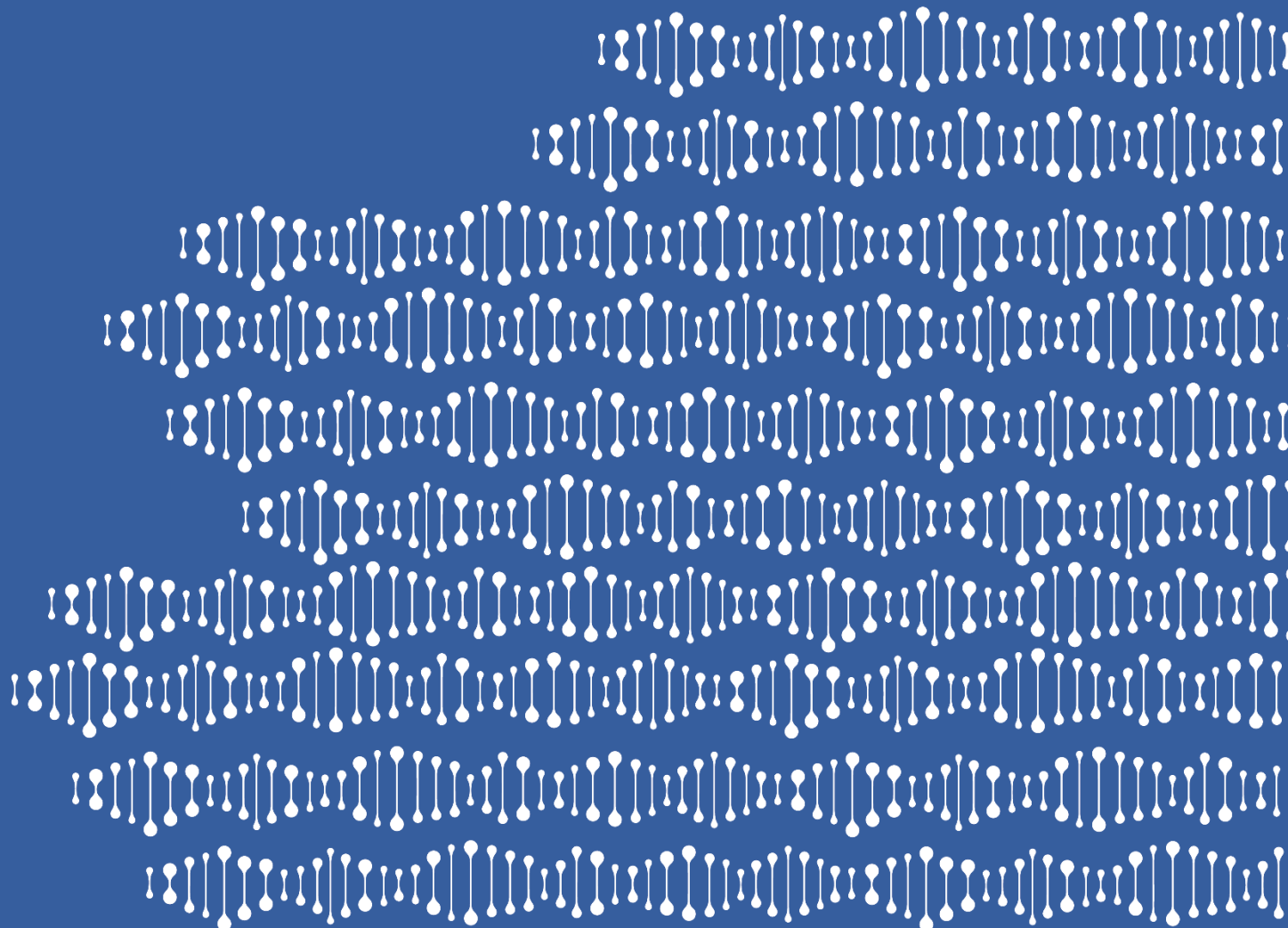




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

May 16, 2018





CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE
FROM: JAMES WILLSON, M.D., CHIEF SCIENTIFIC OFFICER
SUBJECT: ACADEMIC RESEARCH FY 2018 RECRUITMENT AWARD
RECOMMENDATIONS 18.6, 18.7, 18.8 AND 18.9.
DATE: MAY 1, 2018

The CPRIT Scientific Review Council (SRC) and the Program Integration Committee (PIC) reviewed and recommend funding eight awards totaling **\$29,986,494**. These include four Recruitment of Established Investigators Awards and four Recruitment of First-Time, Tenure Track Faculty Members Award recommendations for FY 2018 third quarter (18.6, 18.7, 18.8 and 18.9).

The total SRC recommendations are presented in two slates corresponding to grant mechanisms and displayed in Table 1.

Table 1: Grant Mechanism	SRC Recommendations	
	Awards	Funding
Recruitment of Established Investigators	4	\$21,986,494
Recruitment of First-Time, Tenure Track Faculty Members	4	\$8,000,000
Total	8	\$29,986,494

Program Priorities Addressed:

The applications proposed to the Program Integration Committee for funding address the following Academic Research Program Priorities: recruitment of outstanding cancer researchers to Texas, computational biology and analytic methods, and childhood cancers.

The summarization of program priorities addressed by the proposed slate of awards is displayed in Table 2 and Attachment 1.

Table 2: Program Priorities Addressed by Grant Recommendations		
	Program Priorities	Funding
8	Recruitment of outstanding cancer researchers to Texas	\$29,986,494
1	Computational biology and analytic methods	\$4,000,000
2	Childhood cancers	\$4,000,000
*Some grants awards address more than one program priority and are double counted.		

1. Recruitment of Established Investigators Slate FY 18.6, 18.7, 18.8 and 18.9.

Peer Review Recommendations

The applications were evaluated and scored by the Scientific Review Council (SRC) to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

Purpose of Recruitment of Established Investigators Awards:

Recruits outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.

Funding levels for Recruitment of Established Investigators Awards:

Up to \$6 million over a period of five years.

Recommended Awards:

The Scientific Review Council recommended four candidates for an Established Investigators Award. Candidates' nominating institutions are: The University of Texas Medical Branch at Galveston, The University of Texas Health Science Center at San Antonio, Baylor College of Medicine and Houston Methodist Hospital Research Institute. Below is a listing of the candidates with associated expertise.

RR180025

Candidate: Michael P Sheetz, Ph.D.

Funding Mechanism: Recruitment of Established Investigators

Applicant Organization: The University of Texas Medical Branch at Galveston

Original Organization of Nominee: National University of Singapore

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.0**

Recommended Total Budget Award and Duration: \$6,000,000

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas

Description:

Dr. Michael Sheetz is recommended for a CPRIT Established Investigator Award to recruit him to The University of Texas Medical Branch at Galveston, as Professor of Biochemistry and Molecular Biology. Dr. Sheetz is an international leader and a founding father of the field of mechanobiology - a field of science at the interface of biology and engineering that focuses on how physical forces and changes in the mechanical properties of cells and tissues contribute to development, cell differentiation, and disease. Dr. Sheetz's recent investigations have led him to make seminal findings in cancer biology related to how cancer cells invade and migrate. The impact of his work has been recognized by prestigious awards including the Lasker Medical Research Award that foretells that Dr. Sheetz is well positioned to receive a Nobel Prize.

RR180029

Candidate: Patrick Sung, D.Phil.

Funding Mechanism: Recruitment of Established Investigators

Applicant Organization: The University of Texas Health Science Center at San Antonio

Original Organization of Nominee: Yale University

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.0**

Recommended Total Budget Award and Duration: \$6,000,000

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas.

Description:

Dr. Patrick Sung is recommended for a CPRIT Established Investigator Award to recruit him to The University of Texas Health Science Center at San Antonio, as the Robert A. Welch Distinguished University Chair in the Department of Biochemistry and Structural Biology. He will also serve as a program leader in the Mays Cancer Center and as Associate Dean for Research in the Long School of Medicine. Dr. Sung is an outstanding scientist who has made important contributions to understanding DNA repair and the alterations induced by cancer associated mutations affecting genes such as BRCA-1 and BRCA-2 that play important roles in this process. He is well funded by the NIH and will bring 3 NIH R01 grants to The University of Texas Health Science Center at San Antonio.

RR180040

Candidate: Xinshu Xiao, Ph.D.

Funding Mechanism: Recruitment of Established Investigators

Applicant Organization: Baylor College of Medicine

Original Organization of Nominee: University of California, Los Angeles

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.8**

Recommended Total Budget Award and Duration: \$4,000,000

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas, Computational biology.

Description:

Dr. Xinshu (Grace) Xiao is recommended for a CPRIT Established Investigator Award to recruit her to Baylor College of Medicine (BCOM) as Professor of Molecular and Human Genetics. Dr. Xiao identified the need for bioinformatics approaches to genetic variant interpretation and was the first to develop methods to pinpoint functional variants that cause aberrant splicing, which constitute at least 15% of disease-causing mutations. Her recruitment is another example of how CPRIT sponsored recruitment awards are bringing to Texas the computational biology expertise needed to be competitive in this era of “Big Data” and “Precision Medicine”. Dr. Xiao has secured more than \$10M funding support during her 10 years at UCLA and is currently supported by four NIH awards that will transfer to BCOM.

RR180044

Candidate: Qing Yi, M.D., Ph.D.

