



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

2014

Annual Report

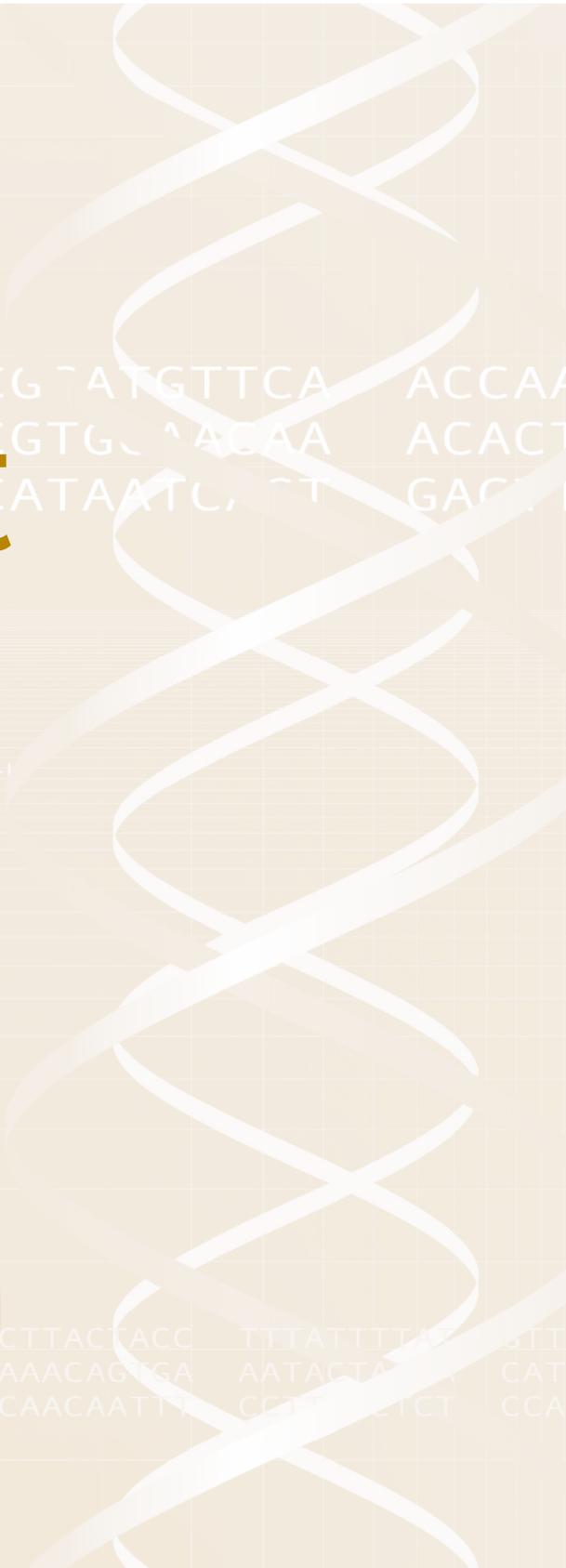




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TRANSMITTAL LETTER

The Honorable Greg Abbott, Governor

The Honorable Dan Patrick, Lieutenant Governor

The Honorable Joe Straus, Speaker of the House of Representatives

Pursuant to V.T.C.A., Health and Safety Code, Section 102.052 please accept this annual report from the Cancer Prevention and Research Institute of Texas (CPRIT). This document summarizes how CPRIT is fulfilling its mission of reducing the burden of cancer in Texas.

Cancer is the leading cause of death among Texans younger than 85 years of age. On average, more than 100 Texans die from cancer every day. The tragic emotional and physical toll of cancer is incalculable, but in purely economic terms, Texas cancer deaths translate into an annual cost to the state of about \$32.4 billion in medical expenses and lost productivity.

But Texas is not passively standing by. Through August 2014, CPRIT has announced 785 awards for research, prevention and product development grants totaling more than \$1 billion.

Prevention projects and programs reach Texans in all 254 counties. In addition to providing education and training to 956,904 people, CPRIT has funded 881,430 clinical services for Texans, including 195,660 who have never before been screened for cancer.

In common terms, cancer is a disease in which normal cells misbehave by multiplying uncontrollably, ignoring signals to stop, and often clumping into masses called tumors. However, cancer is not as simple as that description implies. There are at least 200 different types of cancer, each named for the organ or type of cell from which it begins. It is a complex disease.

The projects and programs supported by CPRIT, as with all biomedical undertakings, are part of an iterative cycle with observations emerging from the laboratory making their way to the patient's bedside and back again to the laboratory. Essential players in this cycle are basic scientists, physician-scientists, clinical researchers, product development entrepreneurs, public health professionals, patients and health care providers. The Institute arms all of these soldiers in the battle against cancer.

The year covered by this report was an exciting one for the Institute. As will be outlined, 2014 was a year of new beginnings for CPRIT, with the naming of a new Oversight Committee and the resumption of its important constitutional programs of prevention and research—both academic and product development—following a one-year hiatus in 2013. The Institute restarted to unprecedented demand for its programs and funding opportunities.



As always, special acknowledgment must be extended to the teams of advocates from numerous cancer related organizations. Their dedication and support inspires us daily in our efforts to serve all Texans.

On behalf of the CPRIT Oversight Committee and the agency's staff, I thank you and all members of the Texas Legislature for allowing us to make 2014 another great year. We look forward to the future and new opportunities to fulfill our mission to improve the health and lives of our fellow Texans.

Sincerely,

A handwritten signature in black ink, appearing to read "Wayne R. Roberts".

Wayne R. Roberts
Chief Executive Officer



INTRODUCTION

The Cancer Prevention and Research Institute of Texas, or CPRIT, is charged by the Texas Legislature to:

- Create and expedite innovation in the area of cancer research, and enhance the potential for a medical or scientific breakthrough in the prevention of cancer and cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in this state; and
- Develop and implement the Texas Cancer Plan.

Created by the Texas Legislature and authorized by Texas voters in 2007, CPRIT began in 2009 to award grants to Texas-based organizations and institutions for cancer-related research and product development and for the delivery of cancer prevention programs and services.

State statutes codifying CPRIT are V.T.C.A., Health and Safety Code, Chapter 102. In fiscal year 2013, the regular session of the 83rd Texas Legislature substantially amended this legislation through the passage of Senate Bill 149. Changes related to that legislation effective in fiscal year 2013 were addressed in the 2013 Annual Report.



CPRIT OVERSIGHT COMMITTEE

The CPRIT Oversight Committee is the governing body of the Institute. The committee may adopt such policies and practices, consistent with applicable law, as it deems proper for the conduct of its meetings and the management of the agency.

Responsibilities

According to V.T.C.A., Health and Safety Code, Section 102.107 (as amended in 2013), the core responsibilities of the Oversight Committee include:

- Annually setting priorities for each grant program funded by the Institute (research, prevention, and product development);
- Considering these priorities in awarding grants;
- Hiring a chief executive officer for the Institute; and
- Adopting rules governing conflicts of interest.

In 2013, amendments to CPRIT's enabling legislation require that three members (one appointed by each of the state's elected leadership officers) be "physicians or scientists with extensive experience in the field of oncology or public health."

Members (as of August 31, 2014):

Appointed by Gov. Rick Perry

Angelos Angelou Austin

Gerry Geistweidt Mason

Presiding Officer William Rice, M.D. Austin

Appointed by Lt. Gov. David Dewhurst

Ned Holmes Houston

Secretary Amy Mitchell Austin

Craig Rosenfeld, M.D. Dallas

Appointed by House Speaker Joe Straus

Assistant Presiding Officer Preston "Pete" Geren Fort Worth

Will Montgomery Dallas

Cynthia Mulrow, M.D. San Antonio



REPORT FROM THE CHIEF EXECUTIVE OFFICER

For the Cancer Prevention and Research Institute of Texas, fiscal year 2014 can be characterized as a second “start” for agency operations and the grant award process. This is due to the significant changes that occurred in the agency’s enabling legislation during the regular session of the 83rd Texas Legislature in 2013.

The first half of 2013 focused almost exclusively on the legislative reassessment and CPRIT’s self-examination after a series of questions concerning several CPRIT awards and possible conflicts of interest. Although an exhaustive review of all grants awarded by the Institute verified that all appropriate processes and procedures had been used and that no conflicts of interest affected the outcome of any grant-making decision, numerous checks and balances were statutorily or administratively installed to prevent problems in the future.

As part of this “reset,” new Oversight Committee members were appointed in early fiscal year 2014 to accommodate the requirement that three members be physicians or scientists in the field of oncology or public health, with others including cancer survivors or family members of cancer patients. As soon as these new appointees were named, the state leadership lifted a suspension of CPRIT’s grant awarding review process that had been implemented in December 2012.

On November 1, 2013, the new Oversight Committee met for the first time and faced a landscape of pending business. Among the challenges were:

- 118 announced grants awaiting contract finalization;
- 17 peer reviewed and recommended applications pending final approval; and
- No new applications for grant awards had been submitted in the previous eleven months.

First and foremost, all changes enacted by the 83rd Legislature needed implementation. In addition, 41 of 51 recommendations from a January 2013 state auditor’s management report needed finalization. Key staff vacancies had to be filled, including the chief executive officer, chief product development officer, and chief compliance officer.

Action by the new Oversight Committee in fiscal year 2014 fell into three general groupings. Initially the Oversight Committee needed to focus on agency governance. Permanent Oversight Committee officers were elected, a code of conduct for the Oversight Committee and staff was adopted, and the Oversight Committee bylaws were significantly amended. Eight Oversight subcommittees were created and three advisory committees—university, childhood cancers, and product development—were activated. The interim executive director during 2013 was named chief executive officer, and 13 new employees were hired to key management positions and to expand agency legal, fiscal, and compliance activities. Seven Oversight Committee and 30 subcommittee meetings were held.



Simultaneously the Oversight Committee demonstrated its commitment to increased accountability by implementing the 41 outstanding January 2013 state auditor recommendations (<http://www.cprit.state.tx.us/images/uploads/cprit-audit-implementation-plan-2014-06-30.pdf>) and all of the provisions of Senate Bill 149, the agency reorganization bill from the 83rd Legislature (http://www.cprit.state.tx.us/images/uploads/sb149_enrolled_retrieved_130617.pdf). In doing so, the agency rules were overhauled, expanding from 33 to 49 rules with the number of administrative code pages increasing from 40 to 105. Ethics training for Oversight Committee members and staff was mandated and conducted. Agency “dashboard” metrics, or key operational indices, were developed and reported upon at each quarterly meeting. A grantee training program concerning the rules changes and reporting requirements was initiated with a focus on customer service. And in accordance with state requirements, the Agency Strategic Plan for 2015-2019 (www.cprit.state.tx.us/images/uploads/cpritstratplan2015-2019.pdf) and the Legislative Appropriations Request for Fiscal Years 2016 and 2017 (www.cprit.state.tx.us/images/uploads/lar_2016-2017.pdf) were prepared for use by the 84th Texas Legislature convening in January 2015.

But amidst this array of administrative and operational activities, the Oversight Committee most importantly reignited CPRIT’s constitutional mission. During fiscal year 2014:

- 22 requests for applications were issued among the three programs;
- 1,232 applications for funding were received;
- 124 peer reviewers were appointed, including for the first time, 14 advocate reviewers;
- 48 peer review and review council meetings were held;
- 3 Program Integration Committee meetings were conducted;
- 169 grants were awarded totaling \$292,552,975;
- 420,738 Texans were provided prevention and control services;
- 25 eminent cancer recruits to Texas were announced by the Oversight Committee; and
- 2 patents were issued derived from CPRIT awards.

During 2014 the Oversight Committee developed program priorities as mandated by V.T.C.A., Health and Safety Code Section 102.107(2). This provision instructs the Oversight Committee to set priorities annually for each grant program that receives state funding. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the Institute’s funding portfolio among and within its three programs as well as guide CPRIT staff and review councils on the development and issuance of program-specific requests for applications and the evaluation of applications submitted in response to those requests. The Oversight Committee adopted its first annual set of priorities at its November 2014 meeting. These priorities are expanded upon later in this report.

The question is often asked: “When are you going to cure cancer?” After all, CPRIT estimates that at least \$18.2 billion annually is pumped into fighting cancer nationally. CPRIT contributes \$300 million of this investment, or 1.6 percent.



Partial answers to this question are discussed in “Curing Cancer: Where are we today?” by Margaret Kripke, PhD, CPRIT’s chief scientific officer, on page 45.

But in asking this question, CPRIT encourages people to reflect upon how the scientific process works. Advances are generally made by building upon previous research and the work of others over considerable periods of time. For instance, Dr. James Allison, who CPRIT helped bring to Texas on a recruitment grant, made a breakthrough discovery about the immune system and cancer in the mid ‘90s. His work then informs many of today’s advances on tumor immunology.

In his book, *How We Got to Now*, author Steven Johnson points out that, much like the evolution of pollen that altered the design of the hummingbird’s wings, the most remarkable thing about innovations is the way they precipitate unanticipated changes that reverberate beyond the field of discipline or problem at the center of the particular innovation. The “Hummingbird Effect,” as Johnson calls it, can be seen in the Gutenberg printing press: It created the need for reading glasses, which led to experiments with lenses, followed by the invention of the microscope and the discovery of microscopic cells.

The science and technology that came together to make a microscope possible are similar to the science and technology CPRIT invests in today. Prevention and cures for cancer are made possible with every advancement. So the answer to the question—“When will cancer be cured?”—is now. Cancer is cured now, one discovery at a time. CPRIT is proud to be part of this connectivity.

Reflecting on 2014 as this report does, the Oversight Committee and staff of CPRIT are pleased with the year’s accomplishments. After the pause of 2013, everyone associated with CPRIT is enthusiastically engaged in the resumption of the work for which it was created—identifying and supporting the critical work of the researchers, scientists, clinicians, health care professionals, educators, nonprofit organizations and private sector enterprises that have placed Texas at the vanguard of the fight against cancer. As it leaves 2014 behind, the state of the Institute is strong. The Cancer Prevention and Research Institute of Texas looks forward to the advances of 2015.



THE IMPACT OF CANCER IN TEXAS AND THE STATE’S RESPONSE

Cancer is the second leading cause of death in Texas and the nation, behind heart disease. It is the leading cause of death for persons younger than 85 years, and is expected to surpass heart disease as the overall leading cause of death within this decade. It is estimated that one in two men and one in three women will be diagnosed with cancer in their lifetimes.

In 2014, it is estimated that there were 119,115 Texans newly diagnosed with cancer and 44,150 who died of the disease.

With improvements in treatment, and cancers being detected earlier, there are increasing numbers of cancer survivors. Additionally, the number of people diagnosed with and living with cancer will continue to increase as the population grows and ages.

Cost of Cancer to Texas

According to the *An Economic Assessment of the Cost of Cancer in Texas and the Benefits of the Cancer Prevention and Research Institute of Texas (CPRIT) and its Programs* report, direct medical costs and morbidity and mortality losses in the state totaled \$32.4 billion in 2014, up from \$30.4 billion the previous year.

Cancer costs the Texas economy:

- \$161.7 billion in reduced annual spending;
- \$79.8 billion in output losses annually; and
- 785,865 lost jobs from cancer treatment, morbidity and mortality and the associated spillover effects.

Cancer also costs the government of the State of Texas at least \$1.02 billion annually in health-related expenditures, as shown below.

| Initiative/Organization | Cancer-Related Expenditures |
|--------------------------------------|-----------------------------|
| Children’s Health Insurance Program | \$12.2 million (FY 2013)* |
| Texas Medicaid | \$329.8 million (FY 2013)* |
| Teacher Retirement System of Texas | \$372.4 million (FY 2014) |
| Employees Retirement System of Texas | \$309 million (FY 2014) |

**Most recent data available from the Health and Human Services Commission*

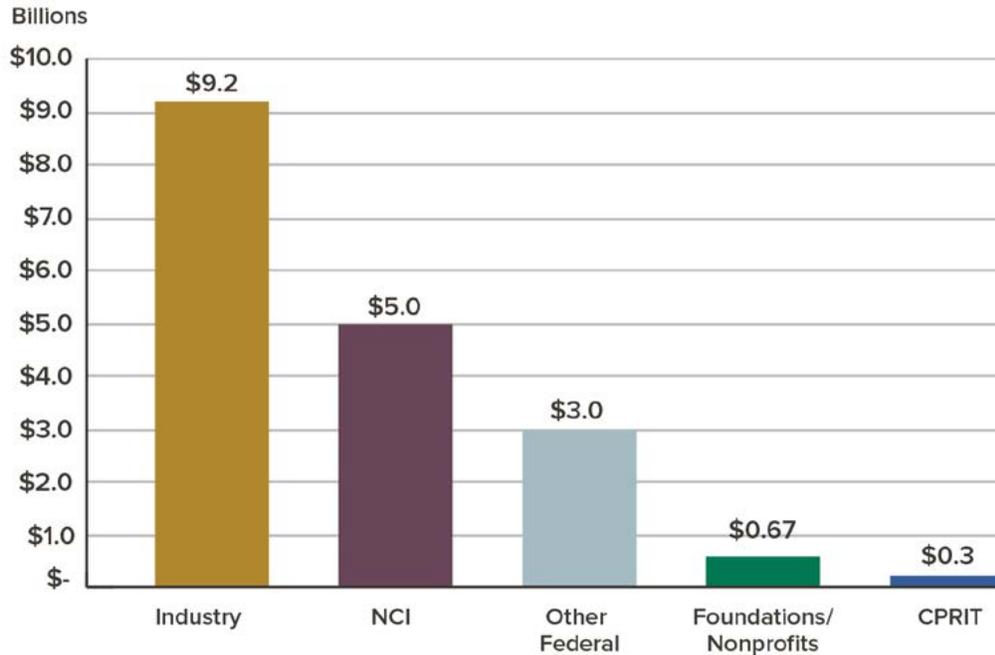
Other Sources of Cancer Funding

Nationally, more than \$18 billion annually is spent on cancer research, product development and prevention programs. As shown in the following chart, more than half of this funding comes from private industry



sources, with a somewhat smaller amount derived from federal sources (the National Cancer Institute, as well as other federal programs such as those within the Department of Defense). While CPRIT is believed to be the largest single source of non-federal public cancer funding, the Institute’s \$300 million in annual funding makes up a relatively small percentage of this total.

CANCER RESEARCH FUNDING



Source: "Report of the National Cancer Advisory Board AD Hoc Working Group, Dec. 2010."
Excludes philanthropy.

CPRIT’s Economic Impact for Texas

Economic development, and specifically the creation of high-quality new jobs for Texas, is a stated element of the mission of CPRIT as defined by statute. Through the end of fiscal year 2014, the following results can be attributed to CPRIT’s activities and investments:

- \$3.6 billion in Texas business activity;
- 37,690 jobs created through direct and indirect economic activity, according to The Perryman Group report; and
- \$197 million in state tax receipts and \$92.1 million in local government tax receipts.

In addition to these economic development accomplishments, CPRIT’s efforts also enable Texans’ prosperity by reducing the economic costs of cancer. For example, every \$1 that CPRIT invests in screening programs results in an estimated \$7 savings in treatment costs, preserved productivity, and other economic benefits through earlier detection of cancers.



CPRIT GRANT PROGRAMS: SCIENTIFIC RESEARCH

Goals, Strategies and Priorities

The goals of the CPRIT scientific research program are:

- To discover new information about cancer that can lead to prevention, early detection and cures;
- To translate new and existing discoveries into practical advances in cancer diagnosis and treatment; and
- To increase the prominence and stature of Texas in the fight against cancer.

CPRIT's strategy is to support the most creative ideas and the most meritorious projects brought forward by the cancer research community. The overarching principles for awarding CPRIT funds are scientific excellence and impact on reducing the burden of cancer. However, in recognition that a more strategic deployment of funds may accelerate progress in cancer research beyond what can be achieved simply by adding incrementally to the types of cancer research funded by other agencies, a more targeted approach to solicitations of research proposals is taken, thereby increasing CPRIT's impact on cancer. Guided by priorities set by the Oversight Committee during the past year, CPRIT released during the past year Requests for Applications for studies on prevention and early detection of cancer, and on cancer in children and adolescents. Applications for these awards are currently under review.

CPRIT scientific research award applications are reviewed by seven independent peer review panels. The peer reviewers are selected from among the most prominent cancer researchers in the country, outside of Texas. They are charged to assess research proposals on the basis of scientific merit and potential impact on cancer. Each of the seven panels is chaired by a distinguished cancer researcher; together, these chairs make up the Scientific Review Council, chaired by a world-renowned scientist.

The Institute uses a variety of grant award mechanisms to achieve the goals of the research program:

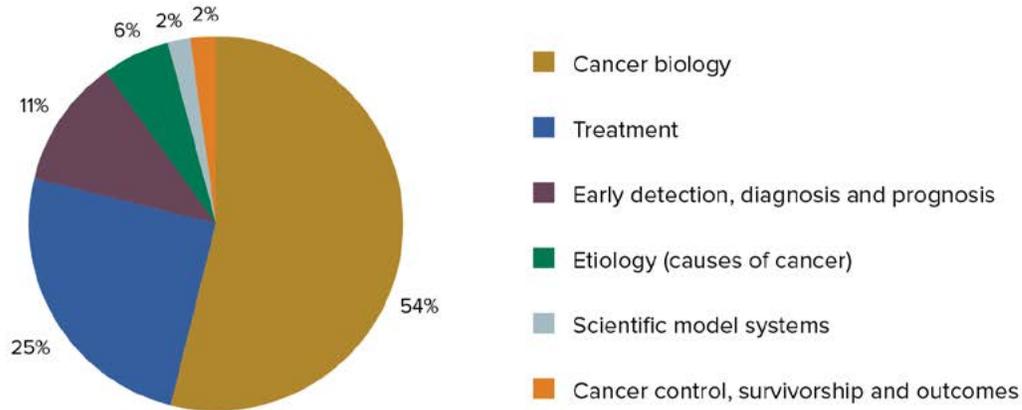
- The Institute supports discovery by funding the research of independent investigators that has the potential to reduce the burden of cancer, and by funding innovative projects that are high risk, but with high potential impact on cancer;
- Translation of research findings to bring new advances in cancer prevention, diagnosis, and treatment is achieved through the support of Individual Investigator and High Impact-High Risk Research Awards;
- Multi-Investigator Research Awards stimulate collaboration and bring together researchers and clinicians to work on a common problem in cancer;
- The Institute also funds infrastructure to support cancer research in the form of Core Facility and Shared Instrumentation Awards, as well as multi-investigator awards to create research resources; and
- Building a critical mass of cancer researchers in Texas is addressed by supporting recruitment of cancer scientists and clinicians at all levels to academic institutions in Texas and through training programs in which pre- and post-doctoral fellows are educated to become cancer researchers.



