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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# Product Development Program

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CPRIT Grantee  
Annual Compliance Training  
June 2025



# CONTACT INFORMATION

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# TRAINING OVERVIEW

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



# SOURCES OF CPRIT GRANTEE REQUIREMENTS

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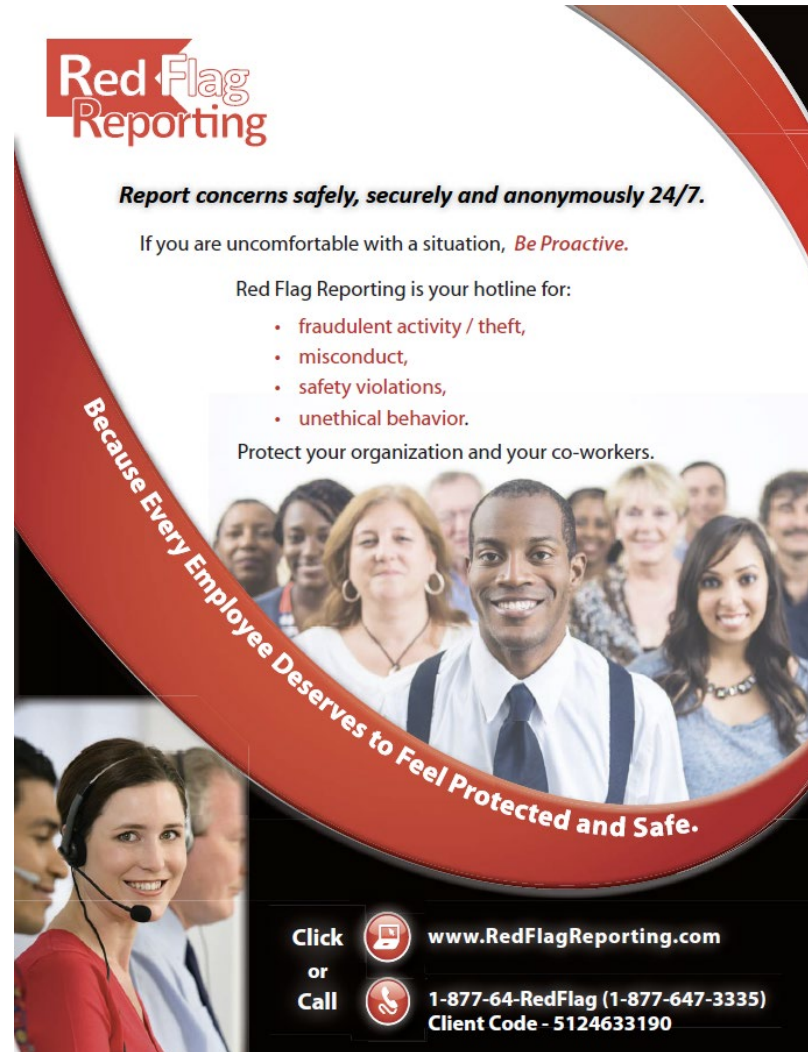
- Article III, Section 67 Texas Constitution
- Texas Health & Safety Code Chapter 102
- Texas Administrative Code Chapters 701 - 703
- Grant Contract
- Texas Grant Management Standards



# FRAUD, WASTE, & ABUSE



# 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](http://www.RedFlagReporting.com)  
or  
Call  1-877-64-RedFlag (1-877-647-3335)  
Client Code - 5124633190



# FRAUD, WASTE, & ABUSE

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



# ADMINISTRATIVE RULES AND POLICIES AND PROCEDURES GUIDE





## 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

Resource Documents

### 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



Upcoming Oversight Committee Meetings

August 20, 2025

Sign Up for Our Newsletter

- [Employment](#)
- [Procurement](#)
- [Frequently Asked Questions](#)
- [Open Records](#)
- [Texas Cancer Plan](#)
- [Compact with Texans](#)
- [Fraud Reporting](#)
- [CEO Cancer Gold Standard](#)
- [NCI Approved Funder](#)
- [Where the Money Goes](#)
- [Texas Veterans Portal](#)
- [Search Texas Sites](#)
- [Texas Online](#)
- [Texas Homeland Security](#)



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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Austin, TX 78711

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#### Subscribe to our email list

Email Address \*

Subscribe



Purchase your  
Texans Conquer  
Cancer License  
Plate

# Grantee Resources Webpage

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

[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
- Resource Documents

### 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.

There are no proposed administrative rule changes at this time.