Funding Mechanism: Recruitment of Established Investigators

Applicant Organization: Houston Methodist Hospital Research Institute

Original Organization of Nominee: Lerner Research Institute - Cleveland Clinic

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.2**

Recommended Total Budget Award and Duration: \$5,986,494

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas

Description:

Dr. Qing Yi is recommended for a CPRIT Established Investigator Award to recruit him to the Houston Methodist Hospital Research Institute as the Director of the Research Center for Hematologic Malignancies. Dr. Yi is an expert in tumor immunology and immunotherapy for multiple myeloma and other cancers. He is a highly accomplished investigator with a long history of peer reviewed funding and mentoring. His work is currently supported by 3 R01s from the NIH and a Leukemia Lymphoma Society grant that will transfer with him to Methodist.

***3. Recruitment First-Time Tenure Track Faculty Members Slate
FY 18.6, 18.7, 18.8 and 18.9.***

Peer Review Recommendations

The applications were evaluated and scored by the Scientific Review Council (SRC) to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, his/her scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

Purpose of First-Time Tenure Track Faculty Recruitment

The aim is to recruit and support very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.

Funding levels for First-Time Tenure Track Faculty Members Recruitment

Up to \$2 million over a period of 5 years.

Recommended Projects:

The Scientific Review Council recommended four candidates for Recruitment of First-Time, Tenure Track Faculty Member Awards. Candidates' nominating institutions are: The University of Texas M.D. Anderson Cancer Center, The University of Texas Southwestern Medical Center, The University of Texas at Austin and Rice University.

Below is a listing of the candidates with their associated expertise.

RR180035

Candidate: John Shen, M.D.

Funding Mechanism: Recruitment of First-Time Tenure Track Faculty Member

Applicant Organization: The University of Texas M. D. Anderson Cancer Center

Original Organization of Nominee: University of California, San Diego

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.3**

Recommended Total Budget Award and Duration: \$2,000,000.

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas.

Description:

Dr. John Shen is a physician scientist who is recommended for a CPRIT First-Time Tenure Track Award to recruit him to The University of Texas M.D Anderson Cancer Center (MD Anderson). Dr. Shen received his undergraduate degree from MIT in chemistry and a M.D. from Washington University. He completed his residency and fellowship training at the University of California, San Diego. As a research fellow, he developed Combinational-CRISPR-Cas9, a powerful technique permitting simultaneous deletion of two genes in an oncogenic pathway. He has 11 papers, several in top tier journals, and 4 patents. At MD Anderson he plans to develop a lab based research program to use functional genomics to guide precision treatment in GI cancers.

RR180046

Candidate: Stephen Chung, M.D.

Funding Mechanism: Recruitment of First-Time Tenure Track Faculty Member

Applicant Organization: The University of Texas Southwestern Medical Center

Original Organization of Nominee: Memorial Sloan Kettering Cancer Center

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.6**

Recommended Total Budget Award and Duration: \$2,000,000

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas

Description:

Stephen Chung, M.D. is a physician scientist who is recommended for a CPRIT First-Time Tenure Track Award to recruit him to The University of Texas Southwestern Medical Center (UT Southwestern). Dr. Chung received his M.D. from Washington University and did his residency and fellowship training at Massachusetts General Hospital and Memorial Sloan Kettering Cancer Center. He has a NIH K08 award and recently published a high impact paper in *Science Translational Medicine* that identified a surface marker that he used to selectively eliminate leukemia stem cells from a patient's bone marrow. He plans to pursue the therapeutic potential of this discovery and to build a translational research program in leukemia at UT Southwestern.

RR180034

Candidate: John Powers, Ph.D.

Funding Mechanism: Recruitment of First-Time Tenure Track Faculty Member

Applicant Organization: The University of Texas at Austin

Original Organization of Nominee: Harvard Medical School

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.2**

Recommended Total Budget Award and Duration: \$2,000,000.

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas, Childhood Cancers

Description:

Dr. John Powers is recommended for a CPRIT First-Time Tenure Track Award to recruit him to the Department of Pediatrics in the Dell Medical School at The University of Texas at Austin (UT Austin). Dr. Powers received his BA and Ph.D. from UT Austin and did his postdoctoral studies at Harvard Medical School under George Daley where he made a major discovery that is highly relevant to neuroblastoma. At UT Austin he will continue to pursue research focused on neuroblastoma - the most common cancer in babies and the third-most common cancer in children.

RR180041

Candidate: Samira Musah, Ph.D.

Funding Mechanism: Recruitment of First-Time Tenure Track Faculty Member

Applicant Organization: Rice University

Original Organization of Nominee: Harvard University

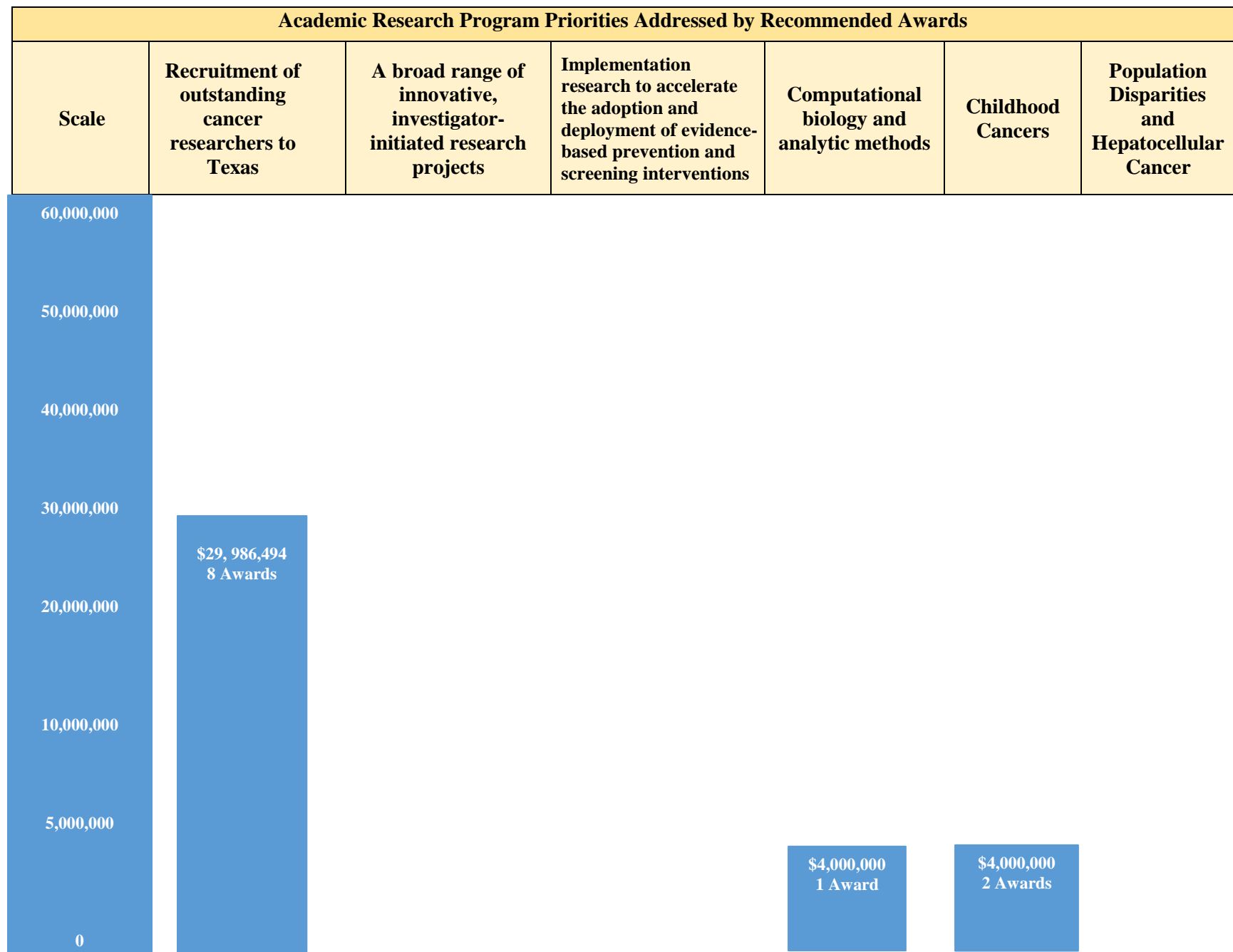
Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.3**

Recommended Total Budget Award and Duration: \$2,000,000.

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas, Childhood Cancers

Description:

Samira Musah, Ph.D., is recommended for a CPRIT First-Time Tenure Track Award to recruit her to Rice University. She received her Ph.D. in Chemistry from the University of Wisconsin and has been a postdoctoral fellow at Harvard where she published seminal papers on how stem cell differentiation can lead to either normal cells or to the uncontrolled growth found in cancerous tumors. Her proposed work at Rice will address how the processes controlling stem cells are abrogated in human diseases including pediatric kidney cancer.



*Some grants awards address more than one program priority and will be double counted.



Attachment #2
RFA Descriptions

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

- **Recruitment of Established Investigators**
Recruits outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.
Award: Up to \$6 million over a period of five years.
- **Recruitment of Rising Stars**
Recruits outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.
Award: Up to \$4 million over a period of five years.
- **Recruitment of First-Time Tenure Track Faculty Members**
Supports very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.
Award: Up to \$2 million over a period of five years.

Ludwig Institute for
Cancer Research Ltd

Richard D. Kolodner
Ph.D.