CPRIT's Scientific Research Portfolio

In the past fiscal year, CPRIT awarded 61 Individual Investigator Research Awards, 15 High Impact-High Reward research grants, seven continuation grants for Research Training Awards, and four continuation grants for Multi-Investigator Research Awards, for a total of \$77,175,515, and supported the recruitment of 21 outstanding cancer researchers to Texas with recruitment awards totaling \$52,339,259.

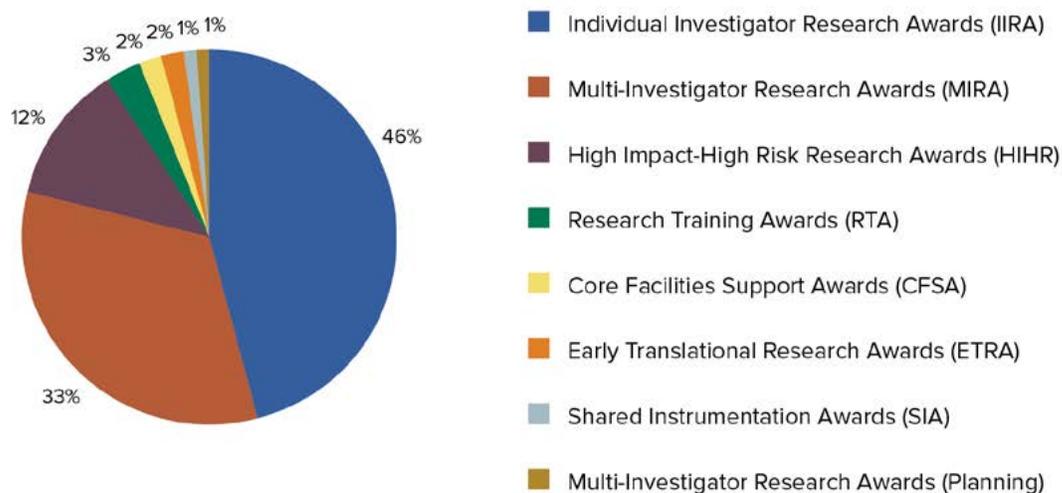
DISTRIBUTION OF FUNDED SCIENTIFIC RESEARCH GRANTS BY RESEARCH AREA



In FY 2014, CPRIT changed the Research Area categories to more accurately reflect data captured by NIH. Therefore, the percentages listed in the table above only represent grants that were funded in FY 2014 and are not cumulative percentages.

From its inception, CPRIT has awarded 552 research grants, totaling more than \$506 million in scientific research program funding, along with recruitment grants totaling more than \$221 million to bring 77 outstanding researchers and their teams to Texas.

SCIENTIFIC RESEARCH GRANT DISTRIBUTION BY MECHANISM (CUMULATIVE TOTALS AS OF AUGUST 31, 2014)





As shown in the previous figure, the majority of scientific research grants funded by CPRIT support Individual Investigator Research Awards (IIRA). These awards fund individual investigators who propose innovative research projects that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. These awards are highly competitive; less than 15 percent of the applications received to date by CPRIT have been funded. Approximately \$241 million has been awarded to 19 institutions in Texas for the IIRA grant program.

High Impact-High Risk (HIHR) grants (12 percent of the portfolio) fund two-year projects to explore new avenues in cancer research. Only a limited number of applications are accepted from academic institutions and approximately 12 percent of the applications submitted to date have been funded. Sixty-six HIHR awards have been made to 20 institutions, totaling more than \$13 million.

Multi-Investigator Research Awards (MIRA) fund large-scale, cross-disciplinary research programs that require both innovation and collaboration. CPRIT has awarded over \$169 million to 25 MIRAs, which in turn include 158 individual projects. Four of the original existing projects received continuation funding during this fiscal year to provide support for two additional years. Eight small MIRA Planning grants were initially awarded to facilitate coordination among institutions submitting comprehensive applications, and those dollar amounts are included in the MIRA total.

The remainder of the portfolio includes the following smaller grant mechanisms that account for more than \$83 million of CPRIT’s scientific research portfolio:

- Eight Shared Instrumentation Awards and 11 Core Support Facilities Awards that provide infrastructure to support the cancer research of many investigators;
- Nine Early Translational Research Awards that support projects leading to the development of cancer therapeutic agents, devices, or diagnostics; and
- Seven Research Training Awards that support the training of the next generation of cancer researchers. All seven of the original existing projects received continuation funding during this fiscal year to provide support for two additional years.

| FUNDED SCIENTIFIC RESEARCH GRANT PROJECTS AS OF FISCAL YEAR 2014 BY AWARD MECHANISM | | | | |
|--|------------------------------------|--|----------------------------------|--------------------|
| Award Mechanism | Award Maximum/ Project Duration | Award Mechanism Description | Number of Projects as of FY 2014 | Total Award Amount |
| High Impact-High Risk Research Awards (HIHR) | - Up to \$200,000 - 2 years | Supports relatively short-term high-impact/high risk projects that are innovative, developmental, and/or exploratory in nature targeting new avenues of cancer research. | 66 | \$13,143,068 |



| Award Mechanism | Award Maximum/ Project Duration | Award Mechanism Description | Number of Projects as of FY 2014 | Total Award Amount |
|--|--|---|---|-----------------------|
| Individual Investigator Research Awards (IIRA) | <ul style="list-style-type: none"> - Up to \$500,000 - 3 years | Supports innovative research projects directed by one scientist that address critically important questions that will significantly advance knowledge of the causes, prevention, diagnosis, and/or treatment of cancer. | 253 | \$241,043,481 |
| Multi-Investigator Research Awards (MIRA) | <ul style="list-style-type: none"> - No maximum with appropriate justification - 5 years | Supports integrated programs of collaborative and cross-disciplinary cancer research among multiple investigators for projects that cannot be effectively addressed by individual researchers or a group or researchers within the same discipline. | 25 (with 158 individual projects) | \$169,275,785 |
| Multi-Investigator Research Awards – Planning | <ul style="list-style-type: none"> - Up to \$25,000 - 8 months | Support to assist applicants for the Multi-Investigational Research Award to coordinate activities among several institutions submitting comprehensive applications. | 8 | \$133,845 |
| Research Training Awards (RTA) | <ul style="list-style-type: none"> - Up to \$750,000/year - 5 years | Supports training programs for predoctoral (PhD or MD/PhD) and postdoctoral trainees committed to pursuing a career in cancer research. Also supports undergraduate summer research internships and Master’s degree-level trainees. | 7 | \$29,465,885 |
| Shared Instrumentation Awards (SIA) | <ul style="list-style-type: none"> - Up to \$3M for 1st Year, up to \$300,000 subsequent years - 5 years | Supports the acquisition of major research instrumentation that cannot be requested through other CPRIT programs and whose purchase can be justified on a shared-use basis to support the goals of scientifically meritorious cancer research projects. | 8 | \$12,436,069 |



| Award Mechanism | Award Maximum/ Project Duration | Award Mechanism Description | Number of Projects as of FY 2014 | Total Award Amount |
|---|---|---|---|-----------------------|
| Core Facilities Support Awards (CFSA) | - Up to \$2M for 1st year, up to \$1M subsequent years - 5 years | Supports centralized laboratories performing widely used technologies that serve the needs of multiple researchers. | 11 | \$33,062,583 |
| Early Translational Research Awards (ETRA) | - Up to \$1M - 1-3 years | Supports projects that “bridge the gap” between the research laboratory and potential clinical applications, such as proof-of- principle research to guide the development of therapeutics, devices or diagnostic assays. | 9 | \$8,283,557 |
| TOTAL | | | 545* | \$506,844,272 |

**While CPRIT has awarded 552 scientific research grant awards, there are 545 individually funded projects. MIRA and RTA continuation grants are new grants awards, but not new projects.*

Recruitment Grants

Building a critical mass of cancer researchers in Texas is addressed by supporting recruitment of cancer scientists and clinicians, at all career levels, to academic institutions in Texas and through training programs in which pre- and post-doctoral fellows are educated to become cancer researchers. CPRIT approved 25 recruitment awards in FY 2014, and 21 recruits accepted positions, for a total amount of \$52,339,259. Since its inception, CPRIT has supported the recruitment of 77 outstanding cancer researchers to 13 academic institutions in Texas. This program has been highly successful in enhancing Texas’ cancer research efforts and increasing the external visibility of the state in this field.

| ACTIVE SCIENTIFIC RESEARCH RECRUITMENT GRANT PROJECTS AS OF FISCAL YEAR 2014 BY AWARD MECHANISM | | | | |
|--|-------------------------------|--|-----------------------|-----------------------|
| Award Mechanism | Award Maximum/ Duration | Award Mechanism Description | Number of Recruits | Total Award Amount |
| Recruitment of Established Investigators | - Up to \$6M - 5 years | Support to recruit senior research faculty with distinguished professional careers and established cancer research programs. | 16 | \$90,715,750 |



| Award Mechanism | Award Maximum/ Duration | Award Mechanism Description | Number of Recruits | Total Award Amount |
|---|-----------------------------|--|--------------------|----------------------|
| Recruitment of First-Time, Tenure-Track Faculty | - Up to \$2M - 4 years | Support to recruit emerging investigators pursuing their first faculty appointment who have the ability to make outstanding contributions to the field of cancer research. | 50 | \$98,592,505 |
| Recruitment of Missing Links | - Up to \$2M - 5 years | Support to recruit investigators who can fill special and specific needs as critically important members of collaborative research teams. | 3 | \$5,881,402 |
| Recruitment of Rising Stars | - Up to \$4.5M - 5 years | Support to recruit early-stage investigators who have demonstrated the promise for continued and enhanced contributions to the field of cancer research. | 8 | \$26,270,259 |
| TOTAL | | | 77 | \$221,459,916 |

Representative Scientific Research Program Grants

Recruitment Awards

Dr. James Allison, CPRIT Scholar-Established Investigator (R1203)

Dr. Allison’s pioneering work has transformed the fields of basic and tumor immunology. Early in his career, he identified and characterized key molecules involved in activation of the immune response. In landmark studies he showed that the immune response is controlled by both up- and down-regulatory processes and that using an antibody to inhibit the down-regulatory pathway could boost the anti-tumor response in mouse models. This finding prompted the clinical development of a monoclonal antibody, which is the first cancer immunotherapy treatment to show a major survival benefit in melanoma patients. This antibody is now a standard-of-care therapy for late-stage melanoma patients. Dr. Allison’s concept of antibody-mediated blockade of immunologic checkpoints as cancer therapy has opened a new field of immunotherapy, and second-generation agents are currently being investigated in pre-clinical and clinical settings as treatments for multiple types of cancer.

Dr. Allison is a graduate of The University of Texas at Austin and was recruited to The University of Texas MD Anderson Cancer Center from Memorial Sloan-Kettering Cancer Center in New York. Dr. Allison has over 260 publications, with many in high-impact journals. Since joining MD Anderson last year, Dr. Allison has received funding from Stand Up to Cancer and the Cancer Research Institute (SU2C/CRI) to lead a “Dream Team in Translational Immunology Research” with the aim of facilitating clinical development of new and/or improved forms of cancer immunotherapy. He is a member of the National Academy of Science,



the Institute of Medicine, and the Academy of the American Association for Cancer Research. He also has received numerous awards in recognition of his seminal work.

Core Facility Support Awards

Zeina Nahleh, MD, FACP, bringing clinical trials to West Texas (RP120528)

A Core Facilities Support Award at Texas Tech University Health Sciences Center in El Paso supports a Cancer Clinical Research Center that enables the conduct of clinical trials for West Texas. The project facilitates activation of clinical trials, carries out community outreach efforts to expand patient education and awareness of cancer programs, and is creating a new cancer database for sharing results with other clinical oncology groups throughout the region. Because of this core facility, clinical trials are now available to the Latino community in the El Paso area. This is important because this population is largely underserved for cancer care and is underrepresented in clinical trials nationally.

Elizabeth Ward, Targeting HER2 for cancer therapy (RP110070)

Overproduction of a growth factor receptor called HER2 correlates with poor prognosis in breast cancer. However, antibodies against HER2 have produced disappointing results in clinical trials because of the ability of HER2 to bind to another cell surface (protein HER3) and escape degradation. In a recently completed study, Dr. Ward developed bi-specific antibodies that bind to both HER2 and HER3, which blocks their ability to receive signals that stimulate tumor growth. These antibodies inhibit the growth of breast cancer cells in cell culture, and animal models have been developed in which to test further the activity of the antibodies. Since HER3 is also involved in prostate cancer growth, bi-specific antibodies targeting HER3 and a cell surface protein involved in internalization and degradation of receptors were also developed. These novel antibodies represent a potential new approach for treatment of breast and prostate cancer. A provisional patent has been filed on the bi-specific antibodies.

For a full list of projects in the CPRIT research portfolio, visit: <http://www.cprit.state.tx.us/funded-grants/>

Focus of Activities in Fiscal Year 2014

During the past fiscal year, 87 new peer reviewers were added to the Scientific Review Panels for Research, making a total of 145 (www.cprit.state.tx.us/grants-process/peer-review-committees/scientific-review-council-src/). These panel members reviewed a total of 595 research grant applications, 90 of which were recommended to the Program Integration Committee and the Oversight Committee for funding. All recommended applications were approved for funding by the Oversight Committee, at a total dollar amount of \$77,175,515. The Scientific Review Council reviewed applications for 46 recruitment awards, 25 of which were recommended for funding, with 21 accepting, for a total dollar amount of \$52,339,259. All recommended applications were approved by the Program Integration Committee and the Oversight



Committee for funding. In addition, 10 RFAs for research projects were released, including newly developed ones for the high priority areas of prevention and early detection, and cancers of children and adolescents.

Other activities during the past year included reconstitution of the University Advisory Committee and Advisory Committee on Childhood Cancer and obtaining their input into CPRIT's priorities project, development of priorities for the research program in conjunction with the Oversight Committee, and implementation of a new formal mechanism for reviewing progress reports.



CPRIT GRANT PROGRAMS: PREVENTION

Goals, Strategies and Priorities

Since its inception, the CPRIT prevention program has been guided by the following principles:

- *Funding Evidence-Based Interventions.* CPRIT funds prevention programs and services, for any cancer type, that are culturally appropriate for the target population and that are validated by documented research or applied evidence.
- *Funding across the Prevention Continuum.* CPRIT funds quality proposals focused on:
 - Primary prevention: reducing risk or preventing cancer from occurring (e.g. vaccine-conferred immunity, tobacco cessation);
 - Secondary prevention: early detection of cancer to prevent it from spreading and treating diagnosed cases when the opportunity for greatest success exists (e.g., screening/early detection for breast, cervical, and/or colorectal cancer); and
 - Tertiary prevention: reducing risk of recurrence and improving quality of life for survivors and families (e.g., physical rehabilitation/therapy, psychosocial interventions, palliative care).
- *Reaching Underserved Populations.* CPRIT funds programs and services aimed to help those in most need, including:
 - Underinsured and uninsured individuals, especially those who have never been screened for colorectal, breast, and/or cervical cancer or who have not been screened within five years of the current guidelines;
 - Geographically or culturally isolated populations or those with low health literacy skills;
 - Medically unserved or underserved populations;
 - Racial, ethnic and cultural minority populations; and
 - Any other populations with low screening rates, high incidence rates and high mortality rates.
- *Innovating and Evaluating.* CPRIT's prevention portfolio aims to build understanding of and capacity to deliver effective programs by evaluating and disseminating innovations and best practices that address the needs of underserved populations.



CPRIT's Prevention Portfolio

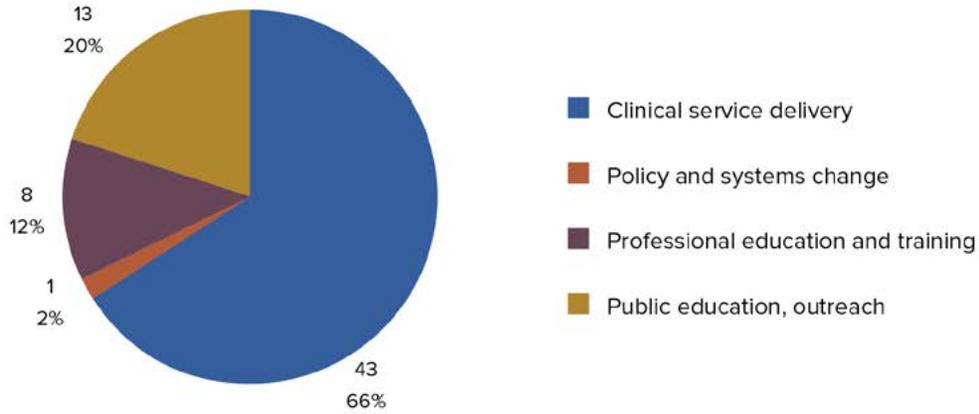
Since 2009, CPRIT has funded 130 prevention grants, 65 of which were active during fiscal year 2014. The active evidence-based projects, accounting for a total of \$88,117,024 in funding, have been awarded through the following mechanisms:

| ACTIVE PREVENTION GRANT PROJECTS IN FISCAL YEAR 2014 BY AWARD MECHANISM | | | | |
|--|--|--|---|---------------------------|
| Award Mechanism | Award Maximum/ Project Duration | Award Mechanism Description | Number of Projects Active during FY 2014 | Total Award Amount |
| Cancer Prevention Microgrants (CPMG) | - Up to \$150,000 - 2 years | Supports programs focusing on improving systems and removing barriers that increase the delivery of primary and secondary preventive services. | 1 | \$147,580 |
| Evidence-Based Cancer Prevention Services (EBP) | - Up to \$3M - 3 years | Supports evidence-based services in primary, secondary and/or tertiary cancer prevention. | 42 | \$73,790,837 |
| Behavior Change Through Public and Professional Education and Training (PPE) | - Up to \$500,000 - 3 years | Supports health promotion, education and outreach of the public and/or training of professionals for primary, secondary and tertiary cancer prevention that will improve health behaviors related to cancer. | 13 | \$4,347,076 |
| TOTAL ACTIVE FY 2014 | | | 65 | \$88,117,024 |
| Closed Grants | | | 65 | \$26,182,250 |
| Total Grants to Date | | | 130 | \$114,299,274 |

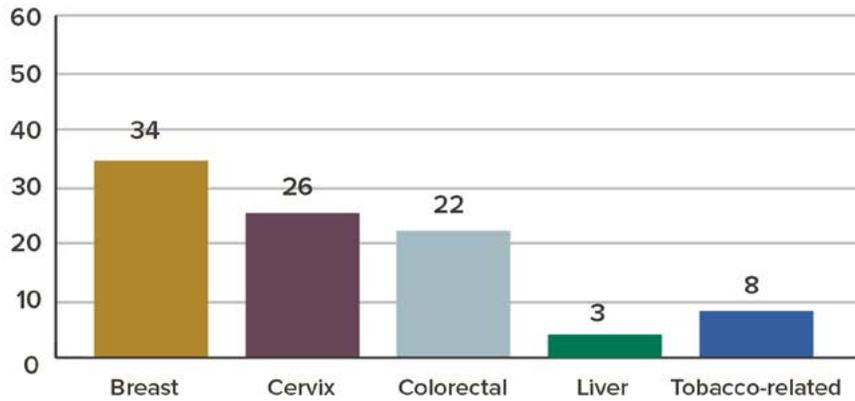


The following charts illustrate the distribution of these projects by type, cancer site and geographic location. Projects may address more than one focus area or cancer site.