### Additional Resources

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



**Upcoming Oversight Committee Meetings**

 [August 20, 2025](#)

 **Sign Up for Our Newsletter**

# Grantee Resources Webpage Rules & Statutes Section

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



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

Resource Documents

### 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](#)  
The current version of the Grantee Policies & Procedures Guide is dated March 2025.
- [Texas Grant Management Standards \(TxGMS\)](#)



Upcoming Oversight  
Committee Meetings

[August 20, 2025](#)

[Sign Up for Our  
Newsletter](#)

# Grantee Resources Webpage Policies & Procedures Guide Section

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



# How to Stay in the Know

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



# Recently Adopted Administrative Rule Changes

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Audit  
Threshold for  
Grantees




Unallowable  
Grantee  
Expenses



*Texas Cancer  
Plan Format*



# Recently Adopted Administrative Rule Changes

Adopted Administrative Rule	Citation	Rule Change Description	Published
<b>Audit Threshold</b>	<b>§ 703.13(b)</b>	<p>* Increases the grant recipient audit threshold from \$750,000 to \$1 million.</p> <p>* A grantee who expend at or above the threshold must obtain an annual single independent audit.</p>	<i>Texas Register on 12/06/24</i>
<b>Unallowable Grantee Expenses</b>	<b>§ 703.26(e)</b>	<p>* Adds the following to the list of unallowable grantee expenses:</p> <p>* “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.”</p>	<i>Texas Register on 12/06/24</i>
<b>Texas Cancer Plan format</b>	<b>§ 701.11(5)</b>	<p>* Removes the hard copy option for the Texas Cancer Plan.</p> <p>* The 2024 Texas Cancer Plan is available as a fully online, dynamic resource available to the public (<a href="https://www.texascancerplan.org/">https://www.texascancerplan.org/</a>)</p>	



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

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- 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 [ipreporting@cprit.texas.gov](mailto:ipreporting@cprit.texas.gov).



# ADMINISTRATIVE RULES AND POLICIES AND PROCEDURES GUIDE Q&A



# REQUIRED GRANT REPORTS



# Reporting Requirements

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## ❖ 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



# FINANCIAL STATUS REPORT (FSR)



## Polling Question

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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**



## FSR Due Dates

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



# 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.

Manage My Grant

Rules and Statutes

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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 CPRIT.

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



# FSR Required Supporting Documentation

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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**



## Polling Question

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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**



# 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 charges were not reported in the correct reporting period.*

Thank you for your consideration of this request.

Kindest regards,



# 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 CPRIT policy on reimbursement*

Contract	Project	Activity	Customer	Account	Descr	Acct Category	Sum Amt	Code	Posted Date	Supplier	Name
SPA0003297	10029435	000004	100649	510497	Oth Lab And Med Sup	SUPPLIES	1,070.00	RFP	1/18/2023	0000137252	CITIBANK N.A
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	327.96	RFP	8/17/2022	0000137252	CITIBANK N.A
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0	
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	287.95	RFP	8/17/2022	0000137252	CITIBANK N.A
SPA0003297	10029435	000003	100649	542210	Travel Out of State	TRAVEL	25.00	RFP	6/1/2022	0	



# Common Resubmission Issues

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MISSING SUPPORT  
DOCUMENTATION

MISCATEGORIZED  
EXPENSES

UNCLEAR EXPENSE  
DESCRIPTION OR  
CLARIFICATION



# Missing Support Documentation

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



# Miscategorized Expenses

Payment Date	G/L Account: Long Text	Company Code Currency Value	Name	Text
4/27/2024	Supplies - Chemicals	215.85	AGILENT TECHNOLOGIES INC	Ferrule 0.4mm
5/2/2024	Supplies - Lab	p. 9 1,031.10	AGILENT TECHNOLOGIES INC	Inert Draw Out 9.0mm, Inconel
4/18/2024	Supplies - Lab	-201.5	SUMMUS INDUSTRIES INC	75UM ID X 363UM CONTINUOUS FS 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
4/5/2024	Supplies - Lab	p. 10 3,360.00	WATERS TECHNOLOGIES CORPO	XBridge BEH Amide Column, 130Å, 3.5#m, 4

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

P&P Guide Reference:  
10.8 Other Expense Category



# Expense Description is Unclear

*A clear description of the purchased item is not provided on the GL or the invoice.*

## General Ledger

Consumable Non-Office Supplies	2024-05-07	00318410	2,608.00	Lab Supplies	Suny BioTech
Consumable Non-Office Supplies	2024-05-07	00318410	2,608.00	Lab Supplies	Suny BioTech