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

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April 20, 2018

Mr. Will Montgomery
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to wsmcpnit@gmail.com

Mr. Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprnit.texas.gov

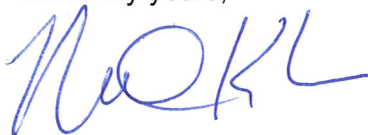
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on February 15, 2018 (REC Cycles 18.6 and 18.7), March 15, 2018 (REC Cycle 18.8) and April 19, 2018 (REC Cycle 18.9) to consider the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members. Requests for applications for Recruitment Cycles REC 18.6, 18.7, 18.8 and 18.9.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$29,986,494

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR180025	Sheetz, Michael	REI	The University of Texas Medical Branch at Galveston	\$6,000,000	1.0
2	RR180029	Sung, Patrick	REI	The University of Texas Health Science Center at San Antonio	\$6,000,000	1.0
3	RR180035	Shen, John	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.3
4	RR180046	Chung, Stephen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.6
5	RR180040	Xiao, Xinshu	REI	Baylor College of Medicine	\$4,000,000	1.8
6	RR180044	Yi, Qing	REI	The Methodist Hospital Research Institute	\$5,986,494	2.2
7	RR180034	Powers, John	RFTFM	The University of Texas at Austin	\$2,000,000	2.2
8	RR180041	Musah, Samira	RFTFM	Rice University	\$2,000,000	2.3

REI: Recruitment of Established Investigators

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: CPRIT OVERSIGHT COMMITTEE
FROM: REBECCA GARCIA, PH.D., CHIEF PREVENTION AND COMMUNICATIONS OFFICER
SUBJECT: PREVENTION GRANT RECOMMENDATIONS
DATE: MAY 1, 2018

Summary and Recommendation:

The Program Integration Committee has completed its review and recommends awarding the 1 project totaling \$300,000 that was submitted in response to the *Dissemination of CPRIT-Funded Cancer Control Interventions* Request For Applications (RFA).

Number	Grant Type	Amount
1	<i>Dissemination of CPRIT-Funded Cancer Control Interventions</i>	\$ 300,000

Background:

Dissemination of CPRIT-Funded Cancer Control Interventions RFA

This award mechanism seeks to fund projects that will facilitate the dissemination and implementation of successful CPRIT-funded, evidence-based cancer prevention and control interventions across Texas. The proposed project should be able to develop one or more “products” based on the results of the CPRIT-funded intervention. The proposed project should also identify and assist others to prepare to implement the intervention and/or prepare for grant funding. Award: Maximum of \$300,000; Maximum duration of 24 months.

Cycle 18.3

The Dissemination RFA is open continuously and reviewed quarterly. One application was received by March 6, 2018. The PRC reviewed and recommended this application on April 3, 2018.

Program Priorities Addressed

The recommended application addresses this Prevention Program priority.

- Prioritize underserved populations

Project Description

PP180110, Training CHWs to disseminate culturally competent, family health history-based cancer prevention and navigation services among Chinese Americans

Program Director: Lei-Shih Chen

Applicant Organization: Texas A&M University

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.0

Recommended Total Budget Award and Duration: \$300,000/24 months.

Asian Americans are the fastest growing racial/ethnic group in the United States, increasing 72% between 2000 and 2015, from 11.9 to 20.4 million. Texas has the third largest Asian American population in the nation, with an increase of 76.1% from 2000 to 2012.

Family health history (FHH)-based, personalized cancer genomics services have the potential to reduce cancer morbidity and mortality. Compared to Whites, Blacks, and Hispanics, Chinese Americans are underserved in FHH-based cancer services and education. To bridge this gap, this dissemination project, based on the success of previously funded CPRIT awards, proposes to recruit and train Chinese community health workers (CHWs) from the 10 Texas counties with the largest numbers of Chinese Americans as well as from 4 rural and underserved geographic priority areas defined by CPRIT (i.e., Taylor, Randall, Midland, and Jackson counties). The CHWs will be trained to provide FHH-based education and navigation services to Chinese Americans, targeting six major cancers.

This multidisciplinary project will consist of two phases. In Phase I, a bilingual (English and Chinese), first-of-its-kind, and state-approved CHW certification training program, focusing on the basic competencies for CHWs but also on the specific knowledge, skills, and cultural competencies in providing FHH-based cancer prevention and navigation services to Chinese Americans will be developed. The project will train 50 Chinese Americans to become certified CHWs.

In Phase II, a bilingual dissemination website to deliver online CHW certification and CEU training, share resources and news, and promote a dissemination toolkit for best practices will be developed. In-person and online workshops, along with technical assistance, will be provided to facilitate successful implementation of Chinese CHW recruitment and training by participating CHW training centers and programs.

Prevention Program Priorities Addressed by Recommended Awards May 16, 2018					
Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence		Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence		Prioritize underserved populations	
				\$300,000 1 project	<ul style="list-style-type: none"> PP180110 – Texas A&M University (\$300,000)

Prevention

Will Montgomery
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to wsmcpriti@gmail.com
Via email to Will Montgomery assistant, Laura Blevins, lblevins@jw.com

Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cpriti.texas.gov

Dear Mr. Roberts and Mr. Montgomery,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for CPRIT Prevention grant awards. The PRC met on April 3, 2018, to consider the applications submitted to CPRIT under the Dissemination request for applications for Dissemination cycle 18.3. The PRC reviewed one application.

The PRC recommends one dissemination application, PP180110, for funding this cycle. The recommended funding amount and the overall evaluation score are provided on the attached document. There were no recommended changes to the funding amount, goals, timelines, or project objectives requested.

In making this recommendation the PRC considered the available funding, the composition of the current portfolio and the programmatic priorities in the RFA. The recommended project addresses one or more of the Prevention Program priorities.

Sincerely,

Stephen W. Wyatt, DMD, MPH
Chair, CPRIT Prevention Review Council

Prevention Grant Award Recommendations – Dissemination Cycle 18.3

App. ID	Mech.	Application Title	PD	Organization	Score	Rank Order	Budget
PP180110	DI	Training CHWs to disseminate culturally competent, family health history-based cancer prevention and navigation services among Chinese Americans	Chen, Lei-Shih	Texas A&M University	2.0	1	\$300,000

DI: Dissemination of CPRIT-Funded Cancer Control Interventions



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

May 3, 2018

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding nine grant applications totaling \$30,286,494. The PIC recommendations for eight academic research grant awards and one prevention award are attached.

Dr. Jim Willson, CPRIT's Chief Scientific Officer, and Dr. Becky Garcia, CPRIT's Chief Prevention Officer, have prepared overviews of the academic research and prevention slates to assist your evaluation of the recommended awards. The overviews are intended to provide a comprehensive summary with enough detail to understand the substance of the proposal and the reasons endorsing grant funding. In addition to the full overviews, all of the information considered by the Review Councils is available by clicking on the appropriate link in the portal. This information includes the application, peer reviewer critiques, and the CEO affidavit for each proposal.

The approval of these grant recommendations is governed by a statutory process that requires two-thirds of the members present and voting to approve each recommendation. Vince Burgess, CPRIT's Chief Compliance Officer, will certify that the review process for the recommended grants followed CPRIT's award process prior to any Oversight Committee action.

The award recommendations will not be considered final until the Oversight Committee meeting on May 16, 2018. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

If you have any questions or would like more information on the review process or any of the projects recommended for an award, CPRIT's staff, including myself, Dr. Willson, and Dr. Garcia are always available. Please feel free to contact us directly should you have any questions. The programs that will be supported by the CPRIT awards are an important step in our efforts to mitigate the effects of cancer in Texas. Thank you for being part of this endeavor.

Sincerely,
Wayne R. Roberts
Chief Executive Officer

Academic Research Award Recommendations –

The PIC unanimously recommends approval of eight academic research grant proposals totaling \$29,986,494. The recommended grant proposals were submitted in response to two grant mechanisms: Recruitment of First-Time, Tenure-Track Faculty Members; and Recruitment of Established Investigators. The SRC provided the prioritized list of recommendations for the Recruitment awards to the presiding officers on April 23, 2018.

The PIC is required to give funding priority, to the extent possible, to applications that meet one or more criteria set forth in V.T.C.A., TEX. HEALTH & SAFETY CODE § 102.251(a)(2)(C). The PIC determined that these academic research proposals met the following CPRIT funding priorities:

- 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 and cancer prevention;
- 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 nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit 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 this state;
- enhance research superiority at institutions of higher education in this state by creating new research superiority, attracting existing research superiority from institutions not located in this state and other research entities, or enhancing existing research superiority by attracting from outside this state additional researchers and resources; and
- address the goals of the Texas Cancer Plan.

Academic Research Recruitment Grant Award Recommendations

Rank	Application ID	Candidate	Mech.	Organization	Budget	Overall Score
1	RR180025	Sheetz, Michael	REI	The University of Texas Medical Branch at Galveston	\$6,000,000	1.0
2	RR180029	Sung, Patrick	REI	The University of Texas Health Science Center at San Antonio	\$6,000,000	1.0
3	RR180035	Shen, John	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.3
4	RR180046	Chung, Stephen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.6
5	RR180040	Xiao, Xinshu	REI	Baylor College of Medicine	\$4,000,000	1.8
6	RR180044	Yi, Qing	REI	The Methodist Hospital Research Institute	\$5,986,494	2.2
7	RR180034	Powers, John	RFTFM	The University of Texas at Austin	\$2,000,000	2.2
8	RR180041	Musah, Samira	RFTFM	Rice University	\$2,000,000	2.3

REI: Recruitment of Established Investigators

RFTFM: Recruitment of First-Time Tenure Track Faculty Members

Prevention Award Recommendation –

The PIC unanimously recommends approval of one prevention grant proposal totaling \$300,000. The recommended grant proposal was submitted in response to the following mechanism: Dissemination of CPRIT-Funded Cancer Control Interventions. The Prevention Review Council (PRC) provided its recommendation to the presiding officers on April 13, 2018.

