

CPRIT Grantee Annual Compliance Training

March 2024




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INSTITUTE OF TEXAS

Academic Research

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CONTACT INFORMATION

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TRAINING OVERVIEW

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



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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)




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Fraud, Waste, & Abuse



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FRAUD, WASTE, & ABUSE

How do I Make a Report?

Use Client Code #5124633190
(Users can remain anonymous)

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

Online www.RedFlagReporting.com

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FRAUD, WASTE, & ABUSE

The poster features a group of diverse people. Text on the poster includes: '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 or Call', 'www.RedFlagReporting.com', '1-877-64-RedFlag (1-877-647-3335)', 'Client Code: 5124633190'

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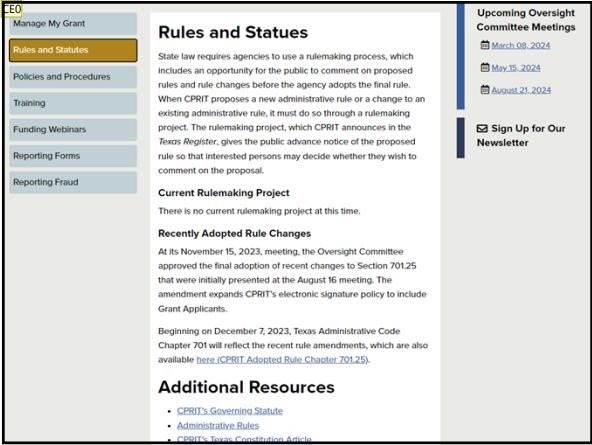
Administrative Rules and
Policies and Procedures Guide

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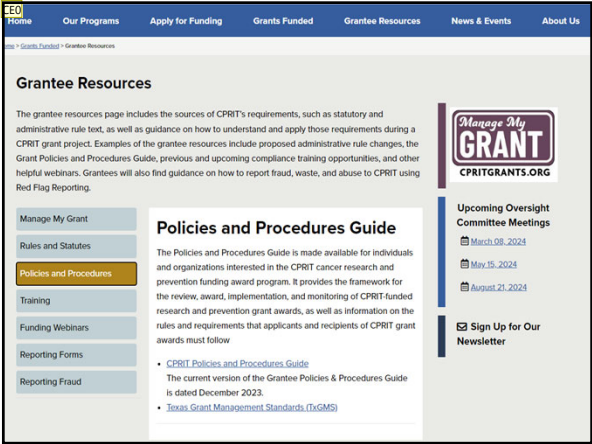
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Slide 11

CEO **New slide**
Cameron Eckel, 2024-03-05T20:49:05.988


Slide 12

CEO **New slide**
Cameron Eckel, 2024-03-05T20:49:16.631

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 Proposed & Adopted Administrative Rule Changes

Definition and Use of "Tranche"

Applicability of CPRIT's Electronic Signature Policy

Definition and Use of "Scope of Work"



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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.



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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.



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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.



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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.



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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.



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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 jreporting@cprit.texas.gov.




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Administrative Rules and Policies and Procedures Guide Q&A



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CEO

New slide

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

Required Grant Reports



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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



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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

❖ All report due dates are available in CGMS



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Financial Status Report (FSR)



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

Answer: True



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Texas Administrative Code

TITLE 25
PART 11
CHAPTER 703
RULE §703.24


HEALTH SERVICES
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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.

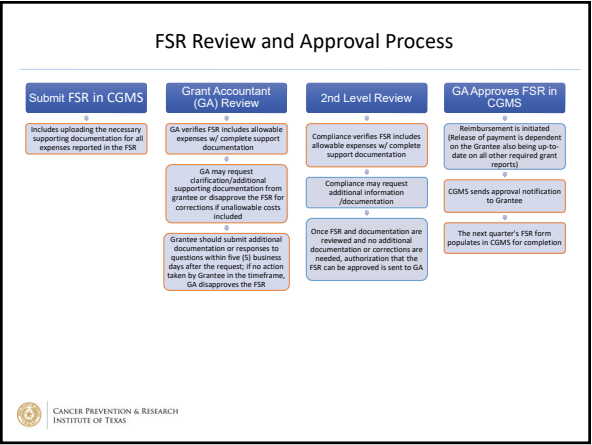


FSR – Due Dates

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

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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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FSR Submissions Checklist