NUMBER OF ACTIVE PREVENTION PROJECTS BY PRIMARY FOCUS AREA

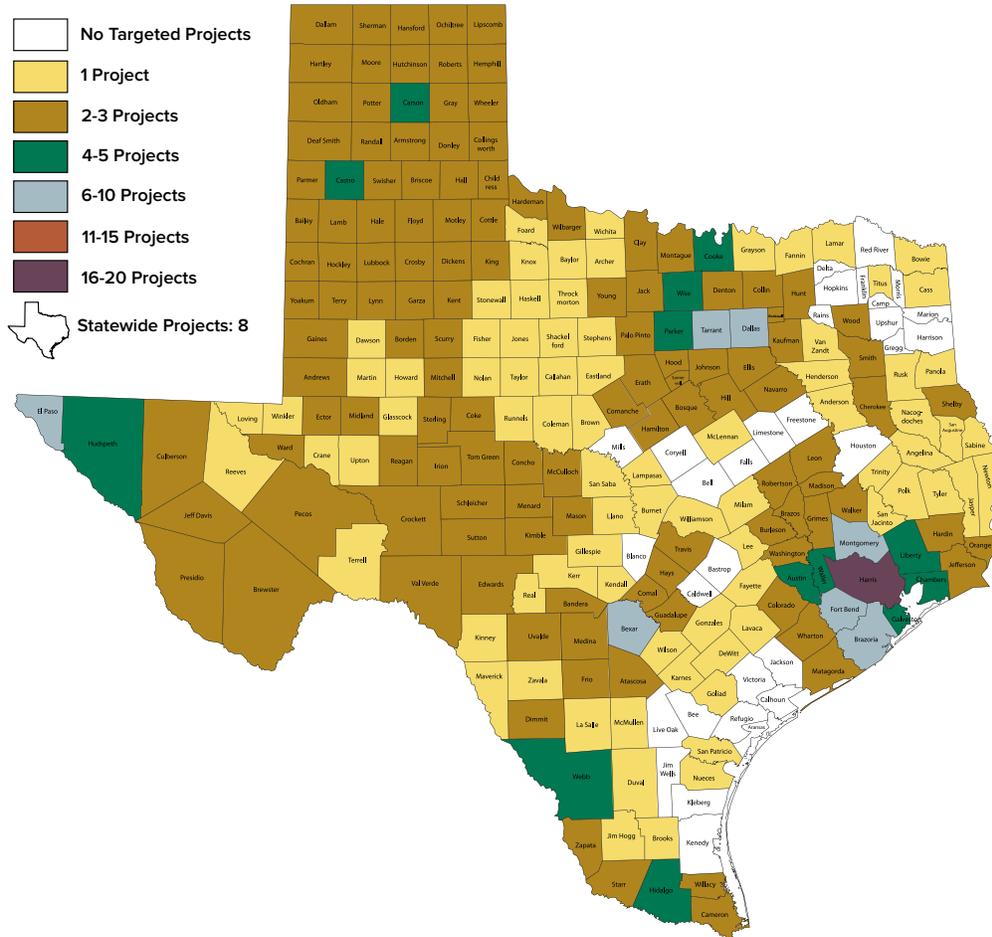


NUMBER OF ACTIVE PREVENTION PROJECTS BY CANCER SITE





COUNTIES SERVED BY CPRIT PREVENTION PROJECTS
65 ACTIVE PROJECTS DURING FY 2014



Prevention grantees report quarterly and annually on their progress. Based on grantee reports, since its inception, the CPRIT prevention program has supported programs serving more than 1,837,934 Texans. More than 881,430 clinical services and 956,904 education and training services have been delivered to Texans. These projects in the CPRIT prevention portfolio have led to:

- 14,794 prevention vaccinations;
- 184,037 Texans receiving tobacco cessation services;
- 16,728 Texans receiving genetic testing and counseling;
- 9,998 Texans receiving survivor care; and
- 433,789 screenings and diagnostics for breast, cervical and colorectal cancer. Of these:
 - 195,660 recipients had never before been screened;
 - 34,291 abnormal results were identified;
 - 2,618 cancer precursors were detected; and
 - 1,206 cancers were detected.



Representative Prevention Program Grants

Dr. Carol Rice, breast and cervical cancer screenings (PP12099)

“Overwhelming.” That’s how Dr. Carol Rice describes the response to the Texas A&M AgriLife Extension Service mammogram and Pap screening program. So far, it’s served 3,157 women living in 50 frontier (population of fewer than six people per square mile), rural and border counties of Texas. The free screenings have detected 198 abnormalities, including 42 cancer precursors. Education begins at “Friend to Friend” parties, where women learn about the efficacy of annual mammograms and Pap smears, and appointments are set in motion. Overall, the project has reached 7,590 women in nearly three years—more than twice the goal. “Many underserved women find the health care system intimidating or they are afraid of the cost,” Dr. Rice said. “Our program is supported by four patient navigators and five health specialists based in five regional AgriLife Extension centers.” In fact, an uninsured patient recently emailed Dr. Rice to single out a navigator in East Texas who saw her through a mammogram, biopsy, and five surgeries. “My world fell apart, but if I had not been a part of this program, my tumor would have just kept growing,” she wrote. “I am cancer-free thanks to the Friend to Friend program and my navigator, Jessie Bell. Please, I pray, keep these types of programs that saved my life and hopefully will save many more.”

Dr. Abbey Berenson, HPV vaccinations (PP120150)

To Dr. Abbey Berenson of The University of Texas Medical Branch (UTMB) at Galveston, one case of cervical cancer caused by the human papillomavirus (HPV) is one too many. Alarming, Hispanic women have almost twice the risk of cervical cancer as compared to whites. When Dr. Berenson discovered that the HPV vaccination rates for pregnant, low-income Hispanic women in Galveston County were considerably lower than those reported by the Centers for Disease Control, she set a goal to vaccinate 900 postpartum women over two years. The CPRIT-supported prevention program involves three steps: Creating awareness of the HPV vaccine among pregnant women through educational materials in English and Spanish; providing vaccinations after delivery; and ensuring the vaccinations are free to the program’s participants. As a result of those efforts, the HPV vaccination rate among postpartum women at UTMB has improved from 8.6 percent to 79 percent in the last two years. Three HPV vaccinations are required over the course of six months to provide complete protection against cervical cancer. To address traditionally low follow-up rates in the county, the program has established a partnership with obstetric clinics to coordinate the timing of subsequent doses with patients’ postpartum visits. A strategy of using voice mail messages and texts to remind patients about keeping their appointments also seems to be working. The completion rate for the vaccinations has more than doubled since the program began.

Dr. David McClellan, breast and cervical cancer screenings (PP130090)

Low-income and medically underserved women living in rural areas of Texas suffer from significantly lower survival rates associated with breast and cervical cancer. With CPRIT support, Texas A&M Health Science Center (TAMHSC) is addressing a critical unmet need for breast and cervical cancer education, prevention, screenings, and follow-up care in the nine-county Brazos Valley region of central Texas. During the first



year of the program, 337 women took advantage of clinical breast exams, mammograms, Pap tests, and coloscopies. One participant had put off doing anything about a mass in one of her breasts after she lost her health insurance many years ago. Fortunately, she heard about the TAMHSC program at a local community event last year and received treatment in time. What's unique about the project—and could stand as a national model—is the collaboration among family practice residents, nursing and public health students, and community health workers. Among other things, CPRIT funding enables medical residents and nurses to participate in breast and cervical cancer simulations, educating and preparing them for work in rural areas of Texas where the need for providers is the greatest.

For a full list of projects in the CPRIT prevention portfolio: <http://www.cprit.state.tx.us/funded-grants/>



CPRIT GRANT PROGRAMS: PRODUCT DEVELOPMENT

Goals, Strategies and Priorities

CPRIT's product development program is designed to accelerate the progression of new cancer drugs, diagnostics, and therapies from the laboratory into clinical practice. The objectives of CPRIT's product development program are:

- To improve patient care through expedited innovation and product development;
- To foster economic development in Texas' emerging life sciences industry and the creation of high-quality new jobs in this state; and
- To provide a direct return, through intellectual property and revenue sharing, on the investments made by the people of Texas.

CPRIT funds scientifically meritorious product development projects based on the potential for translating research discoveries into products that can help cancer patients. In addition to the scientific peer review process used by all CPRIT initiatives, product development proposals are subjected to a thorough due-diligence analysis to evaluate the applicant's regulatory plan and business operations capacity.

The CPRIT product development grant program uses a variety of grant award mechanisms to fulfill its objectives. The four award types fund research projects that include:

- **Company Awards** supporting research projects at Texas-based companies that have undertaken at least one round of professional institutional investment in developing marketable oncology products or services;
- **Company Formation Awards** assisting new start-up companies, with no previous rounds of professional institutional investment, seeking to develop marketable oncology products or services (companies that are not already based in Texas must relocate to the state before receiving CPRIT funding);
- **Company Relocation Awards** targeting companies based outside of the state that have conducted at least one round of professional institutional investment (these companies must relocate to Texas to develop commercially oriented oncology products or services with CPRIT funding); and
- **Early Translational Research Awards** supporting research projects that "bridge the gap" between promising new discoveries achieved in the research laboratory and commercial development for therapeutics, devices, or diagnostic assays through activities up to and including preclinical proof-of-principle data demonstrating applicability to the planned clinical scenario.

CPRIT's Product Development Portfolio

Fourteen Texas-based companies have received CPRIT product development awards. Six companies, BETA CAT Pharmaceuticals, ProPep Surgical, AERase, Curtana Pharmaceuticals, Mirna Therapeutics, and OncoNano Medicine, were approved for awards totaling \$78.9 million. Contracts with these companies are in negotiation. Two other companies had received research awards in January 2010 prior to the launch of



CPRIT’s product development program. The 16 CPRIT-funded company projects include promising drugs, diagnostics, and devices targeting a variety of cancers, including cancers of the blood (leukemia, lymphoma, and myeloma), colon and rectum, esophagus, stomach, lung, and prostate. Some of the CPRIT-funded companies are developing approaches applicable to multiple cancer types.

CPRIT’s product development portfolio totals \$127 million. Together with the companies’ required matching funds, total investment in research and development for the 16 CPRIT-funded company projects exceeds \$190 million. In addition to creating new and improved tools and treatments for fighting cancer, CPRIT’s investments are helping to build Texas’ life-science industry. While bringing a product to market can take time, jobs and economic activity are generated throughout the process. Projects funded by CPRIT are expected to create approximately 175 direct jobs—highly skilled, high-wage positions in life sciences—in Texas over the three-year term of CPRIT’s product development grant awards.

Every CPRIT award includes an intellectual property agreement that specifies a revenue return to the State of Texas from the successful development of CPRIT-funded drugs, devices, diagnostics or services. These revenue-sharing standards provide a fair return on Texas’ grant funds without impeding the ability of the company to attract future investment. Like any interested investor, CPRIT is an engaged partner and holds award recipients accountable for their efforts to bring products to market.

As of August 31, 2014, 12 CPRIT-funded company projects were active, out of 16 grants that had been awarded since CPRIT’s inception. Three companies—Apollo Endosurgery, InGeneron, and Visualase—have completed work on their CPRIT-funded projects. One other company’s grant—Peloton Therapeutics—remains on hold from fiscal year 2013.

| ACTIVE PRODUCT DEVELOPMENT GRANT PROJECTS IN FISCAL YEAR 2014 BY AWARD MECHANISM | | | | |
|---|---|---------------------------|-------------------------------|--------------|
| Award Mechanism | Title | Entity | Cancer Type | Amount |
| Company Award | Biobetter Cancer Monoclonal Antibody Program | Caliber Biotherapeutics | Leukemia, Lymphoma | \$12,808,151 |
| | Novel targeted biologics, Engineered Toxin Bodies (ETB), as cancer therapeutics | Molecular Templates, Inc. | Lymphoma | \$10,600,000 |
| | Clinically Actionable Mutation Profiling for Cancer Personalized Medicine using Scalable, Ultra-deep Next Generation Sequencing | Asuragen, Inc. | All Sites | \$6,837,265 |
| | Cancer Treatment Including Drug Discovery/Development and Clinical Trials | Mirna Therapeutics, Inc. | Basic Science, Multiple Sites | \$10,297,454 |
| | Cancer Biology and Genetics Including Oncogenesis Genomics and Proteomics | Rules-Based Medicine | Multiple Sites | \$3,024,432 |



| Award Mechanism | Title | Entity | Cancer Type | Amount |
|-----------------------------|--|--------------------------------|-----------------------------------|----------------------|
| Company Award | Clinical Development of CaspaCIDE, a Cell Therapy Safety Switch | Bellicum Pharmaceuticals, Inc. | Leukemia, Lymphoma, Myeloma | \$5,680,310 |
| | Formation of the Texas Cancer Therapeutics Process Development Lab | Kalon Biotherapeutics* | Multiple Sites | \$7,901,420 |
| | Development of an oncolytic adenovirus for the treatment of glioblastoma | DNAtrix, Inc. | Brain Cancer | \$10,813,623 |
| Company Formation | Expanding the Market and Success Rates for Myeloablative Cancer Treatments Using PUL-042, an Innate Immune Stimulant | Pulmotect, Inc. | Breast, Leukemia, Lymphoma, Ovary | \$7,126,398 |
| | Compounds to cause overproduction of toxic ceramides in cancer cells | CerRx, Inc. | T-cell Lymphoma | \$6,000,000 |
| Company Relocation | TexCITE (Texas Cancer ImmunoTherapy Enterprise): Focused development of innovative cell therapies for cancer | Cell Medica | Lymphoma, Other | \$15,571,303 |
| | Blocking the androgen receptor to overcome the hormone-therapy resistance in prostate cancer | ESSA Pharma, Inc. | Prostate | \$12,000,000 |
| TOTAL ACTIVE FY 2014 | | | 12 | \$108,660,356 |
| Inactive/Closed | | | 4 | \$18,395,881 |
| Total Grants to Date | | | 16 | \$127,056,237 |

* Kalon's grant contract was completed this fiscal year, moving the company to an active status award recipient.

Representative Product Development Program Grants

Company Formation Awards

CerRx, Inc. will deliver drugs that cause cancer cell death by an accumulation of toxic ceramides (CP130023)

CerRx is developing drugs that trick cancer cells into overproducing toxic waxes, called ceramides, which cells need to grow and divide. When the ceramides increase to a certain level, the cancer cells die. CerRx has a pipeline of such drugs, including fenretinide and safingol, which work synergistically against many cancer types in laboratory testing. Clinical testing has already shown that fenretinide can eliminate the cancers of some patients with relapsed lymphomas. CerRx will use its CPRIT funding to advance these drugs to market by conducting additional clinical trials in Texas.



Company Awards

Bellicum Pharmaceuticals, Inc., clinical development of CaspaCIDE, a cell therapy safety switch (RP110508)

Bellicum is developing a combination product for adult and pediatric leukemia or lymphoma patients undergoing hematopoietic stem cell transplantation (HSCT). The product under development contains Bellicum's CaspaCIDE safety switch, which allows rapid resolution of Graft-versus-Host Disease should it occur. This approach could reduce transplant-related morbidity and mortality for patients who have a matched donor, as well as making HSCT a viable option for the 50 percent of transplant candidates who are currently ineligible because they do not have a matched donor. During the past year, Bellicum has continued its Phase 1/2 clinical trial. Six U.S. clinical trial sites are open for enrollment, including two in Texas. With its successful results to date, the company recently filed to raise up to \$115 million in an IPO on NASDAQ.

DNAtrix, Inc. is developing a virus-based therapy for the treatment of brain cancer (CP130013)

DNAtrix, Inc. is developing modified viruses for the treatment of glioblastoma, one of the most aggressive types of brain cancer. Scientists have modified the common cold virus, called adenovirus, in two specific ways so that it can recognize and kill cancer cells effectively without harming normal brain tissue. The first product of its kind, called Delta-24-RGD, has just completed a major trial in more than 35 patients with glioblastoma at the MD Anderson Cancer Center. Many patients with glioblastoma who participated had remarkable responses to the therapy, with evidence of tumor killing and improved survival. Perhaps equally important, there were no safety concerns or side-effects such as those that can arise from chemotherapy. If Delta-24-RGD continues to produce benefits for patients in additional clinical trials, the FDA is expected to approve its use in this devastating disease.

For a full list of projects in the CPRIT product development portfolio, visit: www.cprit.state.tx.us/funded-grants.



CPRIT PEER REVIEW

Rigorous, independent merit-based peer review is the foundation of all of CPRIT’s grant programs and the primary means for ensuring that the Institute wisely invests the funds committed by the people of Texas to research, product development, and prevention programs with the greatest potential impact on cancer. From the Institute’s initiation, the peer review process has included multiple safeguards to address potential conflicts of interest and ensure both fairness and accountability. Further enhancements were made to the process in fiscal year 2014 pursuant to the recommendations of the State Auditor and the provisions of Senate Bill 149.

CPRIT Scientific Research, Prevention, and Product Development Peer Review Processes

The following tables show the process in effect for prevention, scientific research and product development grants as of the end of fiscal year 2014.

CPRIT SCIENTIFIC RESEARCH PEER REVIEW PROCESS

| | |
|---|---|
| <p>STEP 1 Request for Application (RFA)</p> | <p>CPRIT releases a Request for Application (RFA) via the website, subscribers to CPRIT’s email newsletter and the Texas Register.</p> |
| <p>STEP 2 Applying Online</p> | <p>Applicants submit proposals using CPRIT’s online application receipt system (www.cpritgrants.org). Applicants must include information about all sources of funding, including private investors. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award and applications are eligible only for the grant mechanism under which the grant application was submitted.</p> |
| <p>STEP 3 Administrative Review</p> | <p>Applications submitted by the deadline are checked for compliance against the application’s administrative requirements and may be withdrawn at this step.</p> |
| <p>STEP 4 Reviewer Conflict of Interest (COI) Identification</p> | <p>Experts and advocates in cancer research are recruited by panel chairs, provisionally appointed by CPRIT’s CEO and approved by the Oversight Committee (OC). The reviewers access a non-confidential summary, a list of key personnel and sources of funding for every application. Reviewers flag potential COI. Some categories of COI may excuse a reviewer from reviewing any application submitted under the same grant mechanism.</p> |
| <p>STEP 5 Reviewer Assignment</p> | <p>Peer reviewers are assigned to panels in their area of expertise. At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT’s website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process. Due to volume, research applications may undergo a preliminary evaluation using the process and criteria specified in the RFA.</p> |



| | |
|--|--|
| <p>STEP 6 Initial Scoring</p> | <p>An eligible application undergoes a rigorous peer review; the proposal is evaluated by (usually three) primary reviewers who provide an individual overall score. Individual overall scores are averaged to produce a single initial overall score for the application. A reviewer with a conflict of interest for an application recuses themselves from the discussion and scoring of that application.</p> |
| <p>STEP 7 Panel Discussion</p> | <p>The full peer review panel (12- 15 reviewers) discusses the applications. If there is insufficient time to discuss all grant applications, the Review Panel chair determines applications to be discussed, based on initial scores. After discussion, each panel member provides individual overall scores that are averaged to provide a final overall score.</p> |
| <p>STEP 8 Final Scoring</p> | <p>Based upon the discussion and the scores, the peer review panel develops a rank ordered list of applications it recommends for grant awards. A final overall score and a summary statement of the reviewers' comments are provided to each applicant.</p> |
| <p>STEP 9 Review Council Recommendation</p> | <p>The Scientific Review Council, consisting of the Chair and panel chairs, considers the panels' recommendations and conducts a programmatic review. Criteria considered during programmatic review are spelled out in the RFA. The Council assigns a numerical ranking score to each application. The Council specifies and explains changes, if any, to the applications' goals, objectives, budget or timeline and these are provided to both the CEO and the OC. Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.</p> |
| <p>STEP 10 Program Integration Committee (PIC) Review</p> | <p>The Program Integration Committee (PIC) considers the prioritized list of applications submitted by the Program Review Councils and approves by a majority vote a final list of applications to be recommended to the OC. The PIC includes an explanation for its recommendations.</p> |
| <p>STEP 11 Oversight Committee Action</p> | <p>The CPRIT CEO forwards the PIC's recommendations and provides an affidavit that each application complied with CPRIT's submission and review process. Two-thirds of the OC members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.</p> |
| <p>STEP 12 Grant Award Contract</p> | <p>All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements.</p> |

Note: Recruitment Award Process. Applications for recruitment awards follow steps 1 through 3 above, but they are reviewed by members of the Scientific Review Council (SRC). Reviewers flag potential COI, and the SRC Chair assigns applications to primary reviewers (usually 3). Primary reviewers evaluate and score applications based on criteria specified in the RFA. Applications then follow steps 6-12 above, with SRC members acting as panel members and the SRC Chair serving as Review Panel Chair.