The PIC is required to give funding priority, to the extent possible, to applications that meet one or more criteria set forth in V.T.C.A., TEX. HEALTH & SAFETY CODE § 102.251(a)(2)(C). The PIC determined that the prevention proposal met the following CPRIT funding priorities:

- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional;
- are collaborative between any combination of private and nonprofit 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 this state; and
- address the goals of the Texas Cancer Plan.

Prevention Grant Award Recommendations

App. ID	Mech.	Application Title	PD	Organization	Score	Rank Order	Budget
PP180110	DI	Disseminating Cancer Control Framework and Strategies, a UT System Partnership	Chen, Lei-Shih	Texas A&M University	2.0	1	\$300,000

DI: Dissemination of CPRIT-Funded Cancer Control Interventions



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT: COMPLIANCE CERTIFICATION – MAY 2018 AWARDS
DATE: MAY 2, 2018

Summary and Recommendation:

As CPRIT's Chief Compliance Officer, I am responsible for reporting to the Oversight Committee regarding the agency's compliance with applicable statutory and administrative rule requirements during the grant review process. I have reviewed the compliance pedigrees for the grant applications submitted to CPRIT for the:

- Recruitment of Established Investigators
- Recruitment of First-Time, Tenure-Track Faculty Members
- Dissemination of CPRIT-Funded Cancer Control Interventions

I have conferred with staff at CPRIT and CSRA, International (CSRA), CPRIT's contracted third-party grants administrator, regarding the academic research and prevention awards and studied the supporting grant review documentation, including third-party observer reports for the peer review meetings. I am satisfied that the application review process that resulted in the above mechanisms recommended by the Program Integration Committee (PIC) followed applicable laws and agency administrative rules. I certify the academic research and prevention award recommendations for the Oversight Committee's consideration.

Background:

CPRIT's Chief Compliance Officer must report to the Oversight Committee regarding compliance with the statute and the agency's administrative rules. Among the Chief Compliance Officer's responsibilities is the obligation "to ensure that all grant proposals comply with this chapter and rules adopted under this chapter before the proposals are submitted to the oversight committee for approval." Texas Health & Safety Code § 102.051(c) and (d).

CPRIT uses a compliance pedigree process to formally document compliance for the grant award process. The compliance pedigree tracks the grant application as it moves through the review process and documents compliance with applicable laws and administrative rules. A compliance pedigree is

created for each application; the information related to the procedural steps listed on the pedigree is entered and attested to by CSRA employees and CPRIT employees. CPRIT relies on CSRA to accurately record a majority of the information on the pedigree from the pre-receipt stage to final Review Council recommendation. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT's Application Receipt System (CARS), the grant application database managed by CSRA. This is done to minimize the opportunity for error caused by manual data entry.

No Prohibited Donations:

Although CPRIT is statutorily authorized to accept gifts and grants pursuant to Texas Health & Safety Code § 102.054, the statute prohibits CPRIT from awarding a grant to an applicant who has made a gift or grant to CPRIT or a nonprofit organization established to provide support to CPRIT. I note that Texas Health & Safety Code § 102.251(a)(3) specifically addresses “donors from any nonprofit organization established to provide support to the institute compiled from information made available under § 102.262(c).” To the best of my knowledge, there are no nonprofit organizations that have been established to provide support to CPRIT on or after June 14, 2013, the effective date of this statutory change. The only nonprofit organization established to provide support to the Institute was the CPRIT Foundation; however, the CPRIT Foundation ceased operations and changed its name and its purpose prior to June 14, 2013. The institute has received no donations from the CPRIT Foundation made on or after June 14, 2013.

I have reviewed the list of donors to CPRIT maintained by CPRIT (and listed on CPRIT's website) and compared the donors to the list of applicants. No donors to CPRIT have submitted applications for grant awards during the award cycles that are the subject of this report.

Pre-Receipt Compliance:

The activities listed on a compliance pedigree in the pre-receipt stage cover the period beginning with CPRIT's approval and issuance of the Request for Applications (RFA) through the submission of grant applications. For the period covering these RFAs, CPRIT published the RFAs on the Texas.gov eGrants website. The RFA specifies a deadline and mandates that only those applications submitted electronically through CPRIT's Application Receipt System (CARS) are eligible for consideration. CARS blocks an application from being submitted once the deadline passes. Occasionally, an applicant may have technical difficulties that prevent the applicant from completing the application submission. When this occurs, the applicant may appeal to CPRIT (through the CPRIT Helpdesk that is managed by CSRA) to allow for a submission after the deadline. The program officer considers any requests for extension and may approve an extension for good cause. When a late filing request is approved, the applicant is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

Academic Research:

For recruitment Cycles 18.6-7, 18.8 and 18.9, five applications were received for the Recruitment of Established Investigators RFA and 12 applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA. A total of Six applications were received for the Recruitment of Rising Stars RFA during these cycles; however, none of these applications were recommended for funding.

All Academic Research RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS.

Prevention:

For Cycle 18.3, one application was received for the Dissemination of CPRIT-Funded Cancer Control Interventions RFA.

The Prevention RFA was posted on the Texas.gov eGrants website and applications were submitted through CARS.

Receipt, Referral, and Assignment Compliance:

Once applications have been submitted through CARS, CSRA staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, CSRA notifies the program officer and the program officer makes the final decision whether to administratively withdraw the application. Recruitment grant applications and the Dissemination of CPRIT-funded Cancer Control Intervention grant applications are assigned to their respective review council members for review. All other academic research, product development research, and prevention applications are assigned by the peer review panel chair to their respective peer review panels. Prior to distribution of the applications, reviewers are given summary information about the applicant, including the Project Director and collaborators. Reviewers must sign a conflict of interest agreement and confirm that they do not have a conflict of interest with the application before they are provided with the full application.

The pedigrees attest that a conflict of interest statement was signed by each primary reviewer for each Grant Application.

Academic Research:

One recruitment application was withdrawn during Cycle 18.8.

Prevention:

No applications were withdrawn during this cycle.

Peer Review:

Primary reviewers (typically three) must submit written critiques for each of their assigned applications prior to the peer review meeting. After the peer review meetings, a final score report from the review committee is delivered to the Review Council for additional review. Following the peer review meeting, each participating peer reviewer must sign a post-review peer review statement certifying that the reviewer knew of and understood CPRIT's conflict of interest policy and followed the policy for this review process.

Academic Research:

For the Recruitment Awards, the applications are reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. For cycles 18.6-7, 18.8 and 18.9, three conflicts of interest were declared by the SRC.

I reviewed and confirmed that the post review conflict of interest statements were signed by the SRC members that attended the Recruitment Review Panel meetings on February 15, 2018, March 15, 2018, and April 19, 2018.

Prevention:

For the Dissemination of CPRIT-Funded Cancer Control Interventions RFA, the applications are reviewed by the Prevention Review Council (PRC), which assigns two members of the PRC to be primary reviewers. I reviewed the supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. For cycle 18.3, no conflicts of interest were declared by the PRC.

I reviewed and confirmed that the post review conflict of interest statements were signed by the three PRC members that attended the Prevention Dissemination Intervention Panel meeting on April 3, 2018.

Programmatic Review:

Programmatic review is conducted by the Scientific Review Council, Prevention Review Council, and Product Development Review Council for their respective awards. Each review council creates a final list of grant applications it will recommend to the PIC for grant award slates.

I reviewed the third-party observer reports for each Review Council meeting. The third-party observer reports document that the Review Council discussions were limited to the merits of the applications and established evaluation criteria and that conflicted reviewers, if applicable, exited the room or the conference call when the application was discussed.

For the Academic Research and Prevention awards, I reviewed and confirmed that the Review Council recommendations corresponded to RFAs that had been released. I also confirmed that the pedigrees reflect the date of the Review Council meeting and that the applications were recommended by the Review Council.

Academic Research:

Because recruitment applications are assigned to the SRC, programmatic and peer review occur simultaneously when applications are reviewed by the SRC.

Prevention:

Because the Dissemination of CPRIT-Funded Cancer Control Interventions applications are assigned to the PRC, programmatic and peer review occur simultaneously when applications are reviewed by the PRC.

Program Integration Committee (PIC) Review:

Texas Health & Safety Code § 102.051(d) requires the Chief Compliance Officer to attend and observe the PIC meetings to ensure compliance with CPRIT's statute and administrative rules. CPRIT's statute requires that, at the time the PIC's final Grant Award recommendations are formally submitted to the Oversight Committee, the Chief Executive Officer shall prepare a written affidavit for each Grant Application recommended by the PIC containing relevant information related to the Grant Application recommendations.

I attended the April 30, 2018, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered nine applications, and all nine applications were recommended to move forward to the Oversight Committee. A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 3
*Dissemination of CPRIT-Funded Cancer
Control Interventions*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-18.1-DI

**Dissemination of CPRIT-Funded Cancer
Control Interventions**

Please also refer to the Instructions for Applicants document

Application Receipt Dates: August 1, 2017-June 5, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 6/8/17 RFA release

Rev 7/28/17 RFA was revised to convert the application procedure to a rolling submission and review process, resulting in the following changes: application receipt dates were updated (see sections 3 and 4.2) as well as the description of the review process provided in section 5.1. Other changes to the RFA include additional guidance on generating the timeline for projects (section 2.3), revised areas of emphasis (section 2.5), modified review criteria (section 5.2) and the deletion of references.

