

CPRIT Grantee Annual Compliance Training

March 2024



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INSTITUTE OF TEXAS

Product Development

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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



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Administrative Rules and
Policies and Procedures Guide

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Home > Grants Funded > Grantee Resources

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

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

Manage My Grant

Rules and Statutes

Policies and Procedures

Training

Funding Webinars

Reporting Forms

Reporting Fraud

CPRIT Grant Management System

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

Manage My Grant

Manage My GRANT

CPRITGRANTS.ORG

Upcoming Oversight Committee Meetings

March 08, 2024

May 15, 2024

August 21, 2024

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Manage My Grant

Rules and Statutes

Policies and Procedures

Training

Funding Webinars

Reporting Forms

Reporting Fraud

Rules and Statutes

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

Current Rulemaking Project

There is no current rulemaking project at this time.

Recently Adopted Rule Changes

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

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

Additional Resources

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

Upcoming Oversight Committee Meetings

March 08, 2024

May 15, 2024

August 21, 2024

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Home > Grants Funded > Grantee Resources

Grantee Resources

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

Manage My Grant

Rules and Statutes

Policies and Procedures

Training

Funding Webinars

Reporting Forms

Reporting Fraud

Policies and Procedures Guide

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

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

Manage My GRANT

CPRITGRANTS.ORG

Upcoming Oversight Committee Meetings

March 08, 2024

May 15, 2024


August 21, 2024

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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 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


- 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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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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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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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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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

❖ Periodic

- Interim/ Tranche 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
CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
GRANTS FOR CANCER PREVENTION AND RESEARCH
Financial Status Reports

(5) The Institute may request in writing that a Grant Recipient provide more information or correct a deficiency in the supporting documentation for a Financial Status Report. If a Grant Recipient does not submit the requested information within five (5) business days after the request is submitted, the Financial Status Report may be disapproved by the Institute.

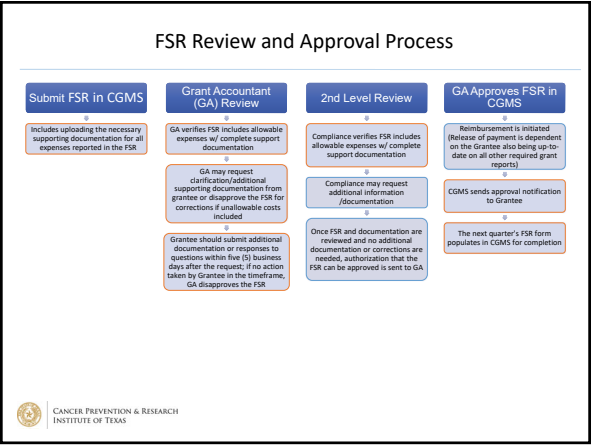


FSR – Due Dates

Fiscal Quarter/ Reporting Period	FSR Due Date	Last Day of Grace Period
Sept 1 – Nov 30	Feb 28	Mar 30
Dec 1 – Feb 28	May 29	June 28
Mar 1 – May 31	Aug 29	Sept 28
June 1 – Aug 31	Nov 29	Dec 29

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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 (BUDC)	Descr	Fund	Dept	Project / Document	Expended	Pay Period/Details	Amount	Invoice Date	Line Item #
11/15/2024	MS SGA Q1 Ch4855	Other	Maintenance & Operation	42044	100100	11740	117026.18	11/15/2024-11/15/2024	117026.18	11/15/2024	1
11/15/2024	MS SGA Q1 Ch4855	Other	Maintenance & Operation	42044	100100	11740	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/12T/256M/200W/3200	338-B0WH
AMD T702 2GHz/4C/12T/256M/200W/3200	338-B0WH
Additional Processor Selected	379-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			
14TB Hard Drive SAS 1500rpm 7.2K 512e 3.5in Hot-Plug, C100 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 MDSAE 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	0.000	100.00




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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 Cdn 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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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

State Comptroller of Public Accounts

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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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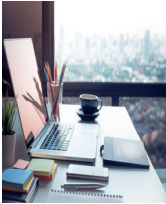
Supplies, Other, Contractual & Equipment




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Supply Category Expenses

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



CRP Guide Reference, 10.6 Supplies Expense Category

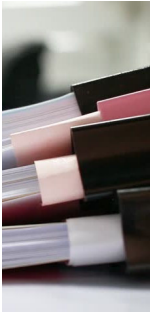


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Other Category Expenses

- Printing and reproduction expenses
- Gift or gas cards
- Publication fees
- Equipment warranties and service contracts
- Conference/registration fees
 - *Conference and seminar registration fees should be reported in the "other" category when paid prior to travel.*
- Postage and shipping services (FedEx, UPS), etc.