## Invoice



Invoice receipt date: 5/6/24  
Voucher ID: 00318410

# INVOICE

TO: [REDACTED] INVOICE NO: 2024031202-03  
ADDRESS: [REDACTED] DATE: May 6, 2024  
PO NO: N/A

Product NO.	PID	Description of the order	Price (USD)
GP40	A003	unc-104b(D1181E)- PHX6190(GP24 order)	2608.00 †
GP41	A003	unc-104b(D1427E)-GP40 order	2608.00 †
		Shipping & Handling Fees	265.36



# FINANCIAL STATUS REPORT Q&A



# PERSONNEL / FRINGE EXPENSE CATEGORY



## Polling Question

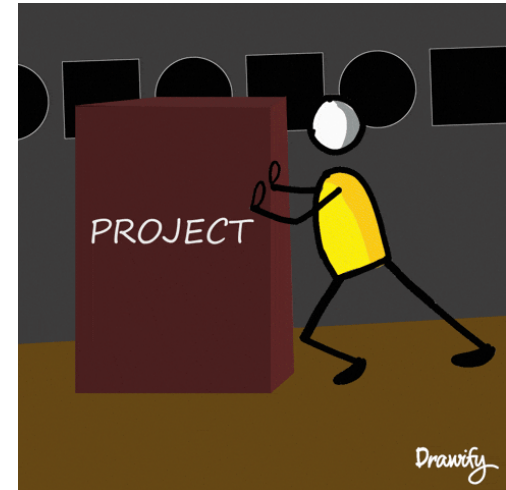
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The salary cap standards that apply to grant personnel also apply to consultants/subcontractors.

- A. True
- B. False

**Answer: A. True**

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



### 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.



## Timesheets

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**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)



# PERSONNEL LEVEL OF EFFORT (PLOE)



# Personnel Level Of Effort (PLOE)

Budget Summary		Details Year 1		Details Year 2		Personnel Level of Effort		Financial Status Reports		Payments		Other Financial Reports	
Personnel Level of Effort													
Senior/Key Person and Other Personnel			Level of Effort (LOE)		Year 1	Year 2	Total Person Months Per Year						
First Name	Last Name	Role on Project											
[Redacted]	[Redacted]	Co-investigator	Type Appt. (months)		12	12							
			Effort on Project		0.00%	2.00%							
			Person Months		0.00	0.24							
[Redacted]	[Redacted]	PI/PD/CR	Type Appt. (months)		12	12							
			Effort on Project		10.00%	10.00%							
			Person Months		1.20	1.20							
[Redacted]	[Redacted]	Senior Research Assistant	Type Appt. (months)		12	12							
			Effort on Project		50.00%	50.00%							
			Person Months		6.00	6.00							
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



# PLOE Updates Best Practice

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## 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.

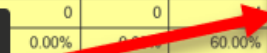


# No Cost Extension - PLOE

- Extension period for NCEs default to zero
- Update is required

Other Personnel	Level of Effort (LOE)	Year 1	Year 2	Year 3	Year 4	Total Person Months Per Person
Program Coordinator	Type Appt. (months)	0	0	12	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	12.00	0.00	12.00
Co-Program Director	Type Appt. (months)	12	12	12	12	
	Effort on Project	8.00%	8.00%	8.00%	0.00%	
	Person Months	0.96	0.96	0.96	0.00	2.88
Project Assistant	Type Appt. (months)	0	0	0	12	
	Effort on Project	0.00%	0.00%	60.00%	0.00%	
	Person Months	0.00	0.00	2.40	0.00	2.40
Program Assistant	Type Appt. (months)	0	12	12	12	
	Effort on Project	0.00%	10.00%	10.00%	0.00%	
	Person Months	0.00	1.20	1.20	0.00	2.40
Co-Program Director	Type Appt. (months)	12	12	12	12	
	Effort on Project	8.00%	8.00%	8.00%	0.00%	
	Person Months	0.96	0.96	0.96	0.00	2.88
Program Coordinator	Type Appt. (months)	0	0	4	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
Project Assistant	Type Appt. (months)	0	0	4	12	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	4.00	0.00	4.00
PI/PD/CR	Type Appt. (months)	12	12	12	12	
	Effort on Project	50.00%	50.00%	50.00%	0.00%	
	Person Months	6.00	6.00	6.00	0.00	18.00
Project Assistant	Type Appt. (months)	0	0	1	0	
	Effort on Project	0.00%	0.00%	100.00%	0.00%	
	Person Months	0.00	0.00	1.00	0.00	1.00
Total Person Months Per Year		7.92	9.12	32.52	N/A	49.56

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



# PERSONNEL LEVEL OF EFFORT Q&A



# TRAVEL EXPENSE CATEGORY



## Polling Question

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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**