CPRIT PREVENTION PEER REVIEW PROCESS

| | |
|---|--|
| <p>STEP 1 Request for Application (RFA)</p> | <p>CPRIT releases a Request for Application (RFA) via the website, subscribers to CPRIT’s email newsletter and the Texas Register.</p> |
| <p>STEP 2 Applying Online</p> | <p>Applicants submit proposals using CPRIT’s online application receipt system (www.cpritgrants.org) Applicants must include information about all sources of funding, including private investors. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award and only for the grant mechanism under which the grant application was submitted.</p> |
| <p>STEP 3 Administrative Review</p> | <p>Applications submitted by the deadline are checked for compliance against the application’s administrative requirements and may be withdrawn at this step.</p> |
| <p>STEP 4 Reviewer Conflict of Interest (COI) Identification</p> | <p>Experts and advocates in cancer prevention are recruited by panel chairs, provisionally appointed by CPRIT’s CEO and approved by the Oversight Committee (OC). The reviewers access a non-confidential summary, a list of key personnel and sources of funding for every application. Reviewers identify which applications match their area of expertise and flag potential COI. Some categories of COI may excuse a reviewer from reviewing any application submitted under the same grant mechanism.</p> |
| <p>STEP 5 Reviewer Assignment</p> | <p>Peer reviewers are assigned to panels in their area of expertise. At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT’s website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process.</p> |
| <p>STEP 6 Initial Scoring</p> | <p>An eligible application undergoes a rigorous peer review; the proposal is evaluated by (usually three) primary reviewers who provide an individual overall score. Individual overall scores are averaged to produce a single initial overall score for the application.</p> |
| <p>STEP 7 Panel Discussion</p> | <p>The full peer review panel (12-15 reviewers) discusses the applications. If there is insufficient time to discuss all grant applications, the Review Panel chair determines applications to be discussed. After discussion, each panel member provides individual overall scores that are averaged to provide a final overall score. A reviewer with a conflict of interest for an application recuses themselves from the discussion and scoring of that application.</p> |



| | |
|--|---|
| STEP 8 Final Scoring | Based upon the discussion and the scores, the peer review panel develops a rank ordered list of applications it recommends for grant awards. A final overall score and a summary statement of the reviewers' comments are provided to each applicant. |
| STEP 9 Review Council Recommendation | The Prevention Review Council, consisting of the Chair and panel chairs, considers the panels' recommendations and conducts a programmatic review. Criteria considered during programmatic review are spelled out in the RFA. The Council assigns a numerical ranking score to each application. The Council specifies and explains changes, if any, to the applications' goals, objectives, budget or timeline and these are provided to both the CEO and the OC. Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms. |
| STEP 10 Program Integration Committee (PIC) Review | The Program Integration Committee (PIC) considers the prioritized list of applications submitted by the Program Review Councils and approves by a majority vote a final list of applications to be recommended to the OC. The PIC includes an explanation for its recommendations. |
| STEP 11 Oversight Committee Action | The CPRIT CEO forwards the PIC's recommendations and provides an affidavit that each application complied with CPRIT's submission and review process. Two-thirds of the OC members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award. |
| STEP 12 Grant Award Contract | All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements. |



CPRIT PRODUCT DEVELOPMENT PEER REVIEW PROCESS

| | |
|---|--|
| <p>STEP 1 Request for Application (RFA)</p> | <p>CPRIT releases a Request for Application (RFA) via the website, subscribers to CPRIT’s email newsletter and the Texas Register.</p> |
| <p>STEP 2 Applying Online</p> | <p>Applicants submit proposals using CPRIT’s online application receipt system (www.cpritgrants.org). Applicants must include information about all sources of funding, including private investors. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award and only for the grant mechanism under which the grant application was submitted.</p> |
| <p>STEP 3 Administrative Review</p> | <p>Applications submitted by the deadline are checked for compliance against the application’s administrative requirements and may be withdrawn at this step.</p> |
| <p>STEP 4 Reviewer Conflict of Interest (COI) Identification</p> | <p>Experts and advocates in development of products related to cancer research are recruited by panel chairs, provisionally appointed by CPRIT’s CEO and approved by the Oversight Committee (OC). The reviewers access a non-confidential summary, a list of key personnel and sources of funding for every application. Reviewers identify which applications match their area of expertise and flag potential COI. Some categories of COI may excuse a reviewer from reviewing any application submitted under the same grant mechanism.</p> |
| <p>STEP 5 Reviewer Assignment</p> | <p>Peer reviewers are assigned to panels in their area of expertise. At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT’s website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process.</p> |
| <p>STEP 6 Individual Evaluation and Scoring</p> | <p>An eligible application undergoes a rigorous peer review; the proposal is evaluated by (usually three or four) primary reviewers who provide an individual overall score. Individual overall scores are averaged to produce a single initial overall score for the application.</p> |
| <p>STEP 7 Panel Discussion</p> | <p>The full peer review panel (12-15 reviewers) meets by teleconference and discusses the applications. After discussion, the primary reviewers may adjust their initial scores. The primary reviewers’ individual overall scores are then averaged to provide an overall evaluation score for the application; the score and a summary statement of the reviewers’ comments are generated for each application that does not move forward for further review. A reviewer with a conflict of interest for an application recuses themselves from the discussion and scoring of that application.</p> |



| | |
|--|---|
| <p>STEP 8 In Person Presentations</p> | <p>Applicants with sufficiently positive scores after the panel discussion are invited to present their proposal to the full review panel and answer reviewer questions. Following the presentation, the reviewers discuss the application and all reviewers individually submit an overall score for the application. The individual overall scores are then averaged to provide a final overall evaluation score for the application; the score and a summary statement of the reviewers' comments are provided to each applicant. A reviewer with a conflict of interest for an application recuses themselves from the discussion and scoring of that application.</p> |
| <p>STEP 9 Due Diligence Review</p> | <p>The applications that score sufficiently well after the in-person presentation undergo due diligence review conducted by outside contractors hired by CPRIT and overseen by the Chief Product Development Officer. Due diligence involves an in-depth evaluation of the proposal's underlying intellectual property, clinical trial design, regulatory affairs, manufacturability of product, marketing, etc. The due diligence reports are provided to the primary reviewers and the Product Development Review Council for their consideration.</p> |
| <p>STEP 10 Review Council Recommendation</p> | <p>Following a discussion of the due diligence reports, the Review Council conducts a programmatic review and decides which applications should be recommended for CPRIT grant funding. Criteria considered during programmatic review are spelled out in the RFA. All Product Development applications recommended for grant funding are numerically ranked by the Review Council and submitted to the Program Integration Committee (PIC). The Council specifies and explains changes, if any, to the applications' goals, objectives, budget or timeline and these are provided to both the CEO (as Chair of the PIC) and the OC. Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.</p> |
| <p>STEP 11 Program Integration Committee (PIC) Review</p> | <p>The PIC considers the prioritized list of applications submitted by the Program Review Councils and approves by a majority vote a final list of applications to be recommended to the OC. The PIC includes an explanation for its recommendations.</p> |
| <p>STEP 12 Oversight Committee Action</p> | <p>The CPRIT CEO forwards the PIC's recommendations and provides an affidavit that each application complied with CPRIT's submission and review process. Two-thirds of the OC members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.</p> |
| <p>STEP 13 Grant Award Contract</p> | <p>All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements, including revenue sharing terms and agreed upon milestones.</p> |



Review Councils

The Institute's three review councils — the Scientific Review Council, Prevention Review Council, and Product Development Review Council — oversee the peer review of all applications submitted to CPRIT. Members of the review councils chair the peer review committees within each program area. The councils assess the evaluations completed by the peer review committees and create a final list of proposals recommended for CPRIT grant awards.

Pursuant to Senate Bill 149, the review councils submit their lists of recommendations simultaneously to the presiding officers of the CPRIT Program Integration Committee and the Oversight Committee. The Program Integration Committee then forwards its final recommendations to the Oversight Committee, which approves awards by a two-thirds vote at a public meeting.

Scientific Review Council members:

<http://www.cprit.state.tx.us/grants-process/peer-review-committees/scientific-review-council-src>

Prevention Review Council members:

<http://www.cprit.state.tx.us/grants-process/peer-review-committees/prevention-review-council-prc/>

Product Development Review Council members:

<http://www.cprit.state.tx.us/grants-process/peer-review-committees/productdevelopment-review-council-crc/>



CPRIT COMPLIANCE PROGRAM

In August 2012, the CPRIT Oversight Committee established the agency's compliance program, which was later codified by statutory changes included in Senate Bill 149 as passed by the 83rd Texas Legislature, mandating a program "to assess and ensure compliance by the Institute's committee members and employees with applicable laws, rules and policies." Implementation of the program started in fiscal year 2013. In December 2013, a chief compliance officer was hired and implementation and enhancements to the Institute's new compliance program continued throughout fiscal year 2014 and into 2015. Those enhancements and elements of the program include both internal ethics, compliance training, and monitoring, as well as training and monitoring of grantee compliance with CPRIT's laws, rules, and policies.

CPRIT Employee and Oversight Committee Compliance

The CPRIT compliance program ensures that each CPRIT employee and Oversight Committee member complies with reporting and training requirements as provided in state laws, agency rules, and policies. All CPRIT employees verify that they have read the Code of Conduct, completed annual ethics training, signed a non-disclosure agreement and attest that they have no outside employment that conflicts with their CPRIT employment. Additionally, CPRIT Oversight Committee members disclose their political contributions and complete all conflict of interest and training requirements.

Grant Award Compliance

The compliance program works to ensure that all of the grants, from the time of application through the completion of awarded grants, comply with agency processes and procedures in place at the time of the award.

The process begins with publication of the grant in the Texas Register and ends with approval of the award of the grant by the Oversight Committee. Each step in the process is documented in a grant pedigree developed for each type of grant award. The pedigree provides documentation and assurance to the Program Integration Committee (PIC) and the Oversight Committee that each grant award has met statutory, administrative rule, and Institute procedures. The pedigree covers each step in the awards process beginning with the publication of the Request for Applications (RFAs) in the Texas Register. The pedigree then goes on to verify the procedural stages through Administrative Review of the Application, Assignment to a Peer Review Panel, Peer Review Meeting, Review Council, PIC, and finally up to and through the Oversight Committee's final decision on the application.

Post Award Grant Monitoring

Changes enacted by the 83rd Legislature require the Institute to continuously monitor and ensure that each grant recipient complies with the terms and conditions of its grant contract. The Institute is required



to track the dates grant recipient reports are due and monitor the status of any required report that is not timely submitted.

To facilitate and monitor the submission of reports, the Institute maintains an electronic grants reporting and monitoring system. From this system, reports are filed by grant recipients and the report status is continuously monitored for timeliness. As reports are received, they are reviewed by CPRIT programmatic and finance staff to ensure the filed reports comply with all applicable laws and reporting rules. Beginning in FY 2014 and into FY 2015, the Institute restructured and increased the number of grant accountants in its finance staff to four to provide a thorough and efficient review of reports filed with the Institute. With the additional staff, the Institute has processed incoming grant reports more efficiently and established more effective and productive communications with grant recipients. Enhanced communication and more rapid Institute response times have combined to result in more efficient and timely filing of required reports from grant recipients.

Following the hiring of the chief compliance officer, in FY 2014 the Institute contracted with an independent assurance firm to provide recommendations concerning possible structures for use by CPRIT in designing a comprehensive compliance program design. Much of that design, based off a comprehensive risk analysis of the awarded grants at that time, provided recommendations on staffing for adequate monitoring of those grants. The recommendations provided the Oversight Committee and executive staff insight on designing a compliance program and where to best focus resources.

The Institute began building a grant monitoring team in June 2014 with the hiring of three grant specialists, and converting a current position to serve as a grant specialist manager. The grant specialists focused much of their efforts for the remainder of FY 2014 on providing a second review of the grant accountants' review of financial status reports (FSRs). This work not only allowed for more expeditious processing of reports, but provided a verification that the initial reviews were thorough, consistent, and compliant with the Institutes' statutes, rules, and procedures. As the grant specialists assisted the Institute in the review of FSRs, they also began to assist in grantee training and implementing a preventative desk review process for current grant programs.

Conflict of Interest Information for Fiscal Year 2014

The following conflict of interest information is applicable for grants awarded in fiscal year 2014:

- A list of conflicts of interest that require recusal: See Appendix
- Any unreported conflicts of interest confirmed by an investigation conducted by CPRIT: None
- Any waivers to CPRIT's conflict of interest rules: See Appendix



FINANCIALS

| FINANCIAL SUMMARY (UNAUDITED) - FOR THE YEAR ENDED AUGUST 31, 2014 | |
|--|----------------------|
| Revenues | |
| Legislative Appropriations | \$297,046,446 |
| License, Fees, and Permits | 15,001 |
| Interest Income | 8 |
| Other | 372,877 |
| Total Revenues | \$297,301,924 |
| Expenses | |
| Salaries and Wages | \$2,621,710 |
| Other Personnel Cost | 406,553 |
| Professional Fees and Services | 10,925,437 |
| Consumable Supplies | 125,616 |
| Utilities | 131,195 |
| Travel | 57,675 |
| Rent - Building | 574,565 |
| Rent - Machine and Other | 17,105 |
| Other Operating Expenses | 342,599 |
| Grants | 126,031,116 |
| Capital Expenditures | - |
| Total Expenses | \$141,233,571 |
| Excess of Revenues Over Expenses | \$156,068,353 |



Financial Position

Executive management of CPRIT is responsible for establishing and maintaining adequate internal control over financial reporting and compliance with applicable laws, regulations, contracts, and grant agreements, as well as other matters.

McConnell & Jones LLP, a public accounting firm, audited CPRIT's financial statements for the year ended August 31, 2014, ascertaining that the statements "present fairly, in all material respects, the respective financial position of the governmental activities and governmental funds information of CPRIT as of August 31, 2014, and the respective changes in financial position for the year then ended in accordance with U.S. GAAP."

As part of the audit of the financial statements, McConnell & Jones LLP performed tests of CPRIT's compliance with certain provisions of laws, regulations, contracts, and grant agreements to ensure that the statements are free from material misstatements. McConnell & Jones LLP identified areas of noncompliance or other matters required to be reported under Government Auditing Standards but expressed no opinion on these matters since they were not within the objective of the audit.



PLANNING

Program Priorities Planning For FY 2015

CPRIT is governed by Health and Safety Code, Chapter 102. Legislation from the 83rd Texas Legislature modified that code to include enhancements to CPRIT's governance and operations. One of the specific enhancements requires CPRIT's Oversight Committee to establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee orients the agency's funding portfolio among and within its three programs as well as guide CPRIT staff and Review Councils on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The Oversight Committee priorities are to be reviewed and adjusted annually as circumstances change and new information is found concerning cancer-related advances in prevention, scientific research, and product development.

In May 2014, the Oversight Committee retained a professional facilitator to guide the process of setting program priorities. At the May 2014 meeting the Oversight Committee set the objectives and process for establishing the first annual program priorities. Between June and August, the Oversight Committee program subcommittees discussed guidelines and priorities. Each subcommittee developed draft program priorities for its respective program and provided input on priorities across the three programs. Draft priorities were presented to the full Oversight Committee at a working session on September 3. The draft report was posted for public input from October 3 through October 28. The program priorities were adopted at the November 19 Oversight Committee meeting.

The final report can be found at www.cprit.state.tx.us/images/uploads/program-priorities-project-report-2014-11-19.pdf. For FY 2015, these program priorities will guide the development of RFAs and the evaluation of proposals submitted in response to the RFAs.

Texas Cancer Plan

The Texas Cancer Plan (V.T.C.A., Health and Safety Code, Section 102.002) aims to reduce the cancer burden across the state and improve the lives of Texans. As the unmistakable call to action for cancer research, prevention and control, the Plan identifies the challenges and issues that affect Texas and presents goals, objectives and strategies to help inform and guide communities in the fight against cancer. The intent is to provide a coordinated, prioritized and actionable framework to guide efforts to mitigate the human and economic burden of cancer in Texas. The Texas Cancer Plan is developed with input provided from organizations and institutions, community leaders, planners, coalition members, cancer survivors, and family and friends affected by cancer.

The Plan was significantly revised and re-released in April 2012. It outlines 16 specific goals with measurable objectives, baselines and targets for change and also identifies five high-impact priority areas for 2012-2016, each poised to yield significant returns over the next four years. The areas were selected based on cancer trends, health disparities and available evidence-based strategies. They are:



- Decreasing tobacco initiation and use, and exposure to secondhand smoke;
- Increasing screening and early detection for breast, cervical, and colon and rectal cancers;
- Reducing pain and suffering from cancer through coordinated supportive care;
- Reducing cancer health disparities; and
- Increasing opportunities to access and participate in clinical trials.

By statute, CPRIT is charged with facilitating the development of the Plan and supporting its implementation. However, the overall outcome and success of the Plan depends on the cooperation, collaboration and resources of many stakeholders throughout Texas. The Institute's strategic direction and funding opportunities align with the Plan but will, by necessity, be a subset of the overall implementation of the Plan.

The Institute is also required to describe the activities undertaken by the Institute to monitor the Texas Cancer Plan in this Annual Public Report. Over the past year, CPRIT has worked with Department of State Health Services (DSHS) and the Cancer Alliance of Texas (CAT) to monitor the plan. When the Plan was developed, DSHS provided the baseline metrics using 2011 data that was available at the time. DSHS has provided an update with 2012 and 2013 data where available. This information will be shared with CAT and other stakeholders.

CPRIT Strategic and Financial Plan

Throughout CPRIT's existence, the Institute and its Oversight Committee have sought to fund the most meritorious projects from Texas scientists, clinicians, institutions and organizations through a variety of grant mechanisms, within the funding criteria identified by statute, by the Institute, and within each Request for Application. Going forward, this process will continue but will be supplemented by the Oversight Committee's approval of program priorities. These priorities inform each of CPRIT's grant-making steps to influence the Institute's investments towards the Oversight Committee's priorities.

Scientific Research

The Institute fosters cancer research in Texas by providing financial support for a wide variety of cancer-related research projects. Impact is the single most important criterion for the award of CPRIT funding – Will the proposal, if successful, change the way that other scientists think about and conduct their own research? Will it change the way that physicians evaluate and treat their patients?

The potential for scientific discoveries that will make a meaningful difference to cancer patients can occur at any stage in the research process. CPRIT encourages innovation by offering several types of grants that address research at various development stages, spanning the spectrum from basic science to translational research and clinical applications. Similarly, research grants awarded by the Institute vary in amount and duration – from the relatively modest short-term projects targeting early-stage ideas to the complex, multi-year research programs at several laboratories and research facilities throughout the state that may take a life-saving drug through its final stages of development.



To stimulate a diverse portfolio of cancer research projects, CPRIT issues Requests for Applications tailored to support particular projects, including projects led by a single investigator, multi-disciplinary collaborative scientific and clinical teams, or research projects undertaken at public and private companies in Texas. CPRIT has initiated several awards to enhance and expand the research infrastructure of the state. One such award is a CPRIT Scholar in Cancer Research program to recruit exceptional researchers to Texas universities and/or cancer research institutions to enhance innovative programs of excellence by providing scientific and programmatic support for promising first-time, tenure-track faculty; scientists with a critical expertise to enhance a collaborative research team; as well as rising stars and established outstanding scientific investigators. This program together with cancer research training awards for undergraduate and graduate students at Texas academic institutions should enhance Texas' research capability for years to come as well as increase participation by individuals from underrepresented groups in national and state research activities.

Prevention

CPRIT's prevention grant awards make it possible for prevention strategies and services to reach more Texans to decrease the burden of cancer. The Institute funds both the delivery of prevention and early detection programs and services, and research into better means of prevention and early detection.

The ability to reduce cancer death rates depends, in part, on more broadly applying strategies currently available. Effective evidence-based strategies exist but are currently not being deployed in all communities in Texas. Through prevention programs, CPRIT invests in building understanding of and the capacity to deliver effective community-based interventions so that new technologies and services are made available to all.

Despite successes in reducing cancer incidence and mortality, Texas cannot become complacent and should continue cancer prevention and early detection programs. Unique projects and new partnerships that apply evidence-based programs and services in novel ways could increase rates of recruitment, provision of services, early detection, and ultimately survival rates.

Specifically, CPRIT seeks to fund projects that will:

- Offer effective and efficient prevention programs and services based on the existing body of knowledge about and evidence for cancer prevention in ways that exceed current performance in a given service area;
- Provide tailored, culturally appropriate, and accurate information on early detection and prevention to the public that results in sustained behavior change and a direct measurable health impact;
- Provide effective and innovative outreach strategies to educate the public and increase recruitment into appropriate clinical screening and survivorship programs and services that demonstrate increased rates of early-stage cancer diagnosis and improved quality of life;
- Provide access to state-of-the-art preventive services to individuals;



- Target delivery of preventive services to areas and populations in the state with the greatest need; and
- Deliver evidence-based survivorship services aimed at reducing the after-effects of cancer diagnosis and treatment.

Population priorities include:

- Medically underserved or unserved populations;
- Geographically or culturally isolated populations;
- Underinsured and uninsured individuals – focusing on individuals who are significantly out of compliance with nationally recommended screening guidelines;
- Populations with low health literacy skills;
- Racial, ethnic, and cultural minority populations; and
- Any other populations with low screening rates, high incidence rates, high cancer risk factors and high mortality rates.

Product Development

Because groundbreaking research is most valuable when it can be translated into products that are available to Texans, a crucial component of CPRIT's mission is to create and promote the movement of new cancer drugs, diagnostics, and therapies from the laboratory to the patient. CPRIT's ability to promote product development pathways distinguishes it from more traditional cancer research funding sources.

By engaging the private sector and encouraging entrepreneurial approaches, Texas should see a return on its investment in research and enhance the chance for breakthrough cancer-related technologies. This benefits Texans in a variety of ways, including the introduction of new products; the creation of new, highly skilled jobs; increased economic activity; enhanced state revenues; reduced health care costs; and improved productivity.

The guiding principles of the product development program are threefold:

- A significant improvement in cancer patient care as a result of CPRIT's efforts;
- A positive impact on economic development in Texas; and
- Returns from the investments made in product development.

New products and increased economic activity are realized when knowledge gained by CPRIT researchers is brought into the public domain through intellectual property agreements that encourage additional investment from the private sector to develop and commercialize new products. Texas law requires all grant award contracts issued by the Institute to include an intellectual property agreement that allows the state to collect royalties, income and other benefits realized as a result of Institute-funded projects. The Institute's intellectual property policies are designed to promote the efficient and diligent development of diagnostics and therapies into new products that benefit Texans.



CPRIT's product development awards are designed to find and fund innovative companies already in the state or willing to relocate to Texas to develop new therapies and to build and sustain the state's life sciences infrastructure. Eligible stages of development for these awards include translational research, proof-of-concept studies, preclinical studies, and Phase I or Phase II clinical trials. Phase III clinical trials and other later-stage projects are considered when circumstances warrant CPRIT investment.

Strategic Direction and Priorities

The Institute has followed the lead of organizations such as the National Cancer Institute (NCI), the American Cancer Society, the LIVESTRONG Foundation, and Susan G. Komen for the Cure to establish a scientific peer review process through which all research (both scientific and product development) and prevention grant proposals are thoroughly vetted and scored. Scientific peer review provides an objective evaluation of the proposed hypothesis, methodology to prove the hypothesis, and prospective findings. Because CPRIT makes awards only to organizations in Texas, it recruits scientific experts who live and work outside of Texas to participate on the peer review panels to reduce any potential conflict of interest between the reviewers and the proposals under review.

The National Cancer Institute has officially designated CPRIT as a NCI-approved funding entity. This certification involves a comprehensive assessment of CPRIT's peer review process to ensure that it conforms to National Institutes of Health standards, including conflict of interest protections.

The Institute's designation as a NCI-approved funding entity is important because it means that the four comprehensive cancer centers in Texas are able to include CPRIT research grant funding as part of their research base calculations to maintain or earn NCI Cancer Center designation. This enhances Texas' ability to leverage additional federal funding for cancer research and raises Texas' profile as a center for cancer research.