Rev 10/20/17 RFA was revised to reflect application receipt dates for the remainder of FY2018.

1. ABOUT CPRIT

The State of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and enhance the potential for a medical or scientific breakthrough in the prevention of or 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 the State of Texas; and
- Develop and implement the Texas Cancer Plan.

1.1. Prevention Program Priorities

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The Prevention Program's principles and priorities will also guide CPRIT staff and the Prevention Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

Established Principles

- Fund evidence-based interventions and their dissemination
- Support the prevention continuum of primary, secondary, and tertiary (includes survivorship) prevention interventions

Prevention Program Priorities

- Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize underserved populations

2. FUNDING OPPORTUNITY DESCRIPTION

2.1. Summary

The ultimate goals of the CPRIT Prevention Program are to reduce overall cancer incidence and mortality and to improve the lives of individuals who have survived or are living with cancer.

The ability to reduce cancer death rates depends in part on the application of currently available evidence-based technologies and strategies. CPRIT will foster the primary, secondary, and tertiary prevention of cancer in Texas by providing financial support for a wide variety of evidence-based risk reduction, early detection, and survivorship interventions.

The **Dissemination of CPRIT-Funded Cancer Control Interventions (DI)** award mechanism seeks to fund programs that facilitate the continuation of CPRIT projects through their dissemination and implementation across Texas. **This award mechanism is open only to previously or currently funded CPRIT projects.** Applicants may request any amount of funding up to a maximum of \$300,000 in total funding over a maximum of 24 months.

The proposed program should describe and package strategies or approaches to introduce, modify, and implement previously funded CPRIT evidence-based cancer prevention and control interventions for dissemination to other settings and populations in the state. To be eligible, the applicant should be in a position to develop 1 or more “products” based on the results of the CPRIT-funded intervention. Of particular interest is the dissemination of “products” that address the unique challenges to program implementation in resource-limited settings, particularly in nonmetropolitan and medically underserved areas of the state.

The proposed projects should also identify and assist others in preparing to implement the intervention and/or preparing to apply for grant funding.

2.2. Project Objectives

CPRIT seeks to fund projects that will provide 1 or more of the following:

- Dissemination of tools or models to public health professionals, health care practitioners, health planners, policymakers, and advocacy groups;
- Dissemination of materials or information about an intervention to broader settings/systems; and
- Dissemination or scaling up of best practices (infrastructure and tools) and evidence-based interventions for implementation (ie, implementation guides).

2.3. Award Description

The **Dissemination of CPRIT-Funded Cancer Control Interventions** RFA solicits applications from currently or previously funded CPRIT projects that have demonstrated exemplary success and have materials, policies, and other resources that have been successfully implemented and evaluated and could be scaled up and/or applied to other systems and settings. The ultimate goal is to continue and expand successful models for the delivery of prevention interventions all across the state through adaptation or replication.

The Center for Research in Implementation Science and Prevention website

(<http://www.dissemination-implementation.org/measures.aspx>) defines active and passive dissemination strategies as follows: “Dissemination strategies describe mechanisms and approaches that are used to communicate and spread information about interventions to targeted users. Dissemination strategies are concerned with the packaging of the information about the intervention and the communication channels that are used to reach potential adopters and target audience. Passive dissemination strategies include mass mailings, publication of information including practice guidelines, and untargeted presentations to heterogeneous groups. Active dissemination strategies include hands on technical assistance, replication guides, point-of-decision prompts for use, and mass media campaigns. It is consistently stated in the literature that dissemination strategies are necessary but not sufficient to ensure wide-spread use of an intervention.”

Adopters will need to employ implementation strategies to replicate or adapt projects to their settings or populations. Implementation strategies are described as the systematic processes, activities, and resources that are used to integrate interventions into usual settings. Core implementation components or implementation drivers can be staff selection, preservice and in-service training, ongoing consultation and coaching, staff and program evaluation, facilitative administrative support, and systems interventions. (See <http://www.dissemination-implementation.org/measures.aspx>)

This award will support both passive and active dissemination strategies but must include 2 or more active dissemination strategies. This award will also support implementation strategies in the form of technical assistance, coaching, and consultation within the time period of the grant. CPRIT recognizes that there are limits to the amount of technical assistance or coaching that can be accomplished within the grant period; however, priority will be given to those projects that

identify and assist potential adopters in preparing to implement the intervention and/or preparing to apply for grant funding. Examples of active dissemination strategies and implementation strategies follow.

Tools/models

- Toolkits with materials, sample policies, and procedures for implementation of CPRIT-funded programs
- Interactive websites that provide future adopters with key information on how to implement CPRIT-related interventions
- Approaches for dissemination of findings via nontraditional channels (eg, social media)
- User-friendly summaries—short issue or policy briefs that tell a story for decision makers based on CPRIT findings
- Brief, user-friendly case studies from program developers and recipients to illustrate key issues

Implementation guides

- Targeted communication materials emphasizing how to apply them to different populations, systems, and settings
- Step-by-step implementation guides on how to translate an evidence-based intervention/program to broader settings, including guidelines for retaining core elements of the interventions or programs while offering suggested adaptations for the elements that would enhance the adoption and sustainability of the programs in different populations, settings, or circumstances (See Partnership for Prevention examples: <https://innovations.ahrq.gov/qualitytools/community-health-promotion-handbook-action-guides-improve-community-health>)

Training/Technical assistance

- Provision of training and technical assistance to guide adopters in developing their plans to adapt, refine, and implement their projects

In addition, proposed dissemination materials should include a discussion of barriers to dissemination; a description of personnel and necessary resources to overcome barriers to implementation of the project; a description of expected outcomes, evaluation strategies with a

sample evaluation plan, and tools (if applicable); and suggestions or plan for project sustainability, capacity building, or integration.

By the end of Year 1, the project timeline should include but is not limited to the following:

- A step-by-step implementation guide that includes how to translate an evidence-based intervention/program to broader settings, including guidelines for retaining core elements of the interventions or programs while offering suggested adaptations for the elements that would enhance the adoption and sustainability of the programs in different populations, settings, or circumstances.

Under this RFA, CPRIT **will not** consider the following:

- **Applications to disseminate projects not previously or currently funded by CPRIT**
- **Projects involving prevention/intervention research.**

Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at <http://www.cprit.texas.gov>).

2.4. Priorities

Types of Cancer:

Applications addressing any cancer type(s) that are responsive to this RFA will be considered for funding. See [section 2.5](#) for specific areas of emphasis. Priority will be given to applications to disseminate and replicate projects that when implemented can address the following program priorities set by the CPRIT Oversight Committee:

- Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence;
- Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence;
- Prioritize underserved populations.

Priority Populations

The age of the priority population described in the application must comply with established and current national guidelines (eg, US Preventive Services Task Force [USPSTF], American Cancer Society, American College of Physicians).

Priority populations are subgroups that are underserved and disproportionately affected by cancer. Insured populations are not the priority of CPRIT's programs; however, some health promotion and education activities may include insured individuals as well as those who are underinsured or uninsured.

CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals;
- Geographically or culturally isolated populations;
- Medically unserved or underserved populations;
- Populations with low health literacy skills;
- Geographic regions or populations of the state with higher prevalence of cancer risk factors (eg, obesity, tobacco use, alcohol misuse, unhealthy eating, sedentary lifestyle);
- Racial, ethnic, and cultural minority populations; or
- Other populations with low screening rates, high incidence rates, and high mortality rates, focusing on individuals never before screened or who are significantly out of compliance with nationally recommended screening guidelines.

2.5. Specific Areas of Emphasis

Applications that propose dissemination of any previously funded CPRIT project delivering an evidence-based preventive service or education and outreach program that includes navigation to services that is responsive to this RFA will be considered. However, CPRIT has identified the following area of emphasis for this cycle of awards.

- Dissemination of the programs that address the unique challenges to program implementation in resource-limited settings, in particular nonmetropolitan and medically underserved areas of the state.

2.6. Outcome Metrics

The applicant is required to describe how the goals and objectives for each year of the project as well as the final outcomes will be measured. The applicant should provide a clear and appropriate plan for data collection and interpretation of results to report against goals and objectives.

Reporting Requirements

Funded projects are required to report quantitative output and outcome metrics (as appropriate for each project) through the submission of quarterly progress reports, annual reports, and a final report.

- Quarterly progress report sections include, but are not limited to the following:
 - Narrative on project progress, including the number and description of all active and passive dissemination and implementation activities undertaken.
- Annual and final progress report sections include, but are not limited to the following:
 - Key accomplishments, including discussion of barriers to dissemination,
 - Progress toward goals and objectives,
 - Materials produced, presentations, publications, etc,
 - Economic impact of the project.

2.7. Eligibility

- The applicant must be a Texas-based entity, such as a community-based organization, health institution, government organization, public or private company, college or university, or academic health institution.
- The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted.
- The designated Program Director (PD) will be responsible for the overall performance of the funded project. The PD must have relevant education and management experience and must reside in Texas during the project performance time.
- The applicant may submit more than 1 application, but each application must be for distinctly different projects without overlap in the projects. Applicants who do not meet this criterion will have all applications administratively withdrawn without peer review.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.