Home	<b>Rates</b>	Transportation	Meals and Lodging	Exceptions	Miscellaneous Provisions	Examples	Documentation Requirements
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## Current Rates

### Fiscal 2025 Travel Reimbursement Rates

#### Employees

<b>In-State or Out-of-State Meals and Lodging</b>	Refer to the U.S. General Services Administration's (GSA's) federal <a href="#">Domestic Maximum Per Diem Rates</a> , 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: <ul style="list-style-type: none"><li>• Lodging in state/out of state: up to \$110.</li><li>• Meals in state/out of state: up to \$68.</li></ul>
<b>In-State or Out-of-State Non-Overnight Meals</b>	Not to exceed \$36 daily
<b>Automobile Mileage</b>	70 cents per mile (Jan. 1 – Dec. 31, 2025)
<b>Aircraft Mileage</b>	\$1.75 per mile (Jan. 1 – Dec. 31, 2025)

## [GSA Per diem rates](#)



# Travel Expense Report Requirements

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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



# 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



# FSR - Travel Expense Checklist

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



MEALS FOR DAY TRIPS ARE  
EXCLUDED



# Ineligible Travel Costs

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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



# Foreign Currency

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All foreign currency expenses **must** be:

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



# TRAVEL EXPENSE CATEGORY Q&A



# SUPPLIES, OTHER, CONTRACTUAL & EQUIPMENT



# 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&P Guide Reference:  
10.6 Supplies Expense Category



# Other Category Expenses

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Printing and reproduction expenses



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



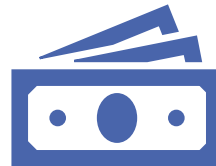
Publication fees



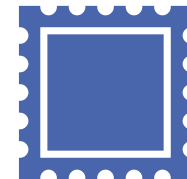
Equipment warranties and service contracts



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



Conference/registration fees paid prior to travel dates



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

# Contractual Category

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

*Support documentation  
required for contractual travel  
expenses*

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



# Contractual Travel – Receipt Requirements



Meals, that are not per diem, and ground transportation receipts are required for contractual travel.



AUGUST 14, 2023 AT 7:08 PM

Thanks for riding with [REDACTED]!

100% of tips go to drivers. [Add a tip](#)

Lyft fare (2.18mi, 14m 17s)	\$9.74
Service Fee, includes a \$0.30 Lyft California Driver	\$3.60
Benefits Fee	
SF Rideshare Tax	\$0.43



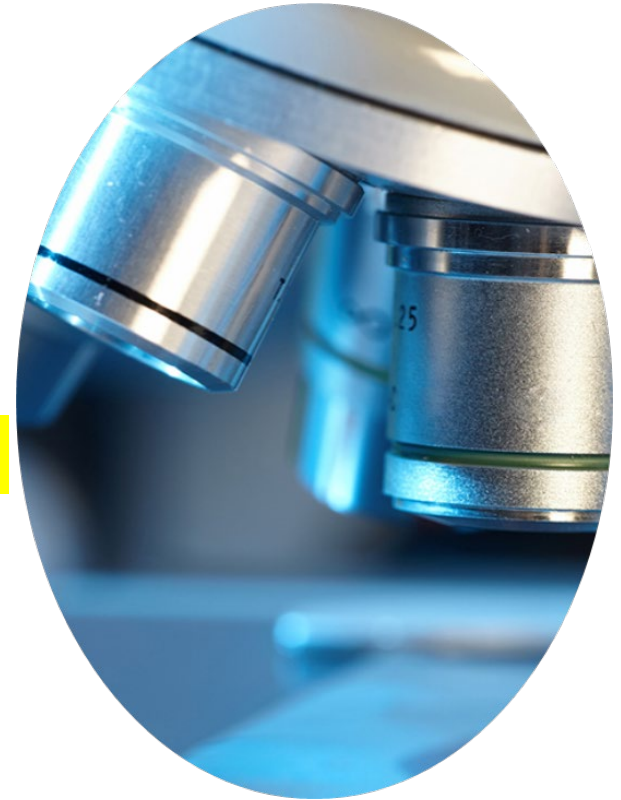
**\$13.77**



# Equipment Category

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- ❖ Equipment expenses (unit cost of \$10,000 or more), **must** include acceptable CPRIT approval documentation.
- Initial Budget Justification with **equipment items highlighted**.
- Approved Change Request



# Example of Equipment Approval – Budget Justification



## INVOICE

Date: 26.7.2022  
 Invoice Number: 1074  
 Bank Reference Code: [REDACTED]  
 IBAN account number: [REDACTED]  
 BIC: [REDACTED]  
 Terms of Payment: 30 days net  
 Due Date: 25.8.2022  
 Interest Rate: 8 %  
 Currency: USD  
 Order Reference: #723