Expenses are paid within FSR period

Payment date is included for all transactions

FSR amounts match ledger totals by expense category

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

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FSR Submissions Checklist

Supporting documents are legible

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

Expenses are allowable and properly categorized

A memo justification for cost out of period is provided

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FSR – Examples of Unallowable Costs

INDIVIDUAL
PROFESSIONAL
MEMBERSHIP FEES

ALCOHOL

TIPS & GRATUITIES

BAD DEBT

LOBBYING COSTS

ENTERTAINMENT


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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




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TOP 3 RESUBMISSION ISSUES

Missing support documentation


Need for expense clarification

Miscategorized expenses




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TOP MISSING SUPPORT DOCUMENTATION



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



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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	BUSC	Descr	Fund	Dept	Project	Document	Expended	Pay Period/Details	Amount	Invoice Date	Line Item #
11/15/2024	MS SGA Q1 Ch4R55	Other	10	Maintenance & Operation	42044	100101	11740	117026-18-2	\$40,700.26	11/15/2024-11/15/2024	\$40,700.26	11/15/2024	1
11/15/2024	MS SGA Q1 Ch4R55	Other	10	Maintenance & Operation	42044	100101	11740	117026-18-2	\$44,165.52	11/15/2024-11/15/2024	\$44,165.52	11/15/2024	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

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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 XOM	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
3200MT/s RDIMMs	370-AEVR
RAID 5	760-BCEP
PERC H745 Controller, Front	405-AAUE

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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			
16TB 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

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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	0.900




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FSR Required Supporting Documentation

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

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



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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



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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 On Lab And Med Sup	SUPPLIES	1,070.00	RFP	5/16/2023	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



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FSR Support Documentation Resources

FSR Required Supporting Documentation by Expense Category


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

CPRIT FSR Checklist

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

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Financial Status Report
Q&A



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Personnel / Fringe Expense Category



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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.

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Personnel Level of Effort (PLOE)




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Polling Question

The PLOE should include key personnel with salary and fringe, travel, tuition and stipends on the grant.

Answer: True



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Personnel Level Of Effort (PLOE)

Personnel Level of Effort		Year 1	Year 2	Total Person Months Per Person
Principal Investigator	1.00	1.00	1.00	2.00
Co-Investigator	0.50	0.50	0.50	1.50
Senior Research Assistant	0.25	0.25	0.25	0.75
Other Personnel	0.00	0.00	0.00	0.00
Total	1.75	1.75	1.75	5.25

Prior to submitting for payment, the PLOE must include:

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



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No Cost Extension - PLOE

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

Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Principal Investigator	1.00	1.00	1.00	1.00	1.00	5.00
Co-Investigator	0.50	0.50	0.50	0.50	0.50	2.50
Senior Research Assistant	0.25	0.25	0.25	0.25	0.25	1.25
Other Personnel	0.00	0.00	0.00	0.00	0.00	0.00
Total	1.75	1.75	1.75	1.75	1.75	8.75

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




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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.



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Personnel Level of Effort Q&A



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Travel Expense Category



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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



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Fiscal Management

State Finance
Texas Comptroller of Public Accounts

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Topics

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Policies/Procedures (FPP)


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Travel



Rules of the road on the Web

Home

Rules

Transportation

Meals and Lodging

Exceptions

Miscellaneous Provisions

Examples

Documentation Required

Meals and Lodging

Meals

Lodging

Hotel occupancy taxes

Maximum reimbursement


When a state employee is entitled to be reimbursed for payment of a hotel occupancy or similar tax and the lodging amount incurred exceeds the maximum allowable lodging rate, the following calculation methods for the tax reimbursement must be used:

If the tax is calculated as a percentage of the lodging rate, then the amount of the reimbursement is equal to the percentage multiplied by the maximum that may be reimbursed to the employee for lodging expenses.

Exception for employees of educational organizations

Exception for certain state officers or employees

Exception for travel outside



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Travel Expense Report Requirements


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


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


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Travel Expense Checklist

 All travelers must be listed on the PLOE

 Receipts should be legible and in same order as GL

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

 Clearly identify meals for reimbursement on split receipts

 Group and day trip meals are not allowed

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Travel Expense Checklist

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

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

 Mileage calculations and transportation receipts included

 Gratuities and alcohol should be excluded

 Meals and lodging expenses are within GSA limits

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

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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

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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.