Any research proposals received from companies require an additional due diligence review to determine if a commercial path for the prospective discovery exists to make it available in health care practice to cancer patients for treatment or to the general population as a preventive measure, such as a vaccination. This review is unique to CPRIT among cancer grant-making organizations and ensures that CPRIT only invests in research on discoveries with the highest probability of reaching and benefiting Texans as soon as possible.

The Institute outsources the management of its online application system and proposal review process along with the coordination of its peer review meetings to SRA International, Inc. SRA International's depth of scientific and information technology expertise has efficiently and effectively supported CPRIT's processes from the beginning of the grant cycle with Requests for Applications to the end with peer reviewers' recommendations.

Funding decisions for research awards are based on 10 core principles laid out in state law (V.T.C.A., Health and Safety Code, Chapter 102). These principles address funding proposals that:



- Could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- Strengthen and enhance fundamental science in cancer research;
- Ensure a comprehensive coordinated approach to cancer research;
- Are interdisciplinary or interinstitutional;
- Address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention or cures for cancer;
- Are matched with funds available by a private or non-profit entity and institution or institutions of higher education;
- Are collaborative between any combination of private and non-profit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- Have a demonstrable economic development benefit to Texas;
- Enhance research superiority at institutions of higher education in Texas by creating new research superiority, attracting existing research superiority from institutions not located in Texas, or enhancing existing research superiority by attracting from outside Texas additional researchers and resources; and
- Expedite innovation and product development, attract, create or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or technology research capabilities.

In fiscal year 2014, the Institute's budget included \$299,091,297 to support these initiatives, allocated as follows:

- Evidence-based Prevention Awards: \$29,006,567
- Academic and Product Development Research Awards: \$252,493,616
- Administrative Operations: \$4,342,765
- Grant Review and Award Operations: \$13,248,349



CURING CANCER: WHERE ARE WE TODAY?

A Q&A with CPRIT Chief Scientific Officer Dr. Margaret Kripke

How likely is it that we will be able to cure cancer in the near future?

Actually, cancers are being cured every day. Around two-thirds of people who develop cancer remain cancer-free for five or more years, more than half are cured of their disease, and the number of cancer survivors grows daily. For people who are not cured by today's treatments, we continue to investigate new approaches. It is unlikely that there will be a single breakthrough that will lead to the cure of all cancers. That is because there are many different types of cancer that require different treatments. Not only are cancers of the lung different from breast cancers, but there are many different subtypes of lung and breast cancers, each of which may require a different treatment. Although we are making steady gains in providing new, less toxic treatments for cancer, it will be a long time before we have an effective therapy for every cancer type.

Why is cancer so difficult to cure?

In addition to the fact that there are many different subtypes of cancer, each of which may require a different treatment, cancer cells have two characteristics that make them a challenge to treat. One is their ability to spread to other sites of the body (metastasis). This means that removing the original cancer by surgery or radiation will not necessarily cure the disease, which can appear elsewhere in the body months or even years after removal of the primary cancer. Thus, some type of systemic therapy is generally required to eliminate cancer cells that have already spread at the time of diagnosis. The second characteristic is the ability of cancer cells to develop resistance to chemotherapy and radiation. Most cancers have the ability to change their properties, so that they become resistant to treatment. Just like the common cold virus or the influenza virus, cancer cells can change, or mutate, to become resistant to therapy. When one treatment becomes ineffective, another one is needed, but in many cases, no other options are available.

What are the most promising avenues of cancer research today?

Research in recent years has revealed that cancer cells have changes in their DNA that distinguish them from normal cells. Some of these changes enable the cells to escape the normal processes that control cell division and cell death. Finding new drugs that target these changes is an intense area of investigation. Such drugs would act against the cancer cells, but would not harm normal cells, thus sparing patients the toxicity that accompanies current chemotherapy. An example of such targeted therapy is gleevec, which destroys cancer cells having a particular mutation in their DNA. Many more such drugs are under development. Another promising avenue is early detection. Cancers that are found early are more easily cured than advanced cancers that have already spread to distant organs. Many current efforts are directed to development of new screening tests for cancer, particularly pancreatic and ovarian cancers, which are often diagnosed late and are therefore very difficult to cure. Another important focus is using the body's immune system to combat cancer. New findings regarding how the immune system is controlled are being applied to the treatment of melanoma skin cancers with considerable success. Current research is attempting to extend these findings to other types of cancer.



What would make the biggest difference in reducing the burden of cancer?

Eliminating tobacco use would have the most dramatic effect on reducing cancer incidence and cancer deaths. In the United States alone, deaths from lung cancer would be reduced by 80 percent, and deaths from all cancers would be reduced by 30 percent within 20 years after people stopped using tobacco. Other approaches to preventing cancer, such as exercise, better eating habits, and removing toxic chemicals from the environment would also reduce the incidence of cancer over time. Preventive measures have the added benefit of sparing people from the emotional, physical, and financial toll resulting from a cancer diagnosis. After prevention, the next biggest difference would result from early detection of cancer, for the reasons stated above. For cancer treatment, understanding the mechanisms by which cancer cells become resistant to therapy and finding ways to counteract them is critical to ensuring the effectiveness of all forms of treatment. Finally, improving the access of underserved populations to today's standard of cancer care would also reduce the burden of cancer and would help to address the large disparities in outcomes of cancer treatment that result from differences in socio-economic status.

How is CPRIT addressing these challenges?

CPRIT's prevention program is bringing cancer risk reduction, screening and survivor programs to rural and underserved populations across the state. These efforts help people reduce the risk of getting cancer, identify cancer earlier and assist them in finding appropriate cancer treatment options, thus reducing the overall burden of cancer in the state. The research program is helping research institutions to recruit the most talented cancer researchers to Texas. It also supports cutting-edge research projects that range from understanding how cancer cells are formed, spread, and develop resistance, to development of new anti-cancer drugs and new tools for cancer diagnosis and imaging. The product development program is moving the advances in research out of the laboratory and into the development of devices, drugs, and biological agents for use in cancer detection and treatment.

APPENDIX: CONFLICT OF INTEREST DOCUMENTATION

CONFLICT OF INTEREST LISTING

For each peer review panel (Prevention, Scientific Research, and Product Development) during fiscal year 2014, a list of peer reviewers with a conflict of interest is provided. Conflicts of interest reported by Oversight Committee members are also listed. This document includes the CPRIT program type, grant application number, principal investigator, institution, and the name of the peer reviewer with a conflict of interest. There were no unreported conflicts of interest or investigations in fiscal year 2014.

PEER REVIEW CERTIFICATION OF NON-PARTICIPATION IN EVALUATION OF INDIVIDUAL APPLICATIONS BECAUSE OF REAL OR APPARENT CONFLICT OF INTEREST

The third party grant review administrator's representative certifies that the reviewer identified as having a conflict of interest has signed this form and left the panel room or the teleconference call during the discussion of the application. This document includes the CPRIT program and name of panel, the meeting type (on-site or teleconference), the date, application number, principal investigator, institution, reviewer name and signature and the grant review administrator's name.

Information related to steps taken by the Oversight Committee members with conflicts of interest are reflected in the publicly available meeting minutes.

FY 2014 CONFLICT OF INTEREST WAIVERS

Conflict of interest waivers are granted through a process established under Section 102.1062. For FY 2014, waivers were approved by the Oversight Committee on November 22, 2013, for Dr. Margaret Kripke and Dr. David Lakey.

Individual post review statements signed by each committee member total 248 pages. Due to the large volume, these are not included in this appendix. However, they are available for public viewing on the Compliance page of the CPRIT website at www.cprit.state.tx.us.

APPENDIX:
CONFLICT OF INTEREST DOCUMENTATION

PREVENTION



AAGCCCTGTT GTCTCTTACC
CACTTGTCTG TCGCTACTGC
ATATACTATA CTACACAATA

CGGATGTTCA ACCAA
CGTGCAACAA AACT
CATAATCACT GACT

TGTT GTCTCTTACC CGGATGTTCA ACCAAAAGCT ACTTACTACC TTTATTTTAT
TCTC TCGCTACTGC CGTGCAACAA AACTAAATC AAAACAGTGA AATACTA
TATA CTACACAATA CATAATCACT GACTTTCGTA ACAACAATTI CCTTCTCT CCA

**Conflicts of Interest for Prevention Cycle 13.1 Applications
(Prevention Cycle 13.1 Awards Announced at November 22, 2013 Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

| Application ID | Applicant | Institution | Conflict Noted | Abstained |
|--|-----------------------|--|----------------------------------|------------------|
| Applications Considered by the PIC and Oversight Committee | | | | |
| PP130068 | Shokar, Navkiran | Texas Tech University Health Sciences Center | Wilson, Katherine; Mitchell, Amy | Montgomery, Will |
| PP130083 | Shokar, Navkiran | Texas Tech University Health Sciences Center | Wilson, Katherine; Mitchell, Amy | Montgomery, Will |
| PP130090 | McClellan, David | Texas A&M University System Health Science Center | Mitchell, Amy | Montgomery, Will |
| PP130074 | Raines-Milenkov, Amy | The University of North Texas Health Science Center at Ft. Worth | Mitchell, Amy | Montgomery, Will |
| PP130084 | Jibaja-Weiss, Maria | Baylor College of Medicine | Mitchell, Amy | Montgomery, Will |
| PP130032 | Reitzel, Lorraine | The University of Texas M.D. Anderson Cancer Center | Mitchell, Amy | Montgomery, Will |
| PP130070 | Poplock, David | Baylor College of Medicine | Mitchell, Amy | Montgomery, Will |
| PP130079 | Basen-Engquist, Karen | The University of Texas M.D. Anderson Cancer Center | Mitchell, Amy | Montgomery, Will |
| Applications Not Recommended for PIC or Oversight Committee Consideration | | | | |
| PP130061 | Vidrine, Damon | The University of Texas M.D. Anderson Cancer Center | Vanderpool, Robin | |

* = Not discussed

| Application ID | Applicant | Institution | Conflict Noted | Abstained |
|-----------------------|------------------|--|---------------------------------|------------------|
| PP130055 | Ramirez, Amelie | The University of Texas Health Science Center at San Antonio | Green, Lawrence; Wyatt, Stephen | |
| PP130051 | Young, Olga | SLEW Wellness Center | McTiernan, Anne | |

* = Not discussed

Conflicts of Interest for Prevention Cycle 14.1 Applications
(Prevention Cycle 14.1 Awards Announced at August 2014 Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

| Grant ID | Applicant | Institution | Conflict Noted |
|--|-----------------------------|--|---|
| Applications Considered by the PIC and Oversight Committee | | | |
| PP140018 | Sauter, Edward | The University of Texas Health Center at Tyler | Montgomery, Will; Mitchell, Amy |
| PP140028 | Jibaja-Weiss, Maria | Baylor College of Medicine | Mitchell, Amy |
| PP140033 | Layeequr Rahman, Rakhshanda | Texas Tech University Health Sciences Center | Mitchell, Amy |
| PP140049 | Morales-Campos, Daisy | The University of Texas Health Science Center at San Antonio | Green, Lawrence; Vanderpool, Robin; Montgomery, Will; Mitchell, Amy |
| PP140164 | Shokar, Navkiran | Texas Tech University Health Sciences Center at El Paso | Mitchell, Amy |
| PP140176 | Ramirez, Amelie | The University of Texas Health Science Center at San Antonio | Green, Lawrence; Plescia, Marcus; Montgomery, Will; Mitchell, Amy |
| PP140182 | Argenbright, Keith | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| PP140183 | Vernon, Sally | The University of Texas Health Science Center at Houston | Vanderpool, Robin; Montgomery, Will; Mitchell, Amy |
| PP140209 | He, Meizi | The University of Texas at San Antonio | Green, Lawrence; Montgomery, Will; Mitchell, Amy |
| PP140210 | Chen, Lei-Shih | Texas A&M University | Montgomery, Will; Mitchell, Amy |
| PP140211 | Penaranda, Eribeth | Texas Tech University Health Sciences Center at El Paso | Mitchell, Amy |
| Applications Not Recommended for PIC or Oversight Committee Consideration | | | |

* = Not Discussed

| Grant ID | Applicant | Institution | Conflict Noted |
|------------------|-------------------------|--|---|
| PP140046* | Parra-Medina, Deborah | The University of Texas Health Science Center at San Antonio | Brandt, Heather; Green, Lawrence; Vanderpool, Robin |
| PP140184* | Young-McCoughan, Stacey | The University of Texas Health Science Center at San Antonio | Green, Lawrence |
| PP140191* | Winkler, Paula | The University of Texas Health Science Center at San Antonio | Green, Lawrence; Vanderpool, Robin |
| PP140224* | Auzenne, David | Texas Department of State Health Services | Bright, Frank |

* = Not Discussed

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Prevention Programs

Panel: Panel A 14.1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|--------|--------------------|-----------------------|--|-------------------|--------------------|------------------------|
| 5/6/14 | PP140046 | Parra-Medina, Deborah | The University of Texas Health Science Center at San Antonio | Brandt, Heather | Not Discussed | PJK |
| 5/6/14 | PP140046 | Parra-Medina, Deborah | The University of Texas Health Science Center at San Antonio | Green, Lawrence | Not Discussed | PJK |
| 5/6/14 | PP140046 | Parra-Medina, Deborah | The University of Texas Health Science Center at San Antonio | Vanderpool, Robin | Not Discussed | PJK |
| 5/6/14 | PP140049 | Morales-Campos, Daisy | The University of Texas Health Science Center at San Antonio | Green, Lawrence | Lauren M. Green | Patrick Koroma - Tommy |
| 5/6/14 | PP140049 | Morales-Campos, Daisy | The University of Texas Health Science Center at San Antonio | Vanderpool, Robin | Robin Vanderpool | Patrick Koroma - Tommy |

SRA Approval:

| | |
|---------------|------------------------|
| Name (PRINT): | PATRICK KOROMA - TOMMY |
| Signature: | <i>Patrick Koroma</i> |
| Date: | 5/5/14 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Prevention Programs

Panel: Panel A 14.1

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|-------------------------|--|-------------------|--|-----------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 5/6/14 | PP140176 | Ramirez, Amelie | The University of Texas Health Science Center at San Antonio | Green, Lawrence | <i>Lawrence W. Green</i> | <i>Patrick Korona</i> |
| 5/6/14 | PP140176 | Ramirez, Amelie | The University of Texas Health Science Center at San Antonio | Plescia, Marcus | <i>Tele conference Reviewer (logged off)</i> | <i>Patrick Korona</i> |
| 5/6/14 | PP140183 | Vernon, Sally | The University of Texas Health Science Center at Houston | Vanderpool, Robin | <i>Robin Vanderpool</i> | <i>Patrick Korona</i> |
| 5/6/14 | PP140184 | Young-McCaughan, Stacey | The University of Texas Health Science Center at San Antonio | Green, Lawrence | <i>Not Discussed</i> | <i>PJK</i> |
| 5/6/14 | PP140191 | Winkler, Paula | The University of Texas Health Science Center at San Antonio | Green, Lawrence | <i>Not Discussed</i> | <i>PJK</i> |

SRA Approval:

| | |
|---------------|-------------------------------|
| Name (PRINT): | <i>Patrick Korona - Tommy</i> |
| Signature: | <i>Patrick Korona</i> |
| Date: | <i>5/6/14</i> |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Prevention Programs

Panel: Panel A 14.1

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|--|-------------------|--------------------|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 5/6/14 | PP140191 | Winkler, Paula | The University of Texas Health Science Center at San Antonio | Vanderpool, Robin | Not Discussed | PMR |

SRA Approval:

| | |
|---------------|-----------------------|
| Name (PRINT): | Patricia Kosoma-Tommy |
| Signature: | <i>Patricia</i> |
| Date: | 5/6/14 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Prevention Programs

Panel: Panel B 14.1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|--------|--------------------|----------------------|---|-----------------|--------------------|--------------------|
| 5/7/14 | PP140209 | He, Meizi | The University of Texas at San Antonio | Green, Lawrence | Not Present | PJK |
| 5/7/14 | PP140224 | Auzenne, David | Texas Department of State Health Services | Bright, Frank | Not Discussed | PJK |

SRA Approval:

| | |
|---------------|----------------------|
| Name (PRINT): | Patrick Horras-Tommy |
| Signature: | <i>Patrick</i> |
| Date: | 5/7/14 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2013 Cancer Prevention and Research Institute of Texas Prevention Programs

Panel: Prevention Lee-A

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|----------|--------------------|----------------------|--|-------------------|---|--------------------|
| | PP130051 | Young, Olga | SLEW Wellness Center | McTiernan, Anne | Application not discussed | Chelsea Reese CR |
| | PP130055 | Ramirez, Amelie | The University of Texas Health Science Center at San Antonio | Green, Lawrence | Did not attend/ Application not discussed | Chelsea Reese CR |
| | PP130055 | Ramirez, Amelie | The University of Texas Health Science Center at San Antonio | Wyatt, Stephen | Application not discussed | Chelsea Reese CR |
| 11-13-12 | PP130068 | Shokar, Navkiran | Texas Tech University Health Sciences Center | Wilson, Katherine | Katherine Wilson | Chelsea Reese CR |
| 11-13-12 | PP130083 | Shokar, Navkiran | Texas Tech University Health Sciences Center | Wilson, Katherine | Katherine Wilson | Chelsea Reese CR |

SRA Approval:

| | |
|---------------|----------------------|
| Name (PRINT): | Chelsea Reese |
| Signature: | <i>Chelsea Reese</i> |
| Date: | 11-13-12 |

Comments:

Katherine Wilson's col's were the first two applications of the day. She came to breakfast, signed out + went back to her room until applications were complete.

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2013 Cancer Prevention and Research Institute of Texas Prevention Programs

Panel: Prevention Green-A

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|-------|--------------------|----------------------|--|-------------------|-------------------------|-------------------------|
| 11/15 | PP130061 | Vidrine, Damon | The University of Texas M. D. Anderson Cancer Center | Vanderpool, Robin | <i>Robin Vanderpool</i> | <i>Chelsea Reese CR</i> |

SRA Approval:

| | |
|---------------|----------------------|
| Name (PRINT): | <i>Chelsea Reese</i> |
| Signature: | <i>Chelsea Reese</i> |
| Date: | <i>11.15.12</i> |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2013 Cancer Prevention and Research Institute of Texas Research Programs

Prevention Review Council Programmatic Review

Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|------|--------------------|----------------------|------------------------------|---------------|--------------------|--------------------|
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SRA Approval:

| | |
|---------------|-------------------------|
| Name (PRINT): | June Traicoff |
| Signature: | <i>June T. Traicoff</i> |
| Date: | 12-17-12 |

Comments:

| |
|--|
| There were <u>no</u> COI on the 13 applications reviewed |
|--|

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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APPENDIX:
CONFLICT OF INTEREST DOCUMENTATION

SCIENTIFIC RESEARCH



Conflicts of Interest for Scientific Research Cycle 14.1 Applications
(Scientific Research Cycle 14.1 Awards Announced at February 2014 Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

| Grant ID | Applicant | Institution | Conflict Noted |
|---|---------------------|--|---|
| Applications considered by the PIC and Oversight Committee | | | |
| RP140020 | Goodwin, James | The University of Texas Medical Branch at Galveston | Mitchell, Amy |
| RP140021 | Sherry, Dean | The University of Texas Southwestern Medical Center | Mitchell, Amy |
| RP140022 | Poplock, David | Baylor College of Medicine | Prives, Carol; Mitchell, Amy |
| RP140024 | McDevitt, John | Rice University | O'Reilly, Richard; Mitchell, Amy; Geistweidt, Gerry |
| RP140102 | Rosen, Jeffrey | Baylor College of Medicine | Prives, Carol; Mitchell, Amy |
| RP140103 | Ness, Roberta | The University of Texas Health Science Center at Houston | Mitchell, Amy |
| RP140105 | Oyajobi, Babatunde | The University of Texas Health Science Center at San Antonio | Mitchell, Amy |
| RP140106 | Watowich, Stephanie | The University of Texas M.D. Anderson Cancer Center | Mitchell, Amy |
| RP140108 | Sessler, Jonathan | The University of Texas at Austin | Mitchell, Amy |
| RP140110 | White, Michael | The University of Texas Southwestern Medical Center | Mitchell, Amy |
| RP140113 | Bose, Rathindra | University of Houston | Mitchell, Amy |

**Conflicts of Interest for Scientific Research Cycle 14.1 Recruitment Applications
(Scientific Research Cycle 14.1 Recruitment Awards Announced at May 2014 Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

| Grant ID | Applicant | Institution | Conflict Noted |
|---|-------------------|---|------------------------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| RR140008 | Berk, Steven | Texas Tech University Health Sciences Center | Mitchell, Amy |
| RR140012 | Dmitrovsky, Ethan | The University of Texas M.D. Anderson Cancer Center | Mitchell, Amy |
| RR140013 | Roysam, Badrinath | University of Houston | Mitchell, Amy; Montgomery, Will |
| RR140023 | Fitz, John | The University of Texas Southwestern Medical Center | Mitchell, Amy; Montgomery, Will |
| RR140025 | Fitz, John | The University of Texas Southwestern Medical Center | Mitchell, Amy; Montgomery, Will |
| RR140027 | Dmitrovsky, Ethan | The University of Texas M.D. Anderson Cancer Center | Mitchell, Amy |
| RR140033 | Kuspa, Adam | Baylor College of Medicine | Mitchell, Amy |
| RR140035 | Thomas, Edwin | Rice University | Mitchell, Amy; Montgomery, Will |
| RR140036 | Fitz, John | The University of Texas Southwestern Medical Center | Mitchell, Amy; Montgomery, Will |
| RR140038 | Kuspa, Adam | Baylor College of Medicine | Mitchell, Amy |
| RR140042 | Fitz, John | The University of Texas Southwestern Medical Center | Mitchell, Amy; Montgomery, Will |
| RR140049 | Fitz, John | The University of Texas Southwestern Medical Center | Mitchell, Amy; Montgomery, Will |

| Grant ID | Applicant | Institution | Conflict Noted |
|--|-------------------|---|------------------------------------|
| RR140052 | Dmitrovsky, Ethan | The University of Texas M.D. Anderson Cancer Center | Mitchell, Amy |
| RR140053 | Giroir, Brett | Texas A&M University Health Science Center Institute of Biosciences and Technology | Mitchell, Amy; Montgomery, Will |
| Applications Not Recommended for PIC or Oversight Committee Consideration | | | |
| RR140031 | Fitz, John | The University of Texas Southwestern Medical Center | Gambhir, Sanjiv Sam |