Product	Product Code	Amount	Unit	Unit Price	Excluding VAT	VAT-%
single-frequency visible laser 4931032	VALO_SHG_SF	1	pcs	45000.00	45000.00	0
extended warranty total 2 years		1	yr	9000.00	9000.00	0



# Example of Equipment Approval – Budget Justification

Remit via First Class Mail  
 Leybold USA Inc.  
 Dept CH 17723  
 Palatine IL 60055-7723

Your purchase order: 722

Tracking no:  
 UPS

We delivered with delivery note as listed below

Item	Catalog no.	Quantity	Description	Unit price USD	Total price USD	T X
00150	840081V3300	1	<b>TURBOVAC 850 iX / RS485 / DN 160 CF Turbomolekular Vacuum Pump</b>	24,011.00	24,011.00	T
			Sp.Net - Discount	40.00%	9,604.40-	
				14,406.60	<b>14,406.60</b>	<b>T</b>
			Serial #: ( 31002849338 )			
			CURRENT LEAD TIME: ~9-10 WEEKS ARO			
			HTSUS: 8414100000			



# Example of Equipment Approval – Budget Justification

<b>Other Direct Charges</b>	
Travel	\$5,000
<b>Equipment (Itemized)</b> <b>Laser Systems</b> - \$136,000 x 2 Wave-meter - \$100,000 x 1 <b>Vacuum Pumps</b> , Turbo Pumps, Ion Pumps - \$20,000 x 5 Vibration Isolation Table - \$18,000 x 1 Mass Spectrometer - \$9,000 x 1	\$499,000
<b>Supplies (Itemized by Category)</b> Supplies include: raw ytterbium material - \$25,000 single-use vacuum seals - \$5,000 collection slides - \$2,000 metal foils - \$1,000 chemicals - \$1,000 inert gases - \$1,000	\$35,000



# Example of Equipment Approval – Change Request

**BILL TO:**

INVOICE DATE	INVOICE #	PURCHASE ORDER #	ORDER DATE
09/16/2020	8802249887	3001617985	09/03/2020
CUSTOMER ACCT #	SALES ORDER #	TERMS	
80363994	8362057391	10 days 1%, 30 days net	
PAYMENT DUE DATE	09/28/2020	PLEASE PAY THIS AMOUNT	\$ 7,892.00

**SHIP TO:**

**E-mail address changes to**

1 of 2

Unless governed by a separate written agreement, sales are subject to VWR standard terms and conditions. Visit [www.vwr.com](http://www.vwr.com) for complete details

Reference:		Reference 2:				Credit Card: N/A			
ORDERED BY		DATE SHIPPED	WIDE	VA		CURRENCY	FUND #	TAX CODE	
Lisa Cooper - 512-237-9515		09/16/2020	8016	UPS Freight 5 Day DFS		USD	15-098-2189	56-2445503	
LINE #	QUOT LINE #	CATALOG NUMBER AND DESCRIPTION		ORDERED	SHIPPED	UOM	UNIT PRICE	EXTENSION	TAX
1		MISC-INST-STDP B08540/Allegra X-30R, 120V - Cell Cultur Packing Slip: 8362057391 <del>B08540</del> Allegra X-30R, 120V - Cell Culture Pkg (bucket cover compatible), non-refrigerated centrifuge, SX4400 swing bucket rotor, 15/50mL adapters (4 ea)		1	1	EA	7,478.00	7,478.00 ✓	0.00



# Example of Equipment Approval – Change Request

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## Change - Not Otherwise Specified

### Equipment Purchase Request - **Allegra X30R Centrifuge**

In the original Budget for grant RP190507, we budgeted \$4,550 in supplies to purchase an E grant, we identified an existing Allegra centrifuge being utilized for work on this grant that new centrifuge will replace our current Allegra centrifuge that has reached end of life. We have de conditions on the Allegra platform; procuring another will allow us to directly transfer our met and effort of re-deriving conditions on a different machine. This centrifuge will provide missio Recombinant Antibody Production Core. We have developed and optimized protocols based suppliers would require us to spend significant time and effort on protocol redevelopment.

Total cost of the Allegra X30R centrifuge is \$7,892.00. We are requesting approval to report instead of the originally budgeted supplies category.