CRP Guide Reference, 10.6 Other Expense Category



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My Company Ltd.

Date: 2010-01-01

Order No: 1234

INVOICE No: INV001



Invoice To:

My Customer Name
1 CustomerAddress Street
Customer City
AB1 3CD
UK

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

Total Net Amount

€ 1 400.00

VAT

€ 240.00 (17%)

Invoice Total

€ 1 640.00

Taxable net amount of invoice

My Company Ltd.

Head Office
1234
City
UK

Ref: 01234 5678

Mail: 01234 5678

Phone: 01234 5678901234

Fax: 01234 5678901234

Invoice No: INV001

Date: 2010-01-01

Order No: 1234


FSR – Contractual

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

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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



The screenshot shows a 'Change Requests' form with fields for Grant ID, Grant Title, and Organization. It includes a 'Back to Change Estimate' button and a 'Change - Not Otherwise Specified' section with a text box for justification. Below the form is a list of 'Standards, Rules, and Comments (Read This Document)' with dates and descriptions.



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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) ✓	
Funds are requested to upgrade several instruments to optimize manufacturing, and to enhance efficiency. [Precision Nanosystems NanoAssembler] Agilent TapeStation, Shalimar Laboratory, Oxford Nanopore Technology MinION (refer to budget justification for details).	
	\$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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MCC Reporting

FSR/Match Split

Direct Match



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Grant Name

Project Number

Project Name


Direct Match Expenses

Expense Category	Expense Per Category
Personnel	100,000
Travel	10,000
Equipment	5,000
Supplies	5,000
Other	10,000
Total	135,000

CPRIT Direct Match General Ledger

Page #	Invoice Date	Invoice #	Invoice #	Post Date	GL Amount	Vendor	Employee/Number	Description of Purchase or Reason for Direct Match	FYR Expense Category	Match Amount
									1. Personnel	100,000
									2. Travel	10,000
									3. Equipment	5,000
									4. Supplies	5,000
									5. Other	10,000
									Total	135,000


MCC – Ledger for Direct Match Expenses





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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

- For grantees receiving advancement of funds, the annual matching certification is based on the **greater** of
 - 1) the amount of funds advanced or
 - 2) the amount expended
- Example:**
 - Funds Advanced - \$1,000,000
 - Funds Expended - \$750,000
 - Required Match - \$500,000



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MCC Forecasting

A grantee can request 50% of the total budget for the award year


- However, less can be requested to avoid a match requirement shortage.
- Limit your advance request to the amount you expect to spend.

If 50% has been requested

- However, the actual amount spent is less than the anticipated amount, consider reporting fewer expenses on the FSR and more expenses for match.

Delay 2nd advance request

- If you are nearing the end of the grant award year and do not intend to spend the additional advance amount during that year.



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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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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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Progress Reports

Ensure that Progress Reports contain accurate and complete impact data.

This includes, but is not limited to:

- Publications
- Follow-on funds
- Patents
- Clinical trials
- 1–2-page project narrative
- Research training award data





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Progress Reports – Common Errors

Incomplete report

Overlap with previous reports

Duplicate entries (publications, jobs, etc.)


Missing PDFs for published and in press publications


Inconsistencies between narrative and data entered

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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 CPRIT
- 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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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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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

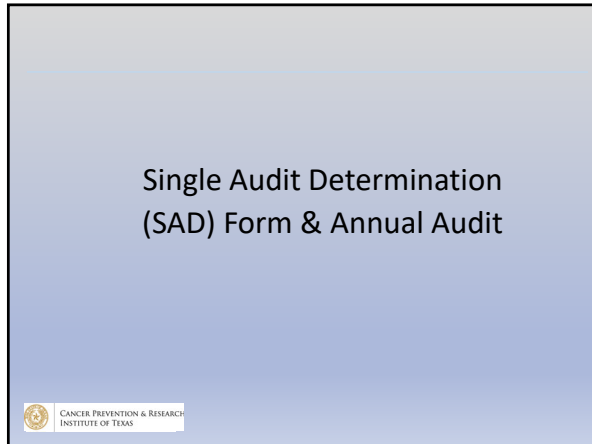
- Equipment purchases not included in the grant application
- Upload current quote to Ad Hoc documents
- Ensure that service agreement does not exceed the grant period