- An applicant organization is eligible to receive a grant award only if the applicant certifies that the applicant organization, including the PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant organization, the PD, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, (whether slated to receive salary or compensation under the grant award or not), are currently ineligible to receive federal grant funds because of scientific misconduct or fraud or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. CPRIT grants are funded on a reimbursement-only basis. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 6](#). All statutory provisions and relevant administrative rules can be found at <http://www.cprit.texas.gov>.

2.8. Resubmission Policy

- **Two resubmissions** are permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PD for a project or a change of title for a project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission.

- Applicants who choose to resubmit should carefully consider the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. All resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes. A 1-page summary of the approach to the resubmission should be included. Resubmitted applications may be assigned to reviewers who did not review the original submission. Reviewers of resubmissions are asked to assess whether the resubmission adequately addresses critiques from the previous review. **Applicants should note that addressing previous critiques is advisable; however, it does not guarantee the success of the resubmission.** All resubmitted applications must conform to the structure and guidelines outlined in this RFA.

2.9. Funding Information

Applicants may request any amount of funding up to a maximum of \$300,000 in total funding over a maximum of 24 months. Grant funds may be used to pay for salary and benefits, project supplies, equipment, costs for outreach and education, and travel of project personnel to project site(s). Requests for funds to support construction, renovation, or any other infrastructure needs or requests to support lobbying will not be approved under this mechanism. Grantees may request funds for travel for 2 project staff to attend CPRIT's biennial conference.

State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the **total** award amount.

The budget should be well justified. In addition, CPRIT seeks to fill gaps in funding rather than replace existing funding, supplant funds that would normally be expended by the applicant's organization, or make up for funding reductions from other sources.

3. KEY DATES

Applications will be accepted on a continuous basis throughout FY2018; application review and award notification will occur quarterly according to the schedule below. For an application to be considered for review during a given quarterly cycle, that application must be submitted on or before 11:59 PM central time on the respective deadline date.

FY2018	Application Deadline	Application Review	Oversight Committee Award Approval
Quarter 2	12/5/2017	January 2018	2/21/2018
Quarter 3	3/6/2018	April 2018	5/16/2018
Quarter 4	6/5/2018	July 2018	8/15/2018

4. APPLICATION SUBMISSION GUIDELINES

4.1. *Instructions for Applicants* document

It is imperative that applicants read the accompanying instructions document for this RFA (<https://CPRITGrants.org>). Requirements may have changed from previous versions.

4.2. Online Application Receipt System

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The PD must create a user account in the system to start and submit an application. The Co-PD, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (an individual who will help manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on August 1, 2017, and will be accepted on a continuous basis throughout fiscal year 2018. Applications will be reviewed quarterly. Detailed instructions for submitting an application are in the *Instructions for Applicants* document, posted on CARS. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

4.3. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. All requests for extension of the submission deadline must be submitted via email to the [CPRIT Helpdesk](#) within 24 hours of the submission deadline. Submission deadline

extensions, including the reason for the extension, will be documented as part of the grant review process records.

4.4. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Refer to the *Instructions for Applicants* document for details.

Submissions that are missing 1 or more components or do not meet the eligibility requirements may be administratively withdrawn without review.

4.4.1. Abstract and Significance (5,000 characters)

Clearly explain the problem(s) to be addressed, the approach(es) to the solution, and how the application is responsive to this RFA. In the event that the project is funded, the abstract will be made public; therefore, no proprietary information should be included in this statement. Initial compliance decisions are based in part upon review of this statement.

The abstract format is as follows (use headings as outlined below):

- **Need:** Include a description of need for the proposed project.
- **Overall Project Strategy:** Describe the project and how it will address the identified need.
- **Specific Goals:** State specifically the overall goals of the proposed project.
- **Innovation:** Describe the creative components of the proposed project.
- **Significance and Impact:** Explain how the proposed project, if successful, will have a unique and major impact on cancer prevention and control and for the State of Texas.

4.4.2. Goals and Objectives (700 characters each)

List major outcome goals and **measurable** objectives for each year of the project. **Do not include** process objectives; these should be described in the project plan only. The maximum number is 3 outcome goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives. See [Appendix](#) for instructions on writing **outcome** goals and objectives.

A baseline and method(s) of measurement are required for each objective. If a baseline has not yet been defined, applicants are required to explain plans to establish baseline and describe method(s) of measurement.

4.4.3. Project Timeline (2 pages)

Provide a project timeline for project activities that includes deliverables and dates. Use Years 1 and 2, and Months 1, 2, 3, etc, as applicable instead of specific months or years (eg, Year 1, Months 3-5). Month 1 is the first full month of the grant award.

4.4.4. Project Plan (12 pages; fewer pages permissible)

The required project plan format follows. Applicants must use the headings outlined below.

Background: Describe the project to be disseminated and how and why it lends itself to replication and scalability. Describe the effectiveness of the intervention that is being proposed for replication/dissemination and the expected short- and long-term impacts of the project.

Goals and Objectives: Process objectives should be included in the project plan. Outcome goals and objectives will be entered in separate fields in CARS. However, if desired, outcome goals and objectives may be fully repeated or briefly summarized here. See [Appendix](#) for instructions on writing goals and objectives.

Components of the Project: Clearly describe the data demonstrating success of the CPRIT-funded project that justifies dissemination. Describe components of the proposed dissemination project and the dissemination approach, strategy (eg, passive and active dissemination and implementation strategies), and the products being designed or packaged. Clearly describe the established theory and practice that support the proposed approach or strategy. Describe parameters of the CPRIT-funded project that may affect its dissemination and replication such as target audience for which it was designed, specialized resources that may be needed, or geographic considerations.

Evaluation Strategy: Describe the evaluation plan and methodology to assess dissemination effectiveness (eg, include short-term and intermediate impact of dissemination activities, knowledge and behavior change among the audience likely to adopt the project). Describe a clear and appropriate plan for data collection and interpretation of results to report against goals and objectives. If needed, applicants may want to consider seeking expertise at Texas-based academic cancer centers, schools/programs of public health, prevention research centers, or the like. Applicants should budget accordingly for the evaluation activity and should ensure, among other things, that the evaluation plan is linked to the proposed goals and objectives.

Organizational Qualifications and Capabilities: Describe the organization and its qualifications and capabilities to deliver the proposed project. Describe the role and qualifications of key collaborating organizations/partners (if applicable) and how they add value to the project and demonstrate commitment to working together to implement the project. Describe the key personnel who are in place or will be recruited to implement, evaluate, and complete the project.

4.4.5. References

Provide a concise and relevant list of references cited for the application. The successful applicant will provide referenced evidence and literature support for the proposed project.

4.4.6. Resubmission Summary

Use the template provided on the CARS (<https://CPRITGrants.org>). Describe the approach to the resubmission and how reviewers' comments were addressed. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed. The overall summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission; the applicant is not responsible for providing this document.

4.4.7. CPRIT Grants Summary

Use the template provided on the CARS (<https://CPRITGrants.org>). Provide a listing of **all** CPRIT-funded projects of the PD and the Co-PD, regardless of their connection to this application.

4.4.8. Budget and Justification

Provide a brief outline and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, travel, equipment, supplies, contractual expenses, and other expenses. CPRIT funds will be distributed on a reimbursement basis. Applications requesting more than the maximum allowed cost (total costs) as specified in [section 2.9](#) will be administratively withdrawn.

- **Personnel:** The individual salary cap for CPRIT awards is \$200,000 per year. Describe the source of funding for all project personnel where CPRIT funds are not requested.

- **Travel:** PDs and related project staff are expected to attend CPRIT's conference. CPRIT funds may be used to send up to 2 people to the conference.
- **Equipment:** Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application. Justification must be provided for why funding for this equipment cannot be found elsewhere; CPRIT funding should not supplant existing funds. Cost sharing of equipment purchases is strongly encouraged.
- **Indirect/Shared Costs:** Texas law limits the amount of grant funds that may be spent on indirect/shared expenses to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in [CPRIT's Administrative Rules](#).

4.4.9. Current and Pending Support and Sources of Funding

Use the template provided on the CARS (<https://CPRITGrants.org>). Describe the funding source and duration of all current and pending support for the proposed project, including a capitalization table that reflects private investors, if any. Information for the initial funded project need not be included.

4.4.10. Biographical Sketches

The designated PD will be responsible for the overall performance of the funded project and must have relevant education and management experience. The PD/Co-PD(s) must provide a biographical sketch that describes his or her education and training, professional experience, awards and honors, and publications and/or involvement in programs relevant to cancer prevention and/or service delivery.

Up to 3 additional biographical sketches for key personnel may be provided. The evaluation professional biographical sketch is optional and will count as 1 of the 3 additional biosketches. Each biographical sketch must not exceed 2 pages and must use the "Prevention Programs: Biographical Sketch" template provided on the CARS (<https://CPRITGrants.org>).

Only biographical sketches will be accepted; do not submit resumes and/or CVs. If a position is not yet filled, please upload a job description.

4.4.11. Collaborating Organizations

List all key participating organizations that will partner with the applicant organization to provide 1 or more components essential to the success of the program (eg, evaluation).

4.4.12. Letters of Commitment (10 pages)

Applicants may provide optional letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program.

5. APPLICATION REVIEW

5.1. Review Process Overview

All eligible applications will be reviewed and scored by the [CPRIT Prevention Review Council](#) based on the criteria in section 5.2 below. Review Council members are listed on CPRIT's website.

Applications may be submitted continuously in response to this RFA but will generally be reviewed on a quarterly basis. The Prevention Review Council will review applications and provide an overall evaluation score reflecting their overall impression of the application and responsiveness to the RFA priorities. Additional considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service.