Quote for this equipment is uploaded to Ad Hoc Documents: Allegra Centrifuge X30R Quote



# MATCHING COMPLIANCE CERTIFICATION (MCC)



# Matching Compliance Certification (MCC)

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- Grantees should upload 100% of matching support documentation to CGMS at the time the MCC form is submitted.
  - Match General Ledger
  - Invoices related to Match expenses
  - Timesheets
  - Proof of Payment

P&P Guide Reference:  
[6.4 Matching Funds Certification and Verification](#)



# Matching Compliance Certification (MCC)

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There are two ways to submit match

FSR/Match Split

Direct Match



# Matching Compliance Certification (MCC)

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- ❖ Use CPRIT Standardized General Ledger or ensure GL provided includes all information requested on CPRIT form.
  - *Grantees who have not participated in a New Grantee Technical Assistance FSR training are not required to use the CPRIT Standardized General Ledger, however it is highly recommended.*
- ❖ Use same GL format for FSR and Match
  - Submit the Excel format along with support documents

P&P Guide Reference:  
[6.4 Matching Funds Certification and Verification](#)



# Matching Compliance Certification (MCC)

## CPRIT Standardized General Ledger FSR/Match Split

Expense Categories	Expenses Per Category	FSR Expenses	Match Expenses	% of Expenses Allocated to FSR	% of Expenses Allocated to Match	Total % (Not to exceed 100%)			
a. Personnel	-	-	-	0.0000%	100.0000%	100.0000%			
b. Fringe Benefits	-	-	-						
c. Travel	-	-	-						
d. Equipment	-	-	-						
e. Supplies	-	-	-						
f. Contractual	-	-	-						
g. Other	-	-	-						
<b>h. Total Direct</b>	-	-	-	-					
i. Indirect Costs	-	-	-	#DIV/0!					
<b>j. Total Costs</b>	-	-	-	-					

Page #	Invoice Date	Invoice #	Invoice \$	Paid Date	GL Amount	Vendor	Employee/Traveler	Description of Purchase or Reason for Travel	Expense Category	Amount Claimed
									a. Personnel	
									a. Personnel	
									a. Personnel	
									<b>a. Personnel Total</b>	-



# Matching Compliance Certification (MCC) – Incomplete General Ledger

Report Ref#	Invoice Date	Invoice #	Invoice \$	Paid Date	GL Amount	Vendor	Employee/Traveler	Description of Purchase or Reason for Travel	Expense Category	FSR Amount	%Salary applied to CPRIT	Notes
Timesheet report and ab_payroll report are supporting information			\$4,833.59	6/21/2024	\$557.70	Square Payroll June		Payroll Pay Period 6/1 to 6/15	a. Personnel	\$557.70	11.5%	
			\$7,500.43	6/21/2024	\$2,336.58	Square Payroll		Payroll Pay Period 6/1 to 6/15	a. Personnel	\$2,336.58	31.2%	
			\$5,750.56	6/21/2024	\$5,606.58	Square Payroll		Payroll Pay Period 6/1 to 6/15	a. Personnel	\$5,606.58	97.5%	
			\$3,625.41	6/21/2024	\$418.30	Square Payroll		Payroll Pay Period 6/1 to 6/15	a. Personnel	\$418.30	11.5%	
			\$4,833.59	7/5/2024	\$1,450.02	Square Payroll		Payroll Pay Period 3/16 to 3/31	a. Personnel	\$1,450.02	30.0%	
			\$7,500.43	7/5/2024	\$2,682.74	Square Payroll		Payroll Pay Period 3/16 to 3/31	a. Personnel	\$2,682.74	35.8%	



# Matching Compliance Certification (MCC) – Incomplete General Ledger

	Date	Transaction Type	Name	Memo/Description	Amount
<b>Total for Personnel</b>				<b>Personnel</b>	<b>\$ 129,000.00</b>
				<b>TIMESHEETS pgs 23-40</b>	<b>t see pg 22</b>
<b>b - Fringe Benefits</b>					
	09/11/2023	Expense	Health Care Service Corp	TO Health Care Service Corp - INCLUDE IN MATCH LATER	
	10/16/2023	Expense	Health Care Service Corp	TO Health Care Service Corp	8,575.00
	10/25/2023	Expense	Health Care Service Corp	HEALTH CARE SERV OBFPAYMT 2300000599 Electronic Debit	420.15
	11/12/2023	Expense	Health Care Service Corp	Mt External Transfer TO Health Care Service Corp -INCLUDE IN MATCH LATER	
<b>Total for Fringe Benefits</b>	<b>\$ 9,295.15</b>			<b>APPLY TO MATCH LATER</b>	<b>0</b>
<b>Equipment 1</b>					
	09/05/2023	Expense	<b>LASER</b> Preclasers	Wire Transfer FROST BANK BOOK DBT 04458	45,000.00
	09/05/2023	Expense	<b>LASER</b> Vedum	Wire Transfer FROST BANK BOOK DBT 04897	54,100.00
	10/24/2023	Expense	Chinese <b>Vacuum</b> Chambers	Wire Transfer FROST BANK WIRE OUT 03435	50,900.00
				<b>see budget justification pg 242-244 EQUIPMENT</b>	<b>150,000.00</b>
<b>Supplies 1</b>	<b>Update from grantee: Apply \$150,000 to Y2Q2 FSR, Remainder to later quarters or to match</b>				



# Matching Compliance Certification (MCC)

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Grantees who receive a grant award on or after August 18, 2021, the percentage of match depends on the total dollar amount of all grants awarded per grantee.