Conflicts of Interest for Scientific Research Cycle 14.1 (Individual Investigator Research Awards, High-Impact/High-Risk Research Awards) and Recruitment Cycle 14.2 Applications (Scientific Research Cycle 14.1 and Recruitment Cycle 14.2 Awards Announced at August 2014 Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

| Grant ID | Applicant | Institution | Conflict Noted |
|---|-----------------------------|--|--|
| Applications considered by the PIC and Oversight Committee | | | |
| RR140061 | Fitz, John | The University of Texas Southwestern Medical Center | Gambhir, Sanjiv Sam; Montgomery, Will; Mitchell, Amy |
| RR140071 | Dmitrovsky, Ethan | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RR140072 | Gonzalez-Scarano, Francisco | The University of Texas Health Science Center at San Antonio | Montgomery, Will; Mitchell, Amy |
| RR140073 | Carson, Daniel | Rice University | Montgomery, Will; Mitchell, Amy |
| RR140077 | Dmitrovsky, Ethan | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RR140081 | McLendon, George | Rice University | Montgomery, Will; Mitchell, Amy |
| RR140082 | Fitz, John | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RR140084 | Fitz, John | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140001 | Goodell, Margaret | Baylor College of Medicine | Mitchell, Amy |
| RP140132 | Zhang, David | Rice University | Montgomery, Will; Mitchell, Amy |
| RP140140 | Gao, Jinming | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140141 | Ward, Elizabeth | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |

* = Not Discussed

| Grant ID | Applicant | Institution | Conflict Noted |
|---------------------|---------------------|---|---|
| RP140143 | Cobb, Melanie | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140152 | MacMillan, John | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140179 | Lacorazza, Daniel | Baylor College of Medicine | Mitchell, Amy |
| RP140181pe/RP140181 | Marchetti, Dario | Baylor College of Medicine | Costello, Joseph; Mitchell, Amy |
| RP140216 | Scott, Kenneth | Baylor College of Medicine | Mitchell, Amy |
| RP140218pe/RP140218 | Konopleva, Marina | The University of Texas M.D. Anderson Cancer Center | Mullighan, Charles; DiPersio, John; Montgomery, Will; Mitchell, Amy |
| RP140222 | Johnson, David | The University of Texas M.D. Anderson Cancer Center | Wahl, Geoffrey; Montgomery, Will; Mitchell, Amy |
| RP140223 | Anderson, Matthew | Baylor College of Medicine | Mitchell, Amy |
| RP140224 | Shureiqi, Imad | The University of Texas M.D. Anderson Cancer Center | Wahl, Geoffrey; Montgomery, Will; Mitchell, Amy |
| RP140233pe/RP140233 | Westover, Kenneth | The University of Texas Southwestern Medical Center | Balk, Steven; Ritz, Jerome; Montgomery, Will; Mitchell, Amy |
| RP140244 | Sun, Shao-Cong | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140252 | Chan, Keith | Baylor College of Medicine | Mitchell, Amy |
| RP140258 | Lupo, Philip | Baylor College of Medicine | Mitchell, Amy |
| RP140262pe/RP140262 | Cinciripini, Paul | The University of Texas M.D. Anderson Cancer Center | Brandon, Thomas; Montgomery, Will; Mitchell, Amy |
| RP140271 | Flores, Elsa | The University of Texas M.D. Anderson Cancer Center | Pure, Ellen; Montgomery, Will; Mitchell, Amy |
| RP140285 | Mason, Ralph | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140298 | Vanapalli, Siva | Texas Tech University | Mitchell, Amy |
| RP140315 | Zu, Youli | The Methodist Hospital Research Institute | Montgomery, Will; Mitchell, Amy |
| RP140320 | Zhong, Qing | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140323 | Shi, Xiaobing | The University of Texas M.D. Anderson Cancer Center | Wahl, Geoffrey; Montgomery, Will; Mitchell, Amy |
| RP140328 | Matouschek, Andreas | The University of Texas at Austin | Montgomery, Will; Mitchell, Amy |

* = Not Discussed

| Grant ID | Applicant | Institution | Conflict Noted |
|-----------------|------------------------|--|--|
| RP140329 | Curran, Michael | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140350 | Amirian, E Susan | Baylor College of Medicine | Kushi, Lawrence; Martinez, Maria; Petersen, Gloria; Mitchell, Amy |
| RP140367 | Chiang, Cheng- Ming | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140399 | Pinney, Kevin | Baylor University | Mitchell, Amy |
| RP140402 | Zhang, Chengcheng | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140408 | Lin, Hui-Kuan | The University of Texas M.D. Anderson Cancer Center | Wahl, Geoffrey; Montgomery, Will; Mitchell, Amy |
| RP140411 | McCarty, Joseph | The University of Texas M.D. Anderson Cancer Center | Wahl, Geoffrey; Montgomery, Will; Mitchell, Amy |
| RP140412 | Scherer, Philipp | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140429 | Bast, Robert | The University of Texas M.D. Anderson Cancer Center | Wahl, Geoffrey; Montgomery, Will; Mitchell, Amy |
| RP140430 | Grosshans, David | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140435 | Boyer, Thomas | The University of Texas Health Science Center at San Antonio | Montgomery, Will; Mitchell, Amy |
| RP140449 | Orth, Kim | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140452 | Aguiar, Ricardo | The University of Texas Health Science Center at San Antonio | Montgomery, Will; Mitchell, Amy |
| RP140456 | Ira, Grzegorz | Baylor College of Medicine | Mitchell, Amy |
| RP140462 | Liang, Han | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140464 | William, William | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140468 | Cooper, Laurence | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140469 | Song, Yongcheng | Baylor College of Medicine | Mitchell, Amy |

* = Not Discussed

| Grant ID | Applicant | Institution | Conflict Noted |
|---------------------|--------------------------|--|--|
| RP140473 | Dahia, Patricia | The University of Texas Health Science Center at San Antonio | Montgomery, Will; Mitchell, Amy |
| RP140478 | Morales, Jorge | Texas Tech University | Mitchell, Duane; Mitchell, Amy |
| RP140479 | Rosenthal, Gil | Texas A&M University | Montgomery, Will; Mitchell, Amy |
| RP140482 | Dondossola, Elenora | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140500 | Garcia-Manero, Guillermo | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140515 | Maru, Dipen | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140515 | Vidyasagar, Mathukumalli | The University of Texas at Dallas | Montgomery, Will; Mitchell, Amy |
| RP140522 | Overwijk, Willem | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140542 | McConkey, David | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140544 | Zheng, Jie | The University of Texas at Dallas | Montgomery, Will; Mitchell, Amy |
| RP140553 | Rosenberg, Susan | Baylor College of Medicine | Mitchell, Amy |
| RP140556 | Gu, Jian | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140563 | Park, Jae-II | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140594 | Rao, Manjeet | The University of Texas Health Science Center at San Antonio | Montgomery, Will; Mitchell, Amy |
| RP140597pe/RP140597 | Orlowski, Robert | The University of Texas M.D. Anderson Cancer Center | Lawlor, Elizabeth; Wahl, Geoffrey; Montgomery, Will; Mitchell, Amy |
| RP140606pe/RP140606 | Verhaak, Roeland | The University of Texas M.D. Anderson Cancer Center | Basilion, James; Montgomery, Will; Mitchell, Amy |
| RP140609 | Klopp, Ann | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |
| RP140612 | DePinho, Ronald | The University of Texas M.D. Anderson Cancer Center | Montgomery, Will; Mitchell, Amy |

* = Not Discussed

| Grant ID | Applicant | Institution | Conflict Noted |
|--|------------------------|--|--|
| RP140616pe/RP140616 | Rowley, David | Baylor College of Medicine | DeClerck, Yves; Mitchell, Amy |
| RP140648 | Dalby, Kevin | The University of Texas at Austin | Montgomery, Will; Mitchell, Amy |
| RP140649 | Dalby, Kevin | The University of Texas at Austin | Montgomery, Will; Mitchell, Amy |
| RP140655 | Tu, Benjamin | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140661 | Zhang, Xuewu | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140664 | Georgiou, George | The University of Texas at Austin | Montgomery, Will; Mitchell, Amy |
| RP140672 | Scaglioni, Pier Paolo | The University of Texas Southwestern Medical Center | Montgomery, Will; Mitchell, Amy |
| RP140678 | Woo, Jung | Scoot & White Healthcare | Mitchell, Amy |
| RP140685pe/RP140685 | Mahalingam, Devalingam | The University of Texas Health Science Center at San Antonio | Abu-Khalaf, Maysa; Montgomery, Will; Mitchell, Amy |
| RP140767pe/RP140767 | Jiao, Li | Baylor College of Medicine | Mucci, Lorelai; Martinez, Maria; Mitchell, Amy |
| RP140781 | McIntyre, Peter | Texas A&M University | Montgomery, Will; Mitchell, Amy |
| RP140784pe/RP140784 | Goel, Ajay | Baylor Research Institute | Petersen, Gloria; Mitchell, Amy |
| RP140800 | Wagner, Eric | The University of Texas Health Science Center at Houston | Montgomery, Will; Mitchell, Amy |
| RP140840 | Vanapalli, Siva | Texas Tech University | Mitchell, Amy |
| RP140842 | Sullivan, Christopher | The University of Texas at Austin | Montgomery, Will; Mitchell, Amy |
| Applications Not Recommended for PIC or Oversight Committee Consideration | | | |
| RR140075 | Gorenstein, David G. | The University of Texas Health Science Center at Houston | Gambhir, Sanjiv Sam |
| RP140157pe/ RP140157* | Tsai, Kenneth | The University of Texas M. D. Anderson Cancer Center | Haigis, Kevin |
| RP140169pe/ RP140169* | Bibb, James | The University of Texas Southwestern Medical Center | Hank, Jacquelyn |
| RP140371pe/ RP140371* | Yang, Jianhua | Baylor College of Medicine | Hank, Jacquelyn |
| RP140387pe | Zage, Peter | Baylor College of Medicine | Hank, Jacquelyn; Hunter, Kent |
| RP140446pe | Shiio, Yuzuru | The University of Texas | Hunter, Kent; Schiffman, Joshua |

* = Not Discussed

| Grant ID | Applicant | Institution | Conflict Noted |
|--------------------------|-------------------------|--|---|
| | | Health Science Center at San Antonio | |
| RP140446 | Shiio, Yuzuru | The University of Texas Health Science Center at San Antonio | Hunter, Kent |
| RP140538* | Li, Xiao-Nan | Baylor College of Medicine | Hank, Jacquelyn; Wechsler-Reya, Robert |
| RP140702* | Shiio, Yuzuru | The University of Texas Health Science Center at San Antonio | Hunter, Kent |
| RP140727 | Threadgill, David | Texas A&M University | Hunter, Kent |
| RP140182* | Bast, Robert | The University of Texas MD Anderson Cancer Center | Tomkinson, Alan |
| RP140437 | Boothman, David | The University of Texas Southwestern Medical Center | Manley, James |
| RP140635 | Das, Kumuda | Texas Tech University Health Sciences Center | Kast, W. Martin |
| RP140147 | Li, Lei | The University of Texas MD Anderson Cancer Center | Wahl, Geoffrey |
| RP140324* | Schmid, Sandra | The University of Texas Southwestern Medical Center | Courtneidge, Sara |
| RP140503pe | Karbowniczek, Magdalena | Texas Tech University Health Sciences Center | Haigis, Kevin; Hunter, Kent; Rauscher, III, Frank |
| RP140530pe | Lin, Xia | Baylor College of Medicine | McMahon, Martin |
| RP140532pe | Vasudevan, Sanjeev | Baylor College of Medicine | Hank, Jacquelyn |
| RP140581pe | Petros, Robby | University of North Texas | Williams, Bart |
| RP140843pe | Webb, Paul | The Methodist Hospital Research Institute | McMahon, Martin |
| RP140450pe | Davis, Anthony | The University of Texas Southwestern Medical Center | Chazin, Walter; Tomkinson, Alan |
| RP140536pe | Lee, Mong-Hong | The University of Texas M. D. Anderson Cancer Center | Wrana, Jeffrey |
| RP140340pe/ RP140340* | Kim, Chongwoo | The University of Texas Health Science Center at San Antonio | Bernstein, Bradley; Roberts, Charles |
| RP140365 | Xia, Yang | The University of Texas Health Science Center at Houston | Brelinksy, Steven |
| RP140379 | Lin, Xin | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |

* = Not Discussed

| Grant ID | Applicant | Institution | Conflict Noted |
|--------------------------|---------------------------|--|--|
| RP140409 | Jackson, James | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |
| RP140398pe | Lee, Ju-Seog | The University of Texas M. D. Anderson Cancer Center | Laird, Peter |
| RP140484pe/ RP140484* | Kurie, Jonathan | The University of Texas M. D. Anderson Cancer Center | Belinsky, Steven |
| RP104521* | Song, Yongcheng | Baylor College of Medicine | Carpten, John; Wahl, Geoffrey |
| RP140525pe/ RP140525 | Lee, Min Gyu | The University of Texas M. D. Anderson Cancer Center | Belinsky, Steven |
| RP140525 | Lee, Min Gyu | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |
| RP140638 | Zhang, Shuxing | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |
| RP140734* | Li, Yi | Baylor College of Medicine | Greene, Geoffrey |
| RP140255pe/ RP140255 | Daniel-MacDougall, Carrie | The University of Texas M. D. Anderson Cancer Center | Mayne, Susan |
| RP140280* | Beretta, Laura | The University of Texas M. D. Anderson Cancer Center | Li, Christopher; Petersen, Gloria |
| RP140322* | Yem, Laising | Baylor College of Medicine | Martinez, Maria |
| RP140310pe | Beretta, Laura | The University of Texas M. D. Anderson Cancer Center | Barlow, William; Kristal, Alan; Li, Christopher |
| RP140518pe/ RP140518* | Kaseb, Ahmed | The University of Texas M. D. Anderson Cancer Center | Petersen, Gloria |
| RP140384 | Mani, Sendurai | The University of Texas M. D. Anderson Cancer Center | Martinez, Maria; Petersen, Gloria; Parker, Alexander |
| RP140448* | Hu, Ye | The Methodist Hospital Research Institute | Fridley, Brooke; Petersen, Gloria |
| RP140603pe | Symmans, William | The University of Texas M. D. Anderson Cancer Center | Mucci, Lorelei |
| RP140630pe | Huang, Tim | The University of Texas Health Science Center at San Antonio | Kristal, Alan |
| RP140687pe | Vernon, Sally | The University of Texas Southwestern Medical Center | Barlow, William |
| RP140687 | Vernon, Sally | The University of Texas Southwestern Medical Center | Kushi, Lawrence |
| RP140765pe/ RP140765* | Singal, Amit | The University of Texas Southwestern Medical Center | Kushi, Lawrence |
| RP140765* | Singal, Amit | The University of Texas Southwestern Medical Center | Barlow, William |

* = Not Discussed

| Grant ID | Applicant | Institution | Conflict Noted |
|---------------------------------|---------------------------|---|-----------------------|
| RP140161pe/ RP140161 | Hannan, Raquibul | The University of Texas Southwestern Medical Center | Koong, Albert |
| RP140576 | Chang, Jenny | The Methodist Hospital Research Institute | LaRusso, Patricia |
| RP140589pe | Hong, David | The University of Texas M. D. Anderson Cancer Center | Hochster, Howard |
| RP140276pe | Shao, Yiping | The University of Texas M. D. Anderson Cancer Center | Berbeco, Ross |
| RP140286pe/ RP140286 | Schellingerhout, Dawid | The University of Texas M. D. Anderson Cancer Center | Berbeco, Ross |
| RP140547pe | Wong, Stephen | The Methodist Hospital Research Institute | Cai, Weibo |
| RP140201 | Ge, Woo-Ping | The University of Texas Southwestern Medical Center | Liu, Jonathan |
| RP140811* | Feng, Yusheng | The University of Texas at San Antonio | Pomper, Martin |
| RP140674pe/ RP140674 | Jo, Javier | Texas Engineering Experiment Station | Sutcliffe, Julie |

* = Not Discussed

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Basic Cancer Research-1

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|-------------------|--|---|---------------------------------------|--------------------|
| Date | Application Number | Applicant/PI Name | Applicant/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 5/31/14 | RP140157 | Tsai, Kenneth | The University of Texas M. D. Anderson Cancer Center | Haigis, Kevin | Not Discussed | Brahm Gicheru/BG |
| 5/31/14 | RP140169 | Bibb, James | The University of Texas Southwestern Medical Center | Hank, Jacquelyn | Not Discussed | Brahm Gicheru/BG |
| 5/31/14 | RP140371 | Yang, Jianhua | Baylor College of Medicine | Hank, Jacquelyn | Not Discussed | Brahm Gicheru/BG |
| 5/31/2014 | RP140446 | Shio, Yuzuru | The University of Texas Health Science Center at San Antonio | Hunter, Kent | <i>[Signature]</i> | Brahm Gicheru/BG |
| 5/31/2014 5/31/14 | RP140446 | Shio, Yuzuru | The University of Texas Health Science Center at San Antonio | Schiffman, Joshua Not a COI * ANYMORE | Discussed Not Discussed | Brahm Gicheru/BG |

Comments:
 Confirmed with Chair and SRA Joseph Gicheru

SRA Approval:

| | |
|---------------|--------------------|
| Name (PRINT): | Brahm Gicheru |
| Signature: | <i>[Signature]</i> |
| Date: | 5/31/2014 |

| | |
|--------------------|--------------------|
| Reviewer Signature | <i>[Signature]</i> |
|--------------------|--------------------|

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Basic Cancer Research-1

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|--|-----------------------|---|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 5/31/14 | RP140538 | Li, Xiao-Nan | Baylor College of Medicine | Hank, Jacquelyn | Not Discussed | Brahm Gichera/BG |
| 5/31/14 | RP140538 | Li, Xiao-Nan | Baylor College of Medicine | Wechsler-Reya, Robert | Not Discussed | Brahm Gichera/BG |
| 5/31/14 | RP140702 | Shiro, Yuzuru | The University of Texas Health Science Center at San Antonio | Hunter, Kent | Not Discussed | Brahm Gichera/BG |
| 5/31/2014 | RP140727 | Threadgill, David | Texas A&M University | Hunter, Kent |  | Brahm Gichera/BG |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Brahm Gichera |
| Signature: |  |
| Date: | 5/31/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Basic Cancer Research-2

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|--------|--------------------|----------------------|--|-----------------|--------------------|------------------------|
| 6/5/14 | RP140182 | Bast, Robert | The University of Texas M. D. Anderson Cancer Center | Tomkinson, Alan | not discussed | Morgan Majchrzak MM |
| 6/4/14 | RP140271 | Flores, Elsa | The University of Texas M. D. Anderson Cancer Center | Puré, Ellen | <i>Ellen Puré</i> | Morgan Majchrzak MM |
| 6/5/14 | RP140437 | Boothman, David | The University of Texas Southwestern Medical Center | Manley, James | <i>J. Manley</i> | Morgan Majchrzak MM |
| 6/5/14 | RP140635 | Das, Kumuda | Texas Tech University Health Sciences Center | Kast, W. Martin | not discussed | Morgan Majchrzak MM |

SRA Approval:

| | |
|---------------|-------------------------|
| Name (PRINT): | Morgan Majchrzak |
| Signature: | <i>Morgan Majchrzak</i> |
| Date: | 6/5/14 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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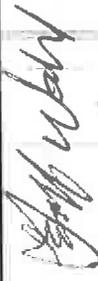
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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Cancer Biology

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|--|------------------|---|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 5/28/14 | RP140147 | Lj, Lei | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gichery/BG |
| 5/28/14 | RP140181 | MARCHETTI, DARIO | Baylor College of Medicine | Costello, Joseph |  | Brahm Gichery/BG |
| 5/28/14 | RP140222 | Johnson, David | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gichery/BG |
| 5/28/14 | RP140224 | Shureiqi, Imad | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gichery/BG |
| 5/28/14 | RP140323 | Shi, Xiaobing | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gichery/BG |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Brahm Gichery |
| Signature: |  |
| Date: | 5/29/2014 |

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Cancer Biology

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|--|--------------------|--------------------|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 5/29/14 | RP140324 | Schmid, Sandra | The University of Texas Southwestern Medical Center | Courtneidge, Sara | Not Discussed | Brahm Gichery/BG |
| 5/29/14 | RP140340 | Kim, Chongwoo | The University of Texas Health Science Center at San Antonio | Bernstein, Bradley | Not Discussed | Brahm Gichery/BG |
| 5/29/14 | RP140340 | Kim, Chongwoo | The University of Texas Health Science Center at San Antonio | Roberts, Charles | Not Discussed | Brahm Gichery/BG |
| 5/29/14 | RP140365 | Xia, Yang | The University of Texas Health Science Center at Houston | Belinsky, Steven | Steve Belinsky | Brahm Gichery/BG |
| 5/28/14 | RP140379 | Lin, Xin | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey | Geoffrey Wahl | Brahm Gichery/BG |

SRA Approval:

| | |
|---------------|---------------|
| Name (PRINT): | Brahm Gichery |
| Signature: | Brahm Gichery |
| Date: | 5/29/2014 |