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Travel Expense Category Q&A

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Supplies, Other, Contractual & Equipment

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


FSR – Contractual Travel



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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




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Acceptable Equipment Documentation





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Acceptable Equipment Documentation

LINE	PART ID	DESCRIPTION	UNIT	TSA	QUANTITY	UNIT PRICE	EXTENSION
1	NS0001	NanoAscenter Spex 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	
Tirexol	\$1,000
Equipment (Detailed) ✓ <small>Grants are required to upgrade several instruments to optimize manufacturing, and to reduce efficiency. Precision Nanosystems NanoAssembler, Agilent TapeStation, Shalimar Incubator, Oxford Nanopore Technology MinION (refer to budget justification for details).</small>	\$50,000



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Matching Compliance Certification (MCC)




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Matching Compliance Certification (MCC)

- Grantees should upload 100% of matching support documentation at the time the MCC form is completed and uploaded to CGMS
 - Match General Ledger
 - Invoices related to Match expenses
 - Proof of payment
- MCC will not be approved until all documentation is uploaded by the Grantee and reviewed by CPRIT




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

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Matching Compliance Certification (MCC)

- Institutions of Higher Education may use their Federal Indirect Cost Rate to fulfill match requirement
- Institutions of Higher Education **must upload to each grant record** most current indirect cost rate agreement
- If grantee uses a blended indirect cost rate calculation, grantee is **required** to have and follow a documented internal policy





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[PRR Policy Definitions
& Matching Fund Certification and Verification](#)


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MCC – Allowable Expenses (not an exhaustive list)


 Any expense that can be claimed for grant reimbursement


 Unrecovered indirect costs up to ten percent (10%) of the grant award amount DOES NOT APPLY TO ACADEMIC INSTITUTIONS

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

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

 Airfare costs that exceed coach class airfare


 Foreign travel related to CPRIT's funded project





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MCC – Allowable Expenses (not an exhaustive list)


 Taxes that are effectively user fees (hotel taxes, gasoline tax, or airfare tax)


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

 Grantee professional association fees or dues (related to the CPRIT-funded project)

 Patent application fees and associated patent application preparation costs

 Moving costs of office furnishings or employees of companies relocating to Texas

 Security systems and ongoing security system monitoring fees for physical space



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MCC – Deficiency

Grantees may carry forward a deficiency in matching funds to the next project year if -

- it is equal to or less than 20% of total match requirement
- and has no previous matching fund deficiency

PDF Guide Reference:
6.4 Matching Funds Certification and Verification



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Matching Compliance Certification Q&A



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Programmatic Topics




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Progress Reports

Ensure that Progress Reports contain accurate and complete impact data.

This includes, but is not limited to:



All Publications (manuscripts to published)




Follow-on funds



Patents and Patent Applications




Clinical trials



Core Facility Support Award user data




Research training award data



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Progress Reports – Return Reasons

- 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
- PI does not provide enough detail about
 - work performed to allow an evaluation,
 - repeats work from another objective or from a previous year,
 - or marks not required when work was required according to the timeline or anticipated activities in previous year's report.



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Funding

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CPRIT Acknowledgment

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


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Rebudgeting change requests are automatically approved by CPRIT in CGMS.

Polling Question


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.



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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

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Aims/ Sub Aims Change

- Material changes in the design and/or specific aims likely to result in an amended scope of work







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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)


- 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


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Change in Principal Investigator (PI)

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







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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







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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.







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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.







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Change Not Otherwise Specified (CNOS) – Equipment


- Equipment purchases not included in the grant application
- Upload current quote to Ad Hoc documents
- Ensure that service agreement does not exceed the grant period





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Recruitment Applications Administrative Issues




Ensure that the nominators' email address is the actual one, not generic or ASO-related




Candidate eligibility for award



Budget for 12 months, including summer



Institutional commitment complete with all components and required statements



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Contact Us

CPRIT's success is based on our funded research project successes.
Please **contact** the Academic Research team with your pre- and post-award questions.

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Single Audit Determination (SAD) Form & Annual Audit



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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.



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PAP Guide Reference:
6.5.1 Single Audit Determination Form

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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)



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Grant Support



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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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CPRIT Grantee
Annual Compliance
Training

March 2024

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Academic Research

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