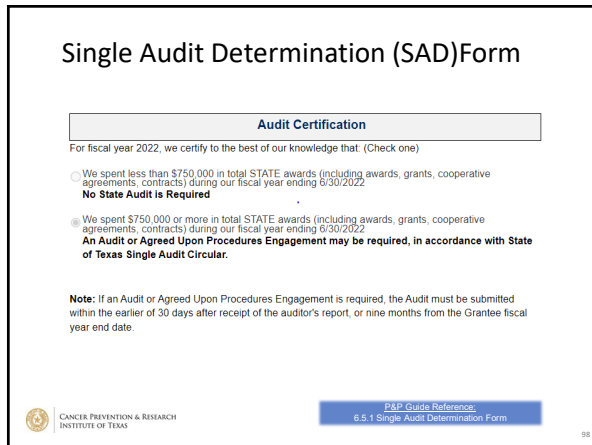


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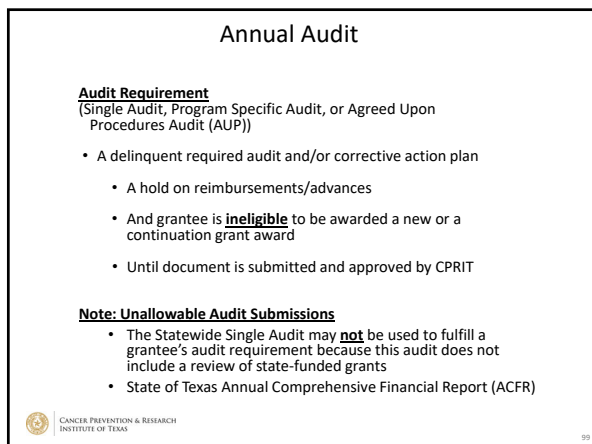
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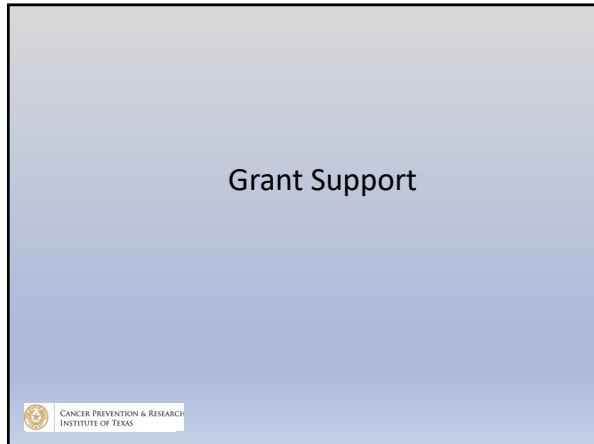
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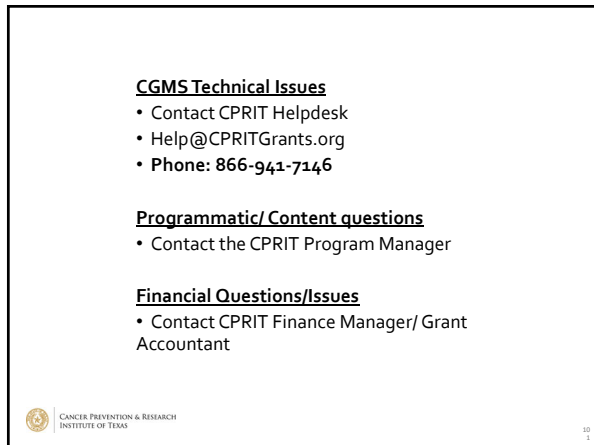
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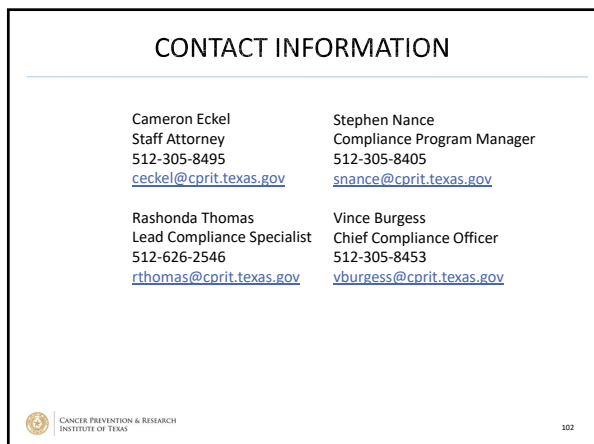
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