Applications approved by the Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 through 703.8](#).

Each stage of application review is conducted confidentially, and all CPRIT Prevention Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding

the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Peer Review Panel members and Review Council members are non-Texas residents.

By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, [chapter 703, section 703.9](#).

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee member, a PIC member, a Review Panel member, or a Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

5.2. Review Criteria

The Prevention Review Council will review the applications based on the criteria below and will provide an overall evaluation score reflecting their overall impression of the application and responsiveness to the RFA priorities. Additional considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service.

5.2.1. Primary Evaluation Criteria

Impact

- Does the applicant describe the project to be disseminated and how and why it lends itself to replication and scalability?

- Does the applicant outline the target metrics established for the CPRIT-funded project and describe the effectiveness of the intervention that is being proposed for replication/dissemination?
- Do the data (results) demonstrate success of the CPRIT-funded project and justify dissemination?
- Has the applicant convincingly demonstrated the short- and long-term impacts of the project?

Project Strategy and Feasibility

- Does the proposed project address the requirements of the RFA? Does it include a step-by-step implementation guide in Year 1?
- Are the overall project dissemination approach, strategy, and design clearly described and supported by established theory and practice and likely to result in successful dissemination and adoption? Are 2 or more active dissemination strategies described?
- Are the proposed objectives and activities feasible within the duration of the award?
- If the CPRIT-funded project is to be adapted for different populations and settings, are specific adaptations and evaluation strategies clearly outlined as a part of the project?
- Does the project identify and assist potential adopters in preparing to implement the intervention and/or preparing to apply for grant funding?

Evaluation

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed measures appropriate for the project?
- Does the application provide a clear and appropriate plan for data collection and interpretation of results to report against goals and objectives?

Organizational Qualifications and Capabilities

- Do the organization and its collaborators/partners (if applicable) demonstrate the ability to deliver the proposed project?
- Are the appropriate personnel in place or have they been recruited to develop, evaluate, and complete the project?

5.2.2. Secondary Evaluation Criteria

Budget

- Is the budget appropriate and reasonable for the scope of the proposed work?
- Are all costs well justified?
- Is the project a good investment of Texas public funds?

6. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov. Applicants are advised to review CPRIT's administrative rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in [chapter 703, sections 703.10, 703.12](#).

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, [chapter 703, section 703.20](#).

CPRIT requires the PD of the award to submit quarterly, annual, and final progress reports. These reports summarize the progress made toward project goals and address plans for the upcoming year and performance during the previous year(s). In addition, quarterly fiscal reporting and reporting on selected metrics will be required per the instructions to award recipients. Continuation of funding is contingent upon the timely receipt of these reports. Failure

to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract.

7. CONTACT INFORMATION

7.1. Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding the scope and focus of applications. Before contacting the helpdesk, please refer to the *Instructions for Applicants* document, which provides a step-by-step guide to using CARS.

Hours of operation: Monday through Friday, 8 AM to 6 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

7.2. Program Questions

Questions regarding the CPRIT Prevention program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Prevention Program Office.

Tel: 512-305-8417

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

8. RESOURCES

- The Texas Cancer Registry. <http://www.dshs.state.tx.us/tcr> or contact the Texas Cancer Registry at the Department of State Health Services.
- The Community Guide. <http://www.thecommunityguide.org/index.html>
- Cancer Control P.L.A.N.E.T. <http://cancercontrolplanet.cancer.gov>
- Guide to Clinical Preventive Services: Recommendations of the U.S. Preventive Services Task Force. <http://www.ahrq.gov/professionals/clinicians-providers/guidelines-recommendations/guide/>

- Brownson, R.C., Colditz G.A., and Proctor, E.K. (Editors). *Dissemination and Implementation Research in Health: Translating Science to Practice*. Oxford University Press, March 2012
- Centers for Disease Control and Prevention: The Program Sustainability Assessment Tool: A New Instrument for Public Health Programs
http://www.cdc.gov/pcd/issues/2014/13_0184.htm
- Centers for Disease Control and Prevention: Using the Program Sustainability Tool to Assess and Plan for Sustainability. http://www.cdc.gov/pcd/issues/2014/13_0185.htm
- Cancer Prevention and Control Research Network: Putting Public Health Evidence in Action Training Workshop. <http://cpcrn.org/pub/evidence-in-action/>

APPENDIX: WRITING GOALS AND OBJECTIVES

Adapted with permission from Appalachia Community Cancer Network, NIH Grant U54 CA 153604

Develop well-defined goals and objectives

Goals provide a roadmap or plan for where a group wants to go. Goals can be long term (over several years) or short term (over several months). Goals should be based on needs of the community and evidence-based data.

Goals should be

- Believable – situations or conditions that the group believes can be achieved
- Attainable – possible within a designated time
- Tangible – capable of being understood or realized
- On a timetable – with a completion date
- Win-Win – beneficial to individual members and the coalition

Objectives are measurable steps toward achieving the goal. They are clear statements of specific activities required to achieve the goal. The best objectives have several characteristics in common—S.M.A.R.T. + C:

- Specific – they tell how much (number or percent), who (participants), what (action or activity), and by when (date)
 - Example: 115 uninsured individuals age 50 and older will complete colorectal cancer screening by March 31, 2018.
- Measurable – specific measures that can be collected, detected, or obtained to determine successful attainment of the objective
 - Example: How many screened at an event? How many completed pre/post assessment?
- Achievable – not only are the objectives themselves possible, it is likely that your organization will be able to accomplish them
- Relevant to the mission – your organization has a clear understanding of how these objectives fit in with the overall vision and mission of the group
- Timed – developing a timeline is important for when your task will be achieved

- Challenging – objectives should stretch the group to aim on significant improvements that are important to members of the community

Evaluate and refine your objectives

Review your developed objectives and determine the type and level of each using the following information:

There are 2 types of objectives:

- Outcome objectives – measure the “what” of a program; should be in the Goals and Objectives form (see [section 4.4.2](#))
- Process objectives – measure the “how” of a program; should be in the project plan (see [section 4.4.4](#))

There are 3 levels of objectives:

- Community-level – objectives measure the planned community change
- Program impact – objectives measure the impact the program will have on a specific group of people
- Individual – objectives measure participant changes resulting from a specific program, using these factors:
 - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
 - Attitudes – feelings about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetables is important)
 - Skills – the ability to do something (complete fecal occult blood test)
 - Intentions – regarding plan for future behavior (will agree to talk to the doctor, will plan to schedule a Pap test)
 - Behaviors (past or current) – to act in a particular way (will exercise 30+ minutes a day, will have a mammogram)

Well-defined goals and objectives can be used to track, measure, and report progress toward achievement.

Summary Table

	Outcome – Use in Goals and Objectives	Process – Use in Project Plan only
Community-level	<p>WHAT will change in a community</p> <p><i>Example: As a result of CPRIT funding, FIT (fecal immunochemical tests) will be available to 1,500 uninsured individuals age 50 and over through 10 participating local clinics and doctors.</i></p>	<p>HOW the community change will come about</p> <p><i>Example: Contracts will be signed with participating local providers to enable uninsured individuals over age 50 to have access to free colorectal cancer screening in their communities.</i></p>
Program Impact	<p>WHAT will change in the target group as a result of a particular program</p> <p><i>Example: As a result of this project, 200 uninsured women between 40 and 49 will receive free breast and cervical cancer screening.</i></p>	<p>HOW the program will be implemented to affect change in a group/population</p> <p><i>Example: 2,000 female clients, between 40 and 49, will receive a letter inviting them to participate in breast and cervical cancer screening.</i></p>
Individual	<p>WHAT an individual will learn as a result of a particular program, or WHAT change an individual will make as a result of a particular program</p> <p><i>Example: As a result of one-to-one education of 500 individuals, at least 20% of participants will participate in a smoking cessation program to quit smoking.</i></p>	<p>HOW the program will be implemented to affect change in an individual's knowledge or actions</p> <p><i>Example: As a result of one-to-one counseling, all participants will identify at least 1 smoking cessation service and 1 smoking cessation aid.</i></p>

Third Party Observer Reports



Cancer Prevention and Research Institute of Texas (CPRIT)
Prevention Peer Review Observation Report

Report No. 2018-04-03 Dissemination Interventions (18.3_PRV_DI)
Program Name: Prevention
Panel Name: Prevention Dissemination of CPRIT –Funded Cancer Control Interventions (18.3_PRV_DI)

Panel Date: April 3, 2018
Report Date: April 4, 2018

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions (BFS) as third-party observer as of December, 2016.

Introduction

The subject of this report is the CPRIT Prevention Dissemination of CPRIT Funded Cancer Control Interventions 18.3_PRV_DI meeting. The meeting was held via teleconference on April 3, 2018.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when a proposal with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- Panel discussions are focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Three BFS independent observers participated in observing the Prevention Dissemination of CPRIT Funded Cancer Control Interventions 18.3_PRV_DI meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- One application was discussed to score the applications for recommendations;
- Participants: one panel chair, and two peer reviewers participated on the panel;
- One CPRIT staff member and two CSRA employees participated in the meeting;
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Panelists' discussions were limited to the application evaluation criteria.

There were no applications with a conflict of interest (COI). A list of all attendees, sign in log, and informational materials were provided by CSRA staff to aid in the observation of these objectives.

