of the Company's Board)

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PERSONNEL LEVEL OF EFFORT (PLOE)

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Personnel Level Of Effort (PLOE)

Year	Details	Values	Personnel Level	Financial	Payments	Other Financial
Year 1	Year 2	of Effort	Subtotal Progress			
Level of Effort						
Senior/Key Person and Other Personnel						
ID	Last Name	Role on Project	Level of Effort (LOE)	Year 1	Year 2	Total Person Months Per Year
			Type Appr. (months)	12	12	
			Effort on Project	0.00%	2.00%	
			Person Months	0.00	0.24	
			Type Appr. (months)	12	12	
			Effort on Project	10.00%	10.00%	
			Person Months	1.20	1.20	
			Type Appr. (months)	12	12	
			Effort on Project	0.00%	0.00%	
			Person Months	0.00	0.00	
			Total Person Months Per Year	7.20	7.44	

❖ The PLOE must include:

- Employee name (must be same spelling as on payroll)
- Position title
- Level of Effort

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PLOE Updates Best Practice

FSR

- Update quarterly 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 updated 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.

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Polling Question

Which of the following statements is true? *(Select all that apply)*

- A. To request reimbursement for actual meal expenses, travelers must provide itemized receipts for all meals, including those listed on lodging receipts.
- B. If a receipt includes multiple meals, the grantee must indicate which specific food and/or beverage is being claimed.
- C. In cases where a meal receipt is missing, the grantee must complete a missing meal receipt form.
- D. All the Above

Answer: D

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Home / Travel

textravel
Rules of the road on the road.

Home Rates Transportation Meals and Lodging Exceptions Miscellaneous Provisions Examples Documentation Requirements

Current Rates
Fiscal 2025 Travel Reimbursement Rates

Employees

In-State or Out-of-State Meals and Lodging	Refer to the U.S. General Services Administration's (GSA's) Federal Domestic Maximum Per Diem Rates, effective Oct. 1, 2024. If the city is not listed, but the county is listed, use the daily rate of the county. For locations not listed (city or county), the daily rates are: • Lodging in state/out of state: up to \$110. • Meals in state/out of state: up to \$68.
In-State or Out-of-State Non-Overnight Meals	Not to exceed \$36 daily.
Automobile Mileage	70 cents per mile (Jan. 1 – Dec. 31, 2025)
Aircraft Mileage	\$1.75 per mile (Jan. 1 – Dec. 31, 2025)

[GSA Per diem rates](#)

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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

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FSR - Travel Expense Checklist

-  All travelers are listed on the PLOE
-  Receipts are legible
-  Expenses are within GSA limits; copy of GSA rates for meals and lodging included
-  Taxi/Uber/Lyft receipts are included minus tips/gratuities



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FSR - Travel Expense Checklist



INTERNATIONAL TRAVEL MUST
INCLUDE CPRIT APPROVAL (BUDGET
JUSTIFICATION OR CHANGE REQUEST)




MEALS FOR DAY TRIPS ARE
EXCLUDED

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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

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Foreign Currency

All foreign currency expenses **must** be:

- Converted to US dollar before CPRIT submission.
- Documentation of conversion rate included in supporting documents



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TRAVEL EXPENSE CATEGORY
Q&A

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SUPPLIES, OTHER, CONTRACTUAL
& EQUIPMENT







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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 \$10,000


P&C Guide Reference:
10.6 Supplies - Expense Category


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Other Category Expenses



 Printing and reproduction expenses



 Services (e.g., animal cost care, gene synthesis)


 Publication fees


 Equipment warranties and service contracts


 DNA sequencing, cloning, etc. services provided by a vendor


 Conference/registration fees paid prior to travel dates


 Postage and shipping services (FedEx, UPS), etc.

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Contractual Category

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


Support documentation required for contractual travel expenses

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

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Matching Compliance Certification (MCC)

 **The annual matching certification is based on the greater of**

- 1) **the amount of funds advanced or**
- 2) **the amount expended.**

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Matching Compliance Certification (MCC) - Forecasting

Limit your advance request to the expected expenditure.

A grantee is allowed to request a maximum of 50% of the total budget for the award year. To prevent a shortage in match requirements, a smaller amount can be requested

If you have requested 50% but end up spending less than anticipated, think about reporting lower expenses on the FSR and allocating more for match expenses.

Postpone the second advance request if you are approaching the end of the grant award year and do not plan to utilize the additional advance funds within that year.