- **50% Match** - Grantees approved for one or more PD grants with an overall total commitment of \$20 million or less.
- **100% Match** - Grantees approved for one or more PD grants with an overall total commitment of \$21 - \$30 million.
  - Increased matching funds obligation applies to grant that caused grantee to exceed \$20 million threshold.
- **200% Match** - Grantees approved for one or more PD grants with an overall total commitment exceeding \$30 million.
  - Increased matching funds obligation applies to grant that caused grantee to exceed \$30 million threshold.



# Matching Compliance Certification (MCC)

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

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



# 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.

## MCC – Deficiency

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- ❖ 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)



# 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

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 CPRIT.

[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](#)



Upcoming Oversight Committee Meetings

[May 15, 2024](#)

[August 21, 2024](#)

[Sign Up for Our Newsletter](#)



# MATCHING COMPLIANCE CERTIFICATION (MCC) Q&A



# COMPLIANCE REVIEWS



# Onsite Compliance Review

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- 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



# Recommended Attendees for Onsite Visits

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- ❖ 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)*



# COMPLIANCE REVIEWS Q&A



# PROGRAMMATIC TOPICS



## Polling Question

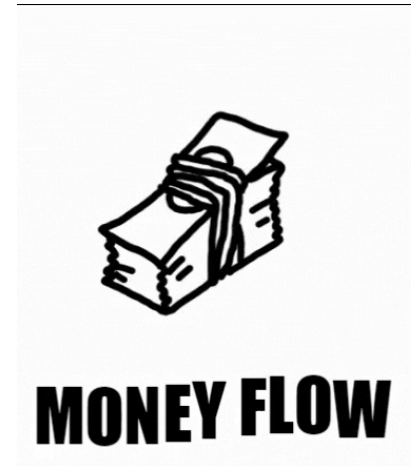
---

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.**



## Polling Question

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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.**



# Progress Reports

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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



# Annual Report – Common Errors

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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.

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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.





## Funding

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

# 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



# 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



# Goal or Objective Change

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



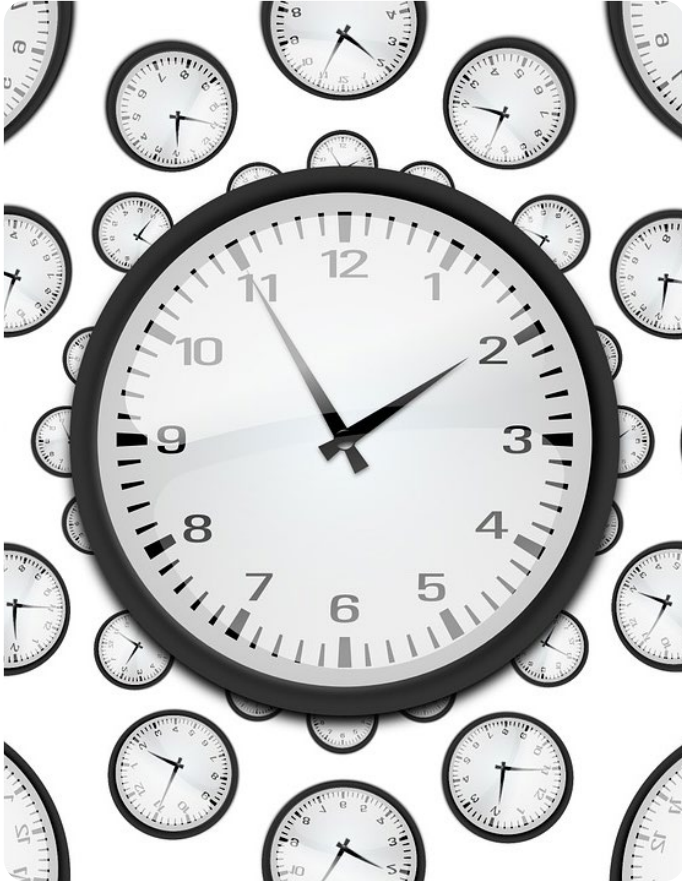
# Change of Organization

- Transfer of the award to another organization in Texas
- CPRIT awards may not be transferred to organizations outside the State of Texas