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Cancer Biology

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|--|-----------------------------------|--|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 5/28/14 | RP140408 | Lin, Hui-Kuan | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gicheru/BG |
| 5/28/14 | RP140409 | Jackson, James | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gicheru/BG |
| 5/28/14 | RP140411 | McCarty, Joseph | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gicheru/BG |
| 5/28/14 | RP140429 | Bast, Robert | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gicheru/BG |
| 5/29/14 | RP140484 | Kurie, Jonathan | The University of Texas M. D. Anderson Cancer Center | Belinsky, Steven Not Discussed |  | Brahm Gicheru/BG |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Brahm Gicheru |
| Signature |  |
| Date: | 5/29/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

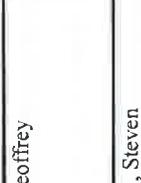
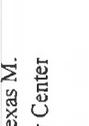
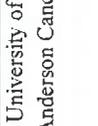
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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Cancer Biology
Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|-----------|--------------------|----------------------|--|-------------------|--|--------------------|
| 5/29/14 | RP140521 | Song, Yongcheng | Baylor College of Medicine | Carpen, John | NOT DISCUSSED | Braham Gichera/BG |
| 5/28/2014 | RP140521 | Song, Yongcheng | Baylor College of Medicine | Wahl, Geoffrey |  | Braham Gichera/BG |
| 5/29/2014 | RP140525 | Lee, Min Gyu | The University of Texas M. D. Anderson Cancer Center | Belinsky, Steven |  | Braham Gichera/BG |
| 5/28/2014 | RP140525 | Lee, Min Gyu | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Braham Gichera/BG |
| 5/29/14 | RP140597 | Orlowski, Robert | The University of Texas M. D. Anderson Cancer Center | Lawlor, Elizabeth |  | Braham Gichera/BG |

SRA Approval:

| | |
|---------------|--|
| Name (PRINT): | Braham Gichera |
| Signature: |  |
| Date: | 5/29/2014 |

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Cancer Biology

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|---------|--------------------|----------------------|--|------------------|---|--------------------|
| 5/28/14 | RP140597 | Orlowski, Robert | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gichery/BS |
| 5/28/14 | RP140638 | Zhang, Shuxing | The University of Texas M. D. Anderson Cancer Center | Wahl, Geoffrey |  | Brahm Gichery/BS |
| 5/29/14 | RP140734 | Li, Yi | Baylor College of Medicine | Greene, Geoffrey | NOT DISCUSSED | Brahm Gichery/BS |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Brahm Gichery |
| Signature: |  |
| Date: | 5/29/2014 |

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|----------|--------------------|---------------------------|--|------------------|---|--------------------|
| 6/3/2014 | RP140255 | Daniel-MacDougall, Carrie | The University of Texas M. D. Anderson Cancer Center | Mayne, Susan |  | Brahm Gicheru/BG |
| 6/3/2014 | RP140262 | Cinciripini, Paul | The University of Texas M. D. Anderson Cancer Center | Brandon, Thomas |  | Brahm Gicheru/BG |
| 6/4/14 | RP140280 | Beretta, Laura | The University of Texas M. D. Anderson Cancer Center | Li, Christopher | Not Discussed | Brahm Gicheru/BG |
| 6/4/14 | RP140280 | Beretta, Laura | The University of Texas M. D. Anderson Cancer Center | Petersen, Gloria | Not Discussed | Brahm Gicheru/BG |
| 6/4/14 | RP140322 | Yen, Laising | Baylor College of Medicine | Martinez, Maria | Not Discussed | Brahm Gicheru/BG |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Brahm Gicheru |
| Signature: |  |
| Date: | 6/4/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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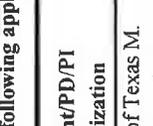
Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

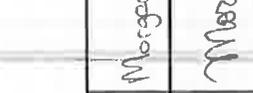
Panel: Translational Cancer Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|--------|--------------------|----------------------|--|--------------------|---|--------------------|
| 6/6/14 | RP140218 | Konopleva, Marina | The University of Texas M. D. Anderson Cancer Center | DiPersio, John |  | Morgan Mächrak MM |
| 6/6/14 | RP140218 | Konopleva, Marina | The University of Texas M. D. Anderson Cancer Center | Mullighan, Charles |  | Morgan Mächrak MM |
| 6/6/14 | RP140233 | Westover, Kenneth | The University of Texas Southwestern Medical Center | Balk, Steven | Left Webex and phone - verified | Morgan Mächrak MM |
| 6/6/14 | RP140233 | Westover, Kenneth | The University of Texas Southwestern Medical Center | Ritz, Jerome |  | Morgan Mächrak MM |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Morgan Mächrak |
| Signature: |  |
| Date: | 6/6/14 |

Comments:

| |
|---|
| <p>Dr. Balk is a teleconference reviewer. On the application he was a Col in, he left the WebEx presentation and hung up from his phone call.</p> |
|---|

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Imaging Technology and Informatics

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|--------------------------------------|------------------|--------------------|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 5/30/2014 | RP140674 | Jo, Javier | Texas Engineering Experiment Station | Sutcliffe, Julie | <i>[Signature]</i> | Brahm Gichery/BG |
| | | | | | | |
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SRA Approval:

| | |
|---------------|----------------------|
| Name (PRINT): | Brahm Gichery |
| Signature: | <i>Brahm Gichery</i> |
| Date: | 5/30/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Imaging Technology and Informatics

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|-------------------------|--|-----------------|---|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 5/29/2014 | RPI40201 | Ge, Woo-Ping | The University of Texas Southwestern Medical Center | Liu, Jonathan |  | Braham Gichery/BG |
| 5/30/2014 | RPI40286 | Schellingherhout, Dawid | The University of Texas M. D. Anderson Cancer Center | Berbeco, Ross |  | Braham Gichery/BG |
| 5/27/2014 | RPI40478 | Morales, Jorge | Texas Tech University | Mitchell, Duane |  | Braham Gichery/BG |
| 5/29/2014 | RPI40606 | Verhaak, Roeland | The University of Texas M. D. Anderson Cancer Center | Basilion, James |  | Braham Gichery/BG |
| 5/30/14 | RPI40811 | Feng, Yusheng | The University of Texas at San Antonio | Pomper, Martin | Not Discussed | Braham Gichery/BG |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Braham Gichery |
| Signature: |  |
| Date: | 5/30/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Clinical and Translational Cancer Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|---------|--------------------|------------------------|--|-------------------|--|------------------------|
| 6/10/14 | RP140161 | Hannan, Raquibul | The University of Texas Southwestern Medical Center | Koong, Albert | Verified telephonically and left webEx | Morgan Majchrzak MM |
| 6/10/14 | RP140576 | Chang, Jenny | The Methodist Hospital Research Institute | LoRusso, Patricia | Verified telephonically and left webEx | Morgan Majchrzak MM |
| 6/10/14 | RP140685 | Mahalingam, Devalingam | The University of Texas Health Science Center at San Antonio | Abu-Khalaf, Maysa | Did not join entire meeting | Morgan Majchrzak MM |

SRA Approval:

| | |
|---------------|----------------------|
| Name (PRINT): | Yoanna Pulver |
| Signature: | <i>Yoanna Pulver</i> |
| Date: | 6/10/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|----------|--------------------|----------------------|------------------------------|------------------|---|--------------------|
| 6/3/2014 | RP140767 | Jiao, Li | Baylor College of Medicine | Martinez, Maria |  | Brahm Gicheru/BG |
| 6/3/2014 | RP140767 | Jiao, Li | Baylor College of Medicine | Mucci, Lorelei |  | Brahm Gicheru/BG |
| 6/3/2014 | RP140784 | Goel, Ajay | Baylor Research Institute | Petersen, Gloria |  | Brahm Gicheru/BG |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Brahm Gicheru |
| Signature: |  |
| Date: | 6/4/2014 |

Comments:

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs**

Panel: Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|----------|--------------------|----------------------|--|------------------|-----------------------|--------------------|
| 6/4/14 | RP140448 | Hu, Ye | The Methodist Hospital Research Institute | Petersen, Gloria | Not Discussed | Brahm Gicheru/BG |
| 6/4/14 | RP140518 | Kaseb, Ahmed | The University of Texas M. D. Anderson Cancer Center | Petersen, Gloria | Not Discussed | Brahm Gicheru/BG |
| 6/3/2014 | RP140687 | Vernon, Sally | The University of Texas Health Science Center at Houston | Kushi, Lawrence | <i>Lawrence Kushi</i> | Brahm Gicheru/BG |
| 6/4/14 | RP140765 | Singal, Amit | The University of Texas Southwestern Medical Center | Barlow, William | Not Discussed | Brahm Gicheru/BG |
| 6/4/14 | RP140765 | Singal, Amit | The University of Texas Southwestern Medical Center | Kushi, Lawrence | Not Discussed | Brahm Gicheru/BG |

SRA Approval:

| | |
|---------------|----------------------|
| Name (PRINT): | Brahm Gicheru |
| Signature: | <i>Brahm Gicheru</i> |
| Date: | 6/4/2014 |

Comments:

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|----------|--------------------|----------------------|---|-------------------|---|--------------------|
| 6/3/2014 | RP140384 | Manij Sendurai | The University of Texas M.D. Anderson Cancer Center | Petersen, Gloria |  | Brahm Gicheru/BG |
| 6/3/2014 | RP140384 | Manij Sendurai | The University of Texas M.D. Anderson Cancer Center | Parker, Alexander |  | Brahm Gicheru/BG |
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left at 4:3

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Brahm Gicheru |
| Signature: |  |
| Date: | 6/4/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs**

Panel: Cancer Prevention Research

Meeting Type: Onsite Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|--|------------------|---|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 6/3/2014 | RP140350 | Amirian, E Susan | Baylor College of Medicine | Kushi, Lawrence |  | Brahm Gichery/BG |
| 6/3/2014 | RP140350 | Amirian, E Susan | Baylor College of Medicine | Martinez, Maria |  | Brahm Gichery/BG |
| 6/3/2014 | RP140350 | Amirian, E Susan | Baylor College of Medicine | Petersen, Gloria |  | Brahm Gichery/BG |
| 6/3/2014 | RP140384 | Mani, Sendurai | The University of Texas M. D. Anderson Cancer Center | Martinez, Maria |  | Brahm Gichery/BG |
| 6/4/14 | RP140448 | Hu, Ye | The Methodist Hospital Research Institute | Fridley, Brooke | Not Discussed | Brahm Gichery/BG |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Brahm Gichery |
| Signature: |  |
| Date: | 6/4/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Recruitment Review Panel – 2

Meeting Type: Teleconference

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|-----------|--------------------|----------------------|---|---------------------|-------------------------|-------------------------|
| 4/17/2014 | RR140031 | Fitz, John | The University of Texas Southwestern Medical Center | Gambhir, Sanjiv Sam | verified telephonically | MM Margen Mischewski |

SRA Approval:

| | |
|---------------|----------------------|
| Name (PRINT): | JOANNA PULVER |
| Signature: | <i>Joanna Pulver</i> |
| Date: | 4/17/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Recruitment Review Panel – 3
 Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|---------|--------------------|----------------------|--|---------------------|--|--------------------|
| 7/11/14 | RR140061 | Fitz, John | The University of Texas Southwestern Medical Center | Gambhir, Sanjiv Sam | Left teleconference and webEx verified telephone call at 10:51am | PJK |
| 7/11/14 | RR140075 | Gorenstein, David | The University of Texas Health Science Center at Houston | Gambhir, Sanjiv Sam | Left teleconference and webEx; Verified telephonically | PJK |

Joana Pulver
Joana Pulver

SRA Approval:

| | |
|---------------|------------------------|
| Name (PRINT): | PATRICK KOROMA - TOMMY |
| Signature: | <i>Patrick Koroma</i> |
| Date: | 7/11/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: MIRA-Continuation Review Panel

Meeting Type: Teleconference

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|--------|--------------------|----------------------|------------------------------|-------------------|-------------------------|--------------------|
| 2/3/14 | RP140022 | Poplack, David | Baylor College of Medicine | Prives, Carol | Verified telephonically | RATAN MONSAH /RM |
| 2/3/14 | RP140024 | McDevitt, John | Rice University | O'Reilly, Richard | Verified telephonically | RATAN MONSAH /RM |

SRA Approval:

| | |
|---------------|----------------------|
| Name (PRINT): | Yvonne Pulver |
| Signature: | <i>Yvonne Pulver</i> |
| Date: | 2/3/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2014 Cancer Prevention and Research Institute of Texas Research Programs

Panel: RTA-Continuation Review Panel

Meeting Type: Teleconference

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|------|--------------------|----------------------|------------------------------|---------------|-------------------------|--------------------|
| | RP140102 | Rosen, Jeffrey | Baylor College of Medicine | Prives, Carol | Verified telephonically | R. MUNSAH/RM |

SRA Approval:

| | |
|---------------|--------------------|
| Name (PRINT): | Yiannis Pulvel |
| Signature: | <i>[Signature]</i> |
| Date: | 01/31/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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APPENDIX:
CONFLICT OF INTEREST DOCUMENTATION

PRODUCT DEVELOPMENT



**Conflicts of Interest for Product Development Cycle 13.1 and 13.2 Applications
(Product Development Cycle 13.1 and 13.2 Awards Announced at February 2014 Oversight
Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

| Grant ID | Applicant | Company | Conflict Noted |
|--|----------------------|-------------------------------|--------------------------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| CP130013 | Tufaro, Frank | DNAtrix, Inc. | Dhingra, Kapil; Mitchell, Amy |
| CP130020 | Rieder, Robert | ESSA Pharma, Inc. | McCloskey, Richard; Mitchell, Amy |
| CP130023 | Love, Richard | CerRx, Inc. | Dhingra, Kapil |
| CP130050 | Stone, James | ProPep Surgical | McCloskey, Richard |
| CP130066 | Messmann, Richard | ProNAi Therapeutics, INc. | Clendeninn, Neil |
| Applications Not Recommended for the PIC or Oversight Committee Consideration | | | |
| CP130014 | Heidel, Jeremy | PeptiMed | Lyerly, Kim |
| CP130037 | Kirkpatrick, D. Lynn | Phusis Therapeutics, Inc. | Scheinberg, David |
| CP130040 | Klemm, Steve | Leonardo BioSystems, Inc. | Cosan, Roy |
| CP130041 | Menander | P53 Inc. | Cosan, Roy |
| CP130045 | Matthews, William | Leuchemix, Inc. | Scheinberg, David |
| CP130057 | Josey, John | Peloton Therapeutics, Inc. | Arkin, Michelle |

**Conflicts of Interest for Product Development Cycle 14.1 Applications
(Product Development Cycle 14.1 Awards Announced at May 2014 Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

| Grant ID | Applicant | Company | Conflict Noted |
|--|--------------------------|---|----------------------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| DP140031 | Lowe, David | AERase, Inc. | Jones, Elaine |
| DP140067 | Bader, Andreas | Mirna Therapeutics, Inc. | Dhingra, Kapil; Mitchell, Amy |
| Applications Not Recommended for PIC or Oversight Committee Consideration | | | |
| DP140018* | Palleiko, Ben | Cielo Therapeutics, Inc. | Saxberg, Bo |
| DP140021 | Lenox, Mark | CVUS Clinical Trials, LLC | Cosan, Roy |
| DP140023 | Andruss, Bernard | Asuragen, Inc. | Jones, Elaine |
| DP140028 | Klemp, Walter | Moleculin, LLC | Jones, Elaine |
| DP140033* | Bearss, David | Tolero Pharmaceuticals, Inc. | Saxberg, Bo |
| DP140035 | Burns, Lindsay | Pain Therapeutics, Inc. | Jones, Elaine |
| DP140039 | Carney, Darrell | Chrysalis BioTherapeutics, Inc. | Jones, Elaine |
| DP140041* | Osborne, Nick | Avicin Therapeutics, Inc. | Clendeninn, Neil |
| DP140089 | Paradiso, DVM, Linda | Boston Strategic Therapeutics Corporation | Saxberg, Bo |
| DP140011 | Asaithambi, Arunkumar | Lantern Pharma, Inc. | Jones, Elaine |
| DP140036* | Szabo, Csaba | CBS Therapeutics, Inc. | DuBois, Ray |
| DP140086** | Lopez-Berestein, Gabriel | BINAFOR | DuBois, Ray |

* = Not Discussed

**= Administratively Withdrawn

**Conflicts of Interest for Product Development Cycle 14.1 Applications
(Product Development Cycle 14.1 Awards Announced at August 2014 Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

| Grant ID | Applicant | Company | Conflict Noted |
|--|--------------------------|---|---------------------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| DP140072 | Sumcr, Baran | The University of Texas Southwestern Medical Center (OncoNano Medicine) | Montgomery, Will; Mitchell, Amy |
| Applications Not Recommended for PIC or Oversight Committee Consideration | | | |
| DP140018* | Palleiko, Ben | Cielo Therapeutics, Inc. | Saxberg, Bo |
| DP140021 | Lenox, Mark | CVUS Clinical Trials, LLC | Cosan, Roy |
| DP140023 | Andruss, Bernard | Asuragen, Inc. | Jones, Elaine |
| DP140028 | Klemp, Walter | Moleculin, LLC | Jones, Elaine |
| DP140033* | Bearss, David | Tolero Pharmaceuticals, Inc. | Saxberg, Bo |
| DP140035 | Burns, Lindsay | Pain Therapeutics, Inc. | Jones, Elaine |
| DP140039 | Carney, Darrell | Chrysalis BioTherapeutics, Inc. | Jones, Elaine |
| DP140041* | Osborne, Nick | Avicin Therapeutics, Inc. | Clendeninn, Neil |
| DP140089 | Paradiso, DVM, Linda | Boston Strategic Therapeutics Corporation | Saxberg, Bo |
| DP140011 | Asaithambi, Arunkumar | Lantern Pharma, Inc. | Jones, Elaine |
| DP140036* | Szabo, Csaba | CBS Therapeutics, Inc. | DuBois, Ray |
| DP140086** | Lopez-Berestein, Gabriel | BINAFOR | DuBois, Ray |

* = Not Discussed

**= Administratively Withdrawn

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-1

Meeting Type: Onsite Review

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|---------|--------------------|----------------------|------------------------------|---------------|--------------------|-------------------------|
| 4/1/14 | DP140018 | Palleiko, Ben | Cielo Therapeutics, Inc. | Saxberg, Bo | Not Discussed | Patrick |
| 3/31/14 | DP140021 | Lenox, Mark | CVUS Clinical Trials, LLC | Cosan, Roy * | * Roy C | Patrick Koroma-Tommy |
| 3/31/14 | DP140023 | Andruss, Bernard | Asuragen, Inc. | Jones, Elaine | * Elaine Jones | Patrick Koroma-Tommy |
| 3/31/14 | DP140028 | Klemp, Walter | Moleculin, L.L.C. | Jones, Elaine | * Elaine Jones | Patrick Koroma-Tommy |
| 3/31/14 | DP140031 | Lowe, David | AERase, Inc. | Jones, Elaine | * Elaine Jones | Patrick Koroma-Tommy |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | PATRICK KOROMA-TOMMY |
| Signature: |  |
| Date: | 3/31/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|---------|--------------------|----------------------|---|-----------------|----------------------|---------------------------|
| 4/1/14 | DP140033 | Bearss, David | Tolero Pharmaceuticals, Inc. | Saxberg, Bo | NOT DISCUSSED | <i>[Signature]</i> |
| 3/31/14 | DP140035 | Burns, Lindsay | Pain Therapeutics Inc. | Jones, Elaine | * <i>[Signature]</i> | Patrick Koroma - Tommy |
| 4/1/14 | DP140039 | Camey, Darrell | Chrysalis BioTherapeutics, Inc. | Jones, Elaine | <i>[Signature]</i> | Patrick Koroma - Tommy |
| 4/1/14 | DP140041 | Osborne, Nick | Avicin Therapeutics, Inc. | Clendenin, Neil | NOT DISCUSSED | <i>[Signature]</i> |
| 4/1/14 | DP140089 | Paradiso, DVM, Linda | Boston Strategic Therapeutics Corporation | Saxberg, Bo | <i>[Signature]</i> | Patrick Koroma - Tommy |

SRA Approval:

Name (PRINT): PATRICK KOROMA - TOMMY
 Signature: *[Signature]*
 Date: 3/31/2014

Comments:

[Empty box for comments]

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

Procurement Sensitive Document

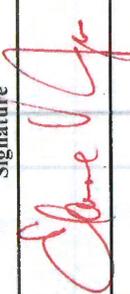
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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|---------|--------------------|----------------------|------------------------------|---------------|---|-------------------------|
| 3/31/14 | DP140011 | Asaithambi | Lantern Pharma, Inc | Elaine Jones |  | Patrick Horona-Tommy |
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SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Patrick Horona-Tommy |
| Signature: |  |
| Date: | 3/31/14 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-2

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|----------|--------------------|----------------------|------------------------------|----------------|--------------------|--------------------|
| 4/1/2014 | DPI40036 | Szabo, Csaba | CBS Therapeutics Inc. | DuBois, Ray | NOT DISCUSSED | KB |
| 4/1/2014 | DPI40067 | Bader, Andreas | Mirma Therapeutics, Inc. | Dhingra, Kapil | Kapil Dhingra | KB |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Kimberly Bush |
| Signature: |  |
| Date: | 4/1/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-1

Meeting Type: Screening Teleconference

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|------------------------------|---------------|--------------------------------|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 2/27/14 | DP140018 | Palleiko, Ben | Cielo Therapeutics, Inc. | Saxberg, Bo | Verified Telephonically by SRA | KB |
| 2/27/14 | DP140021 | Lenox, Mark | CVUS Clinical Trials, LLC | Cosan, Roy | Verified Telephonically by SRA | KB |
| 2/27/14 | DP140023 | Andruss, Bernard | Asuragen, Inc. | Jones, Elaine | Verified Telephonically by SRA | KB |
| 2/27/14 | DP140028 | Klomp, Walter | Moleculin, L.L.C. | Jones, Elaine | Verified Telephonically by SRA | KB |
| 2/27/14 | DP140031 | Lowe, David | AERase, Inc. | Jones, Elaine | Verified Telephonically by SRA | KB |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Kimberly Bush |
| Signature: |  |
| Date: | 2/27/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Product Development**

**Panel: Product Development Panel-1
Meeting Type: Screening Teleconference**

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|---|------------------|--------------------------------|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 2/27/14 | DP140033 | Bearss, David | Tolero Pharmaceuticals, Inc. | Saxberg, Bo | Verified Telephonically by SRA | KB |
| 2/27/14 | DP140035 | Burns, Lindsay | Pain Therapeutics Inc. | Jones, Elaine | Verified Telephonically by SRA | KB |
| 2/27/14 | DP140039 | Carney, Darrell | Chrysalis BioTherapeutics, Inc. | Jones, Elaine | Verified Telephonically by SRA | KB |
| 2/27/14 | DP140041 | Osborne, Nick | Avicin Therapeutics, Inc. | Clendeninn, Neil | Verified Telephonically by SRA | KB |
| 2/27/14 | DP140089 | Paradiso, DVM, Linda | Boston Strategic Therapeutics Corporation | Saxberg, Bo | Verified Telephonically by SRA | KB |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Kimberly Bush |
| Signature: |  |
| Date: | 2/27/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2014 Cancer Prevention and Research Institute of Texas Product Development
Panel: Product Development Panel-2
 Meeting Type: Screening Teleconference

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|-----------|--------------------|--------------------------|------------------------------|----------------|--|--------------------|
| 2/28/2014 | DP140036 | Szabo, Csaba | CBS Therapeutics Inc. | DuBois, Ray | Verified Telephonically by SRA NOT DISCUSSED | KB |
| 2/28/2014 | DP140067 | Bader, Andreas | Mirna Therapeutics, Inc. | Dhingra, Kapil | Verified Telephonically by SRA | KB |
| 2/28/2014 | DP140086 | Lopez-Berestein, Gabriel | BINAFOR | DuBois, Ray | Administratively Withdrawn | KB |

SRA Approval:

| | |
|---------------|---|
| Name (PRINT): | Kimberly Bush |
| Signature: |  |
| Date: | 2/28/2014 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications
Because of Real or Apparent Conflict of Interest**

**2013 Cancer Prevention and Research Institute of Texas Commercialization Program
FY 2013 Cycle 1**

Meeting Type: Teleconference Review

Applicants Name: LaserGen, Inc.