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MCC – Deficiency

- ❖ Grantees may carry forward a one-time deficiency in matching funds to the next budget year if it is -
 - Equal to or less than 20% of total match requirement
 - Have no previous matching fund deficiency
- ❖ This is a one-time opportunity.

TAC § 703.11(a), (e), (f), (g), (h); 703.21 (b)(2)(B)(x)

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Grantee Resources

The grantee resources page includes the sources of CPRT's requirements, such as statutory and administrative rule text, as well as guidance on how to understand and apply those requirements during a CPRT 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 CPRT using Red Flag Reporting.

Manage My Grant

- Rules and Statutes
- Policies and Procedures
- Training
- Funding Webinars
- Reporting Forms
- Reporting Fraud
- Resource Documents

Resource Documents

The grant reporting resource documents listed here are designed to assist grantees in submitting accurate information and documentation for all expenses reported to CPRT.

- [FSR Checklist for Academic Research](#)
- [FSR Checklist for Product Development](#)
- [FSR Checklist for Prevention](#)
- [FSR categories and required supporting documentation](#)
- [Standardized GL with FSR and match columns](#)
- [Match Eligibility Matrix](#)

Manage My GRANT
CPRTGRANTS.ORG

Upcoming Oversight Committee Meetings

- May 15, 2024
- August 21, 2024

Sign Up for Our Newsletter

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MATCHING COMPLIANCE CERTIFICATION (MCC) Q&A

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COMPLIANCE REVIEWS

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Onsite Compliance Review

- Grant related policies and procedures review
- Financial and administrative operations
- Expenditure Sampling
- Equipment and subcontractor monitoring
- Requested documents due 30 days from receipt of email

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Recommended Attendees for Onsite Visits

❖ The following personnel are requested for the onsite visits;


- ASO
- Financial Representative
- Procurement Representative
- Asset Control/Equipment Representative (if applicable)
- Personnel Representative (if applicable)
- Principal Investigator (PI)

(Demonstration of processes during the meeting is encouraged but not required)

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COMPLIANCE REVIEWS
Q&A

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PROGRAMMATIC TOPICS

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Polling Question


Grantees can make transfers within budget categories without prior approval, if the total dollar amount of all changes are no more than what percentage of the line item?

- A. 5%
- B. 15%
- C. 10%
- D. None of the above

Answer: C

No prior approval is needed for total changes that don't exceed 10% of line item.


MONEY FLOW

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Polling Question

Which expenses require prior approval via a Change Not Specified (CNOS) to be eligible for reimbursement?

- A. Grantee membership that benefits CPRIT project
- B. Equipment purchase not in original budget
- C. Lab renovations
- D. Foreign travel
- E. All the above

Answer: E

All these expenses require prior approval to be eligible for reimbursement if they are not included in the original budget.


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Progress Reports

Ensure that Progress Reports contain accurate and complete impact data for Annual and Final reports

- Publications
- Follow-on funds
- Patents
- Clinical trials
- 1–2-page project narrative



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Annual Report – Common Errors

Progress report is internally inconsistent

Details of progress is in an attached PDF instead of the Summary of Progress or Summary text boxes.

Repeated publication or grant

Incomplete information - Lack of detailed performance data, repeated work from previous year, marks not aligned with timeline or anticipated activities

Missing narrative report - Prepared by the CEO describing the events that have shaped the project’s progress during the previous year.

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Funding

This work was conducted with support from [redacted] Cancer Prevention Research Institute of Texas (CPRIT) RPT150587. [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.

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

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Change Request Types



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


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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




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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




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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

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No Cost Extension (NCE) Continued



- 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
- The earlier the request is made, the better, although it must be submitted at least 30 days before the termination date and no more than 180 days before.
- The PD must exhibit measurable effort during an approved NCE


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Change in Principal Investigator (PI)

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



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Change in Principal Investigator (PI)


- Include resources (equipment, supplies, personnel) available to proposed PI
- Describe impact of change on the project goals and objectives, budget, key personnel, original timeline and CPRIT required reporting.
- Upload a revised budget and level of effort for all personnel in CGMS

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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




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Advancement of Funds

- For grants that have been specifically approved for disbursement of funds in advance of expending the funds
- It is within CPRIT's discretion to revert to a reimbursement basis and generally, the last 10% of grant funds will be disbursed on a reimbursement basis




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Change Not Otherwise Specified (CNOS)

- CEO change
- Upload the CV for a new CEO to Ad Hoc documents
- Foreign travel not specified in grant application
- Equipment purchase not specified in grant application



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GRANT SUPPORT

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Points of Contact

- **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


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CONTACT INFORMATION

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