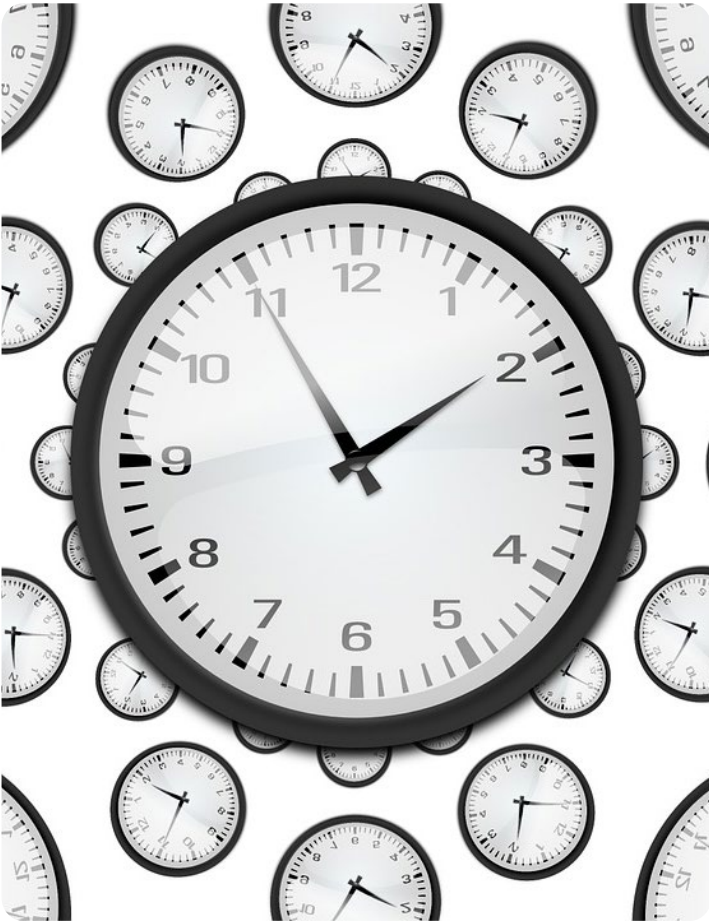
# No Cost Extension (NCE)

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- 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

# 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

# Change in Principal Investigator (PI)

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



# Change in Principal Investigator (PI)

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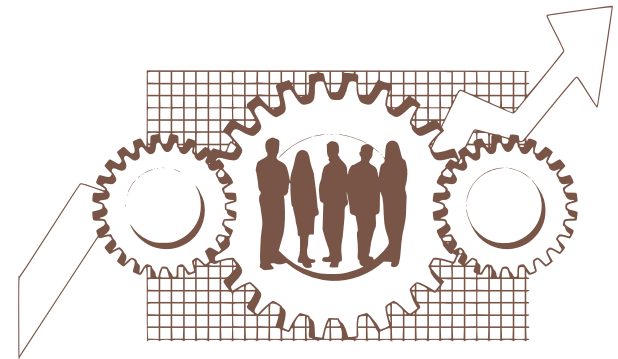
- Include resources (equipment, supplies, personnel) available to proposed PI
- Describe impact of change on the project goals and objectives, budget, key personnel, original timeline and CPRIT required reporting.
- Upload a revised budget and level of effort for all personnel in CGMS



# Personnel - Level of Effort Change (PLOE)

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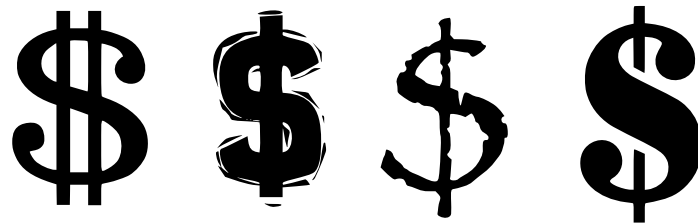
- Changes for all personnel or their level of effort on a CPRIT grant
- Include information regarding what changes are being made
- The justification must match the effort table



# Advancement of Funds

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- 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



# 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



# GRANT SUPPORT



# Points of Contact

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- **CGMS Technical Issues**
- Contact CPRIT Helpdesk
- [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)
- **Phone: 866-941-7146**
  
- **Programmatic/ Content questions**
- Contact the CPRIT Program Manager
  
- **Financial Questions/Issues**
- Contact CPRIT Finance Manager/ Grant Accountant



# CONTACT INFORMATION

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