Applicants Organization: Rescue Therapeutics, Inc.

Reviewers with COLs: (none)

Notes from SRA: Verified telephonically by SRA

| App. ID | Mech. | COMP | Healy | Lasergen, Inc. | Rescue Therapeutics, Inc. | Daedalus Software, Inc. | ProPep Surgical | M. D. Anderson Cancer Center |
|----------|-------|------|-----------|----------------|---------------------------|-------------------------|-----------------|--------------------------------|
| CP130046 | COMP | FORM | Sacchetti | Sharif | Stone | Sood | (none) | (none) |
| CP130048 | FORM | FORM | Stone | Sood | (none) | Mac McCloskey | (none) | Verified telephonically by SRA |
| CP130049 | FORM | FORM | Stone | Sood | (none) | (none) | (none) | (none) |
| CP130050 | COMP | FORM | Stone | Sood | (none) | (none) | (none) | (none) |
| CP130051 | FORM | FORM | Stone | Sood | (none) | (none) | (none) | (none) |

Reviewers Attending

- Adjaji, Alex
- Cipau, Gabriel
- Clendeninn, Neil
- Cosan, Roy
- Gailar, Steve
- Geltosky, Jack
- Jordan, Jim
- Lawrence, Moira
- Lyerly, Kim
- McCloskey, Mac
- Pegram, Mark
- Scheinberg, David
- Serrero, GINETTE
- Shoemaker, David
- Vasconcelles, Mike
- Yamashita, Liz

CPRIT Staff Attending

- Cobbs, Jerry
- Doyle, Kristen
- Ulrich, Robert (Chair)

SRA Staff Attending

- Myers, Claire

Third-Party Observer Attending

- Sarjoo, Priya (from Grant Thornton)

- COMP: Company Commercialization Awards
- FORM: Company Formation Awards
- RELO: Company Relocation Awards

TISA Staff Observers

Cossum, Paul

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications
Because of Real or Apparent Conflict of Interest

2013 Cancer Prevention and Research Institute of Texas Commercialization Program
FY 2013 Cycle 1

Meeting Type: Teleconference Review

SRA Approval:

| | |
|---------------|---------------------|
| Name (PRINT): | Claire Myers |
| Signature: | <i>Claire Myers</i> |
| Date: | 9/27/2012 |

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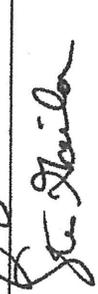
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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
 2013 Cancer Prevention and Research Institute of Texas Commercialization Program

Panel: Panel A-FY13-Cycle 1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|----------|--------------------|----------------------|------------------------------|---------------|---|--------------------|
| 10/29/12 | CP130041 | Menander | p53 Inc. | Roy Cosan |  | CM |
| 10/30/12 | CP130045 | Matthews | Leuchenz, Inc | Steve Gaskar |  | CM |
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SRA Approval:

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|---------------|---|
| Name (PRINT): | Claire Myers |
| Signature: |  |
| Date: | 10/30/12 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2013 Cancer Prevention and Research Institute of Texas Commercialization Program
Panel: Panel A-FY13-Cycle 1
Meeting Type: Onsite Review

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|-------|--------------------|----------------------|------------------------------|--------------------|--------------------------------|--------------------|
| 10/30 | CP130014 | Heidel, Jeremy | PeptiMcd | Lyerly, H. Kim | NOT DISCUSSED | KB |
| 10/30 | CP130020 | Rieder, Robert | ESSA Pharma Inc. | McCloskey, Richard | Richard V. McCloskey | KB |
| 10/30 | CP130037 | Kirkpatrick, Lynn | Phusis Therapeutics, Inc. | Scheinberg, David | NOT DISCUSSED | KB |
| 10/30 | CP130040 | Klemm, Steven | Leonardo BioSystems, Inc. | Cosan, Roy | [Signature] | CM |
| 10/30 | CP130045 | Mathews, William | LeuChemix Inc | Scheinberg, David | verified telephonically by SRA | KB |

SRA Approval:

| | |
|---------------|---------------|
| Name (PRINT): | Kimberly Bush |
| Signature: | [Signature] |
| Date: | 10/30/2012 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2013 Cancer Prevention and Research Institute of Texas Commercialization Program

Panel: Panel A-FY13-Cycle 1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|------|--------------------|----------------------|------------------------------|--------------------|-----------------------------|--------------------|
| | CP130050 | Stone, James | ProPep Surgical | McCloskey, Richard | <i>Richard V. McCloskey</i> | <i>KB</i> |

SRA Approval:

| | |
|---------------|----------------------|
| Name (PRINT): | Kimberly Bush |
| Signature: | <i>Kimberly Bush</i> |
| Date: | 10/30/2012 |

Comments:

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
 2013 Cancer Prevention and Research Institute of Texas Commercialization Program

Panel: Panel B-FY13-Cycle 2

Meeting Type: ~~Onsite Review~~ Teleconference Review

| This is to certify that I was not present and did not participate in the review of the following applications: | | | | | | |
|--|--------------------|----------------------|------------------------------|------------------|--------------------------------|--------------------|
| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
| 12/3/12 | CP130057 | Josey, John | Peloton Therapeutics, Inc. | Atkin, Michelle | verified telephonically by SRA | CM |
| 12/3/12 | CP130066 | Woollicroft, Michael | ProNAI Therapeutics, Inc. | Clendeninn, Neil | verified telephonically by SRA | CM |

SRA Approval:

| | |
|---------------|---------------------|
| Name (PRINT): | Claire Myers |
| Signature: | <i>Claire Myers</i> |
| Date: | 12/3/2012 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2013 Cancer Prevention and Research Institute of Texas Commercialization Program

Panel: Panel B-FY13-Cycle 2
Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

| Date | Application Number | Applicant/PD/PI Name | Applicant/PD/PI Organization | Reviewer Name | Reviewer Signature | SRA Name/Initials* |
|----------|--------------------|-----------------------|------------------------------|------------------|------------------------|--------------------|
| 12/17/12 | CPI30057 | Josey, John | Peloton Therapeutics, Inc. | Arkin, Michelle | <i>Michelle Arkin</i> | CM |
| 12/17/12 | CPI30066 | Woolliscroft, Michael | ProNAI Therapeutics, Inc. | Clendeninn, Neil | <i>Neil Clendeninn</i> | CM |

SRA Approval:

| | |
|---------------|---------------------|
| Name (PRINT): | claire Myers |
| Signature: | <i>Claire Myers</i> |
| Date: | 12/17/12 |

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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APPENDIX:
CONFLICT OF INTEREST DOCUMENTATION

FISCAL YEAR 2014 CONFLICT OF INTEREST WAIVERS

AAGCCCTGTT GTCTCTTACC CGTATGTTCA ACCAA
CACTTGTC TCGCTACTGC CGTGCAACAA AACT
ATATACTATA CTACACAATA CATAATCACT GACTTT



TGTT GTCTCTTACC CGGATGTTCA ACCAAAAGCT ACTTACTACC TTTATTTTAT
TCTC TCGCTACTGC CGTGCAACAA AACTTAAATC AAAACAGTGA AATACTA
TATA CTACACAATA CATAATCACT GACTTTTCGTA ACAACAATT CCTTCTCTCT



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE INTERIM CHAIR PETE GEREN
FROM: WAYNE R. ROBERTS, INTERIM EXECUTIVE DIRECTOR
SUBJECT: SECTION 102.1062 WAIVER – MARGARET L. KRIPKE, PH.D.
DATE: NOVEMBER 18, 2013

Waiver Request and Recommendation:

I request that the Oversight Committee approve a conflict of interest waiver for Dr. Margaret L. Kripke, CPRIT's Chief Scientific Officer, pursuant to Health & Safety Code Section 102.1062 "Exceptional Circumstances Requiring Participation." The waiver is necessary for Dr. Kripke to effectively perform her duties as Chief Scientific Officer. Together with the waiver's proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

Background:

As required by statute and CPRIT's conflict of interest policy, Dr. Kripke notified me that she has a conflict of interest with one or more scientific research applications currently pending review by the Scientific Review Council. Specifically, The University of Texas M.D. Anderson Cancer Center (M.D. Anderson) submitted two CPRIT grant applications for recruitment awards that are currently pending review. Dr. Kripke's husband, Dr. Isaiah J. Fidler, is employed by M. D. Anderson as a professor in the Department of Cancer Biology and holds an endowed chair.¹

Health & Safety Code Section 102.106(c)(3) mandates that a professional conflict of interest exists if a CPRIT employee's spouse is an employee of an entity applying to receiving or receiving CPRIT funds. Furthermore, CPRIT's proposed administrative rule 702.13(c) categorizes this type of professional conflict of interest as one that raises the presumption that the existence of the conflict may affect the impartial review of all other grant applications submitted pursuant to the same grant mechanism in the grant review cycle. A person involved in the review process that holds one of the conflicts included in the Section 702.13(c) "super conflict" category must be recused from participating in the "review, discussion, scoring, deliberation and vote on all grant applications competing for the same grant mechanism in the entire grant review cycle, unless a waiver has been granted..."

¹ Dr. Fidler does not have a recognized administrative or leadership position at M.D. Anderson, nor has he ever applied for or received CPRIT funding.

While the conflict has been identified with regard to the five pending recruitment applications, because of M.D. Anderson's wide-ranging involvement in cancer prevention and cancer research activities in Texas, it is reasonable to expect that the same conflict will affect Dr. Kripke's participation in more than one grant review cycle in this fiscal year as well as other grant monitoring activities she will undertake. CPRIT's proposed administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year.

Exceptional Circumstances Requiring Dr. Kripke's Participation

In order to approve a waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual's participation in the review process. As explained below, there are compelling reasons warranting Dr. Kripke's participation in the review process when she would otherwise be excluded because of the conflict. The proposed limitations and CPRIT's existing process and procedures will substantially mitigate any potential for bias.

One of the principal duties for a CPRIT program officer is serving as the Oversight Committee's expert-in-residence for his or her particular grant program. Dr. Kripke is a respected scientist and administrator who has been recognized both nationally and internationally for her work as a cancer researcher. Her nine-year tenure on the President's Cancer Panel gives her a comprehensive overview of the cancer problem and exceptional insight into the needs and future directions of cancer research. She was recruited to CPRIT as its Chief Scientific Officer in December 2012 following an extensive national search and was deemed to be an ideal candidate for the position.

Dr. Kripke's expertise and experience are important not only to address scientific and technical questions but also when she acts as the Oversight Committee's "eyes and ears" into the peer review process. Peer review committees are primarily responsible for evaluating grant applications and recommending awards. It is standard practice for CPRIT employees to attend peer review meetings as observers; however CPRIT employees are expressly prohibited from actively participating in the peer review panel's discussion or scoring of grant applications. It is important for the Chief Scientific Officer to attend and observe the peer review committee meetings; doing so allows Dr. Kripke to credibly relay the peer reviewers' impression of the grant applications to the Oversight Committee and to address questions the Oversight Committee may have related to a scientific research grant recommendation. Dr. Kripke's attendance at peer review meetings is valuable even for those applications that are not recommended for a grant award. Grant applicants often contact the program officer after receiving the peer reviewers' written comments and overall score for their applications. Dr. Kripke will be able to provide meaningful guidance and feedback to the applicant on the proposal's strengths and weaknesses by attending the peer review committee meeting when the application was discussed. Without the waiver Dr. Kripke will be unable to effectively perform a significant aspect of her job.

Another important role for the program officer is to recruit and retain members of the program's review council. These review council members serve as strategic advisors for CPRIT's grant programs as well

as being responsible for recruiting high-quality reviewers to the peer review panels chaired by each council member. Texas has established a gold-standard peer review process directly dependent on CPRIT's scientific leader, the Chief Scientific Officer. Dr. Kripke's distinction in the cancer research arena provides Texas access to the premier cancer researchers in the world—since these are Dr. Kripke's peers. The Chairs of CPRIT review panels are all highly distinguished in their respective fields and bring enormous stature to the peer review process. Having panel chairs of this caliber distinguishes CPRIT's peer review process from all others.

The review council members and peer reviewers that serve on the CPRIT peer review panels are ineligible to receive CPRIT awards; a main attraction to serving as CPRIT peer reviewers is the opportunity for intellectual interactions with scientific colleagues. These interactions do not occur without the leadership of the Chief Scientific Officer, Dr. Kripke.

Proposed Waiver and Limitations

It is important to note that the identified conflict of interest existed at the time that Dr. Kripke was hired by CPRIT and was known to the Oversight Committee and the Executive Director. The individuals involved with the hiring process believed that Dr. Kripke's qualifications, together with protections already in place to mitigate any impact related to the conflict of interest (described more fully below), supported the decision to select Dr. Kripke as CPRIT's Chief Scientific Officer. Although I was not involved in the hiring process, I have had the opportunity to work with Dr. Kripke for the past ten months and I support the decision.

In granting the waiver of the conflict of interest set forth in Section 102.106(c)(3), I recommend that Dr. Kripke be permitted to perform the following activities and duties of the Chief Scientific Officer:

1. Assign grant applications, including M.D. Anderson grant applications, to various peer review committees for peer review evaluation;
2. Attend scientific research peer review committee meetings as an observer, including meetings where M.D. Anderson applications are discussed;
3. Attend and participate fully in the Program Integration Committee (PIC) meetings, subject to the limitation set forth under "Limitations";
4. Have access to grant applicant information developed during the grant review process, including information related to M.D. Anderson applications;
5. Provide information about grant applications recommended for grant awards to the Oversight Committee or CPRIT personnel, including answering questions raised by the Oversight Committee or CPRIT personnel about M.D. Anderson grant applications. To the extent that information is provided by Dr. Kripke on her own initiative (e.g. the Chief Scientific Officer's summary of the recommended awards) and not in response to a specific question or request, it should be general information related to the overall grant application process and not advocate specifically for grant application submitted by M.D. Anderson; and

6. Following the Oversight Committee's approval of a grant award to M.D. Anderson by the Oversight Committee, Dr. Kripke may review and approve programmatic requests associated with M.D. Anderson grant contracts and grant monitoring activities.

With regard to item number 2, Dr. Kripke will be required to follow CPRIT's established policy that CPRIT employees are prohibited from actively participating in peer review committee meetings. This means that Dr. Kripke may attend the peer review committee meetings as an observer, but may not participate in the substantive discussion of any grant application, may not score any application, and may not vote on any application. CPRIT contracts with an independent third-party observer to document that CPRIT's observer policy is followed. The independent third-party observer report will be made available to the Oversight Committee prior to any action taken related to the grant award recommendations. Following Oversight Committee action, the independent third-party observer report will be publicly available.

LIMITATION ON DUTIES AND ACTIVITIES

Dr. Kripke is a member of the PIC. As a PIC member, Dr. Kripke will be called upon to exercise discretion related to whether applications proposed for grant awards by the peer review committees should be recommended to the Oversight Committee for final approval. Dr. Kripke shall not vote on any award recommendations related to M.D. Anderson.

CPRIT's Compliance Officer is statutorily required to attend PIC meetings to document compliance with CPRIT's rules and processes, including adherence to this limitation.

Important Information Regarding this Waiver and the Waiver Process

- The Oversight Committee may amend, revoke, or revise this waiver, including but not limited to the list of approved activities and duties and the limitations on duties and activities. Approval for any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request. To the extent that Dr. Kripke has a conflict of interest with an application that is different from the conflict identified in Section 102.106(c)(3), then Dr. Kripke will follow the required notification and recusal process.



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE INTERIM CHAIR PETE GEREN
FROM: WAYNE R. ROBERTS, INTERIM EXECUTIVE DIRECTOR
SUBJECT: SECTION 102.1062 WAIVER – DAVID L. LAKEY, M.D.
CC: OVERSIGHT COMMITTEE MEMBERS
DATE: NOVEMBER 18, 2013

Waiver Request and Recommendation:

I request that the Oversight Committee approve a conflict of interest waiver for Program Integration Committee (PIC) member Dr. David L. Lakey, pursuant to Health & Safety Code Section 102.1062 "Exceptional Circumstances Requiring Participation." Dr. Lakey is the Commissioner of the Department of State Health Services (DSHS). DSHS is also a CPRIT grant recipient, having received a grant award in September 2009, and may apply for CPRIT grants in the future. The waiver is necessary for Dr. Lakey to participate in CPRIT's review process as a PIC member. Together with the waiver's proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

Background:

The DSHS Commissioner is a statutorily designated member of the PIC. As a PIC member, Dr. Lakey will be called upon to exercise discretion related to whether applications proposed for grant awards by the peer review committees should be recommended to the Oversight Committee for final approval. DSHS is a CPRIT grant recipient and may submit a CPRIT grant application in the future. Health & Safety Code Section 102.106(c)(3) mandates that a professional conflict of interest exists if a PIC member is an employee of an entity applying to receive or receiving CPRIT funds. Furthermore, CPRIT's proposed administrative rule 702.13(c) categorizes this type of professional conflict of interest as one that raises the presumption that the existence of the conflict may affect the impartial review of all other grant applications submitted pursuant to the same grant mechanism in the grant review cycle. A person involved in the review process that holds one of the conflicts included in the Section 702.13(c) "super conflict" category must be recused from participating in the "review, discussion, scoring, deliberation and vote on all grant applications competing for the same grant mechanism in the entire grant review cycle, unless a waiver has been granted..."

CPRIT's proposed administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year.

Exceptional Circumstances Requiring Dr. Lakey's Participation

In order to approve a conflict of interest waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual's participation in the review process. Dr. Lakey's participation in the review process is compelled by the statute. In order to fulfill legislative intent that the DSHS Commissioner serve as a PIC member, the proposed waiver must be granted. The proposed limitations will substantially mitigate any potential for bias.

Proposed Waiver and Limitations

In granting the waiver of the conflict of interest set forth in Section 102.106(c)(3), I recommend that Dr. Lakey be permitted to perform the following activities and duties associated with CPRIT's review process subject to the stated limitations:

1. Attend and participate fully in the PIC meetings except that Dr. Lakey shall not participate in the PIC's discussion or vote on grant award recommendations to be made to DSHS;
2. Have access to grant application information developed during the grant review process, except for information related to DSHS applicants, if any; and
3. Provide information to the Oversight Committee or CPRIT personnel about the grant review process and applications recommended by the PIC for grant awards, including answering questions raised by the Oversight Committee or CPRIT personnel. To the extent that information is provided by Dr. Lakey on his own initiative in a review cycle in which DSHS is a grant applicant, the information provided by Dr. Lakey should be general information related to the overall grant application process and not advocate specifically for a grant application submitted by DSHS.

CPRIT's Compliance Officer is statutorily required to attend PIC meetings to document compliance with CPRIT's rules and processes, including adherence to this limitation. The Compliance Officer shall report to the Oversight Committee any violation of this waiver prior to the Oversight Committee's action on the PIC recommendations.

Important Information Regarding this Waiver and the Waiver Process

- The Oversight Committee may amend, revoke, or revise this waiver, including but not limited to the list of approved activities and duties and the limitations on duties and activities. Approval to make any changes to the waiver shall be by a vote of the Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request. To the extent that Dr. Lakey has a conflict of interest with an application that is not the conflict identified in Section 102.106(c)(3), then Dr. Lakey will follow the required notification and recusal process.