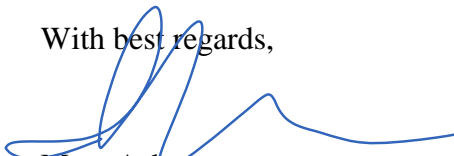
Conclusion

In conclusion; we observed that the activities of the Prevention Dissemination of CPRIT Funded Cancer Control Interventions 18.3_PRV_DI meeting were limited to the identified objectives noted earlier in this report.

BSF's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform and did not perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,



Mara Ash

Senior Partner
Business and Financial Management Solutions, LLC
April 4, 2018

cc: Vince Burgess, Chief Compliance Officer

Conflicts of Interest Disclosure

**Conflicts of Interest Disclosure
Prevention 18.3 Applications
(Prevention Cycles 18.3 Awards Announced at May 16, 2018, 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. Applications reviewed in Prevention Cycle 18.3 include *Dissemination of CPRIT-Funded Cancer Control Interventions*. 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/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
No conflicts reported.			
Applications not considered by the PIC or Oversight Committee			
No conflicts reported.			

* = Not discussed

De-Identified Overall Evaluation Scores

Dissemination of CPRIT-Funded Cancer Control Intervention

Prevention Cycle 18.3

Application ID	Final Overall Evaluation Score
PP180110*	2.0

* = Recommended for Funding

Final Overall Evaluation Scores and Rank Order Scores

Will Montgomery
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to wsmcpritch@gmail.com
Via email to Will Montgomery assistant, Laura Blevins, lblevins@jw.com

Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cpritch.texas.gov

Dear Mr. Roberts and Mr. Montgomery,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for CPRIT Prevention grant awards. The PRC met on April 3, 2018, to consider the applications submitted to CPRIT under the Dissemination request for applications for Dissemination cycle 18.3. The PRC reviewed one application.

The PRC recommends one dissemination application, PP180110, for funding this cycle. The recommended funding amount and the overall evaluation score are provided on the attached document. There were no recommended changes to the funding amount, goals, timelines, or project objectives requested.

In making this recommendation the PRC considered the available funding, the composition of the current portfolio and the programmatic priorities in the RFA. The recommended project addresses one or more of the Prevention Program priorities.

Sincerely,

Stephen W. Wyatt, DMD, MPH
Chair, CPRIT Prevention Review Council

Prevention Grant Award Recommendations – Dissemination Cycle 18.3

App. ID	Mech.	Application Title	PD	Organization	Score	Rank Order	Budget
PP180110	DI	Training CHWs to disseminate culturally competent, family health history-based cancer prevention and navigation services among Chinese Americans	Chen, Lei-Shih	Texas A&M University	2.0	1	\$300,000

DI: Dissemination of CPRIT-Funded Cancer Control Interventions



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycles 6-9
Recruitment of Established Investigators

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-18.1-REI

**Recruitment of
Established Investigators**

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2017**

Application Receipt Dates:

June 21, 2017-June 20, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 6/21/17 RFA release

1. ABOUT CPRIT

The State of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or 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 the State of Texas; and
- Develop and implement the Texas Cancer Plan.

1.1. Academic Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency with regard to how the Oversight Committee directs the orientation of the agency's funding portfolio.

Established Principles:

- Scientific excellence and impact on cancer
- Targeting underfunded areas
- Increasing the life sciences infrastructure

The program priorities for academic research adopted by the Oversight Committee include funding projects that address the following:

- Recruitment of outstanding cancer researchers to Texas
- Investment in core facilities
- A broad range of innovative, investigator-initiated research projects
- Prevention and early detection
- Computational biology and analytic methods

- Childhood cancers
- Population disparities and cancers of importance in Texas (lung, liver, cervix cancers)

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract world-class research scientists with distinguished professional careers to Texas universities and cancer research institutes to establish research programs that add research talent to the state. This award will support established academic leaders whose body of work has made an outstanding contribution to cancer research. Awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the State of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer.

Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection, Computational Biology and Analytic Methods, Childhood Cancers, Population Disparities, and Cancers of Particular Importance in Texas (lung, liver, cervix cancers).

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the State of Texas. This award honors outstanding senior investigators with proven track records of research accomplishments combined with excellence in leadership and teaching. All candidates should be recognized research or clinical investigators, held in the highest esteem by professional colleagues nationally and internationally, whose contributions have had a significant influence on their discipline and, likely, beyond. They must have clearly established themselves as exemplary faculty members with exceptional accomplishments in teaching and advising and/or basic, translational, population-based, or clinical cancer research activities. It is expected that the candidate will contribute significantly to and have a major

impact on the institution's overall cancer research initiative. Candidates will be leaders capable of initiating and developing creative ideas leading to novel solutions related to cancer detection, diagnosis, and/or treatment. They are also expected to maintain and lead a strong research group and have a stellar, high-impact publication portfolio, as well as continue to secure external funding. Furthermore, recipients will lead and inspire undergraduate and graduate students interested in pursuing research careers and will engage in collegial and collaborative relationships with others within and beyond their traditional discipline in an effort to expand the boundaries of cancer research.

Funding will be given for exceptional candidates who will continue to develop new research methods and techniques in the life, population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework. Ideal candidates will have specific expertise in cancer-related areas needed to address an institutional priority. Candidates should be at the career level of a full professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience as vital metrics for guiding CPRIT's investment in that person's originality, insight, and potential for continued contribution. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

Unless prohibited by policy, the institution is also expected to bestow on the newly recruited faculty member the prestigious title of "CPRIT Scholar in Cancer Research," and the faculty member should be strongly encouraged to use this title on letterhead, business cards, and other appropriate documents. The title is to be retained as long as the individual remains in Texas.

4. INSTITUTIONAL COMMITMENT

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of an Established Investigator should be complemented by a strong institutional commitment to the recruitment (see [section 8.2.2](#)). Under usual circumstances, the financial commitments made to the candidate by the recruiting institution should be equal to or exceed 50% of the proposed CPRIT award.

5. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6 million (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years, except under extraordinary circumstances with strong justification for a no cost extension. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified. **Funds from this award mechanism may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.** No annual limit on the number of potential award recipients has been set.

Note: Depending on the availability of funds, nominations submitted in response to this Request for Applications (RFA) during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31, 2018) or in the first quarter of the next fiscal year (starting September 1, 2018).

6. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made.

- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member.

- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

7. RESUBMISSION POLICY

Resubmissions will not be accepted for the Recruitment of Established Investigators award mechanism. Any nomination for the Recruitment of Established Investigators that was previously submitted to CPRIT and reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted.

Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (Nominator) must create a user

account in the system to start and submit an application. Furthermore, the Application Signing Official, who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Dependent upon available funding, applications will be accepted on a continuous basis throughout FY18. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. For details, please refer to the *Instructions for Applicants* document that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 6](#) will be administratively withdrawn without review.

8.2.1. Summary of Nomination (2,500 characters)

Provide a brief summary of the nomination. Include the candidate's name, organization from which the candidate is being recruited, and also the department and/or entity within the nominator's organization where the candidate will hold the faculty position.

8.2.2. Institutional Commitment (3 pages)

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of an Established Investigator Faculty should be complemented by a strong

institutional commitment to the recruitment. Under usual circumstances, the financial commitments made to the candidate by the recruiting institution should be equal to or exceed 50% of the proposed CPRIT award.

Note that Texas law allows an institution of higher learning to use a federal indirect cost rate credit to comply with the requirement to demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award (see [section 12](#)). However, a federal indirect cost rate credit should not be used to demonstrate an institutional commitment to the candidate.

The following guidelines for content should be used when outlining the institutional commitment:

1. Information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean.
2. The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas.
3. State the total award amount requested.
4. Include a brief job description for the candidate should recruitment be successful.
5. Clearly describe the institutional commitment to the candidate, including documentation of total salary, institutional salary support through the course of the CPRIT award, and additional support for the applicant's research program, endowment or other support, space, equipment, and all other agreements between the institution and the candidate.
6. This information may be provided as part of a paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

8.2.3. Letter of Support from Department Chair (1 page)

Provide the letter of support from and signed by the chair of the department to which the candidate is being recruited. The following information should be included in the letter:

Recruitment Activities: The letter should provide a description of the recruitment activities, strategies, and priorities that have led to the nomination of this candidate.

Caliber of Candidate: The letter should include a description of the caliber of the candidate and justification of nomination of the candidate by the institution.

Description of Candidate Duties and Certification of 70% Time Commitment to Research:

While scholars may engage in direct patient care activities and/or have some administrative or teaching duties, at least 70% of the candidate's time must be available for research. Breach of this requirement will constitute grounds for discontinuation of funding. The certification that 70% time will be spent on research must be included.

8.2.4. Curriculum Vitae (CV)

Provide a complete CV and list of publications for the candidate.

8.2.5. Summary of Goals and Objectives (2,000 characters)

List very broad goals and objectives to be achieved during this award. **This section must be completed by the candidate.**

8.2.6. Research (4 pages)

Summarize the key elements of the candidate's research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate.**

References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.**

"I understand that I do not need to have made a commitment to <nominating institution> before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. I understand that requests to change the recruiting institution during the recruitment process are inappropriate."

8.2.7. Publications

Provide the 5 most significant publications that have resulted from the candidate's research efforts. Publications should be uploaded as PDFs of full-text articles. Only articles that have been published or that have been accepted for publication ("in press") should be submitted.

8.2.8. Timeline (1 page)

Provide a general outline of anticipated major award outcomes to be tracked. Timelines will be reviewed during the evaluation of annual progress reports. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.9. Current and Pending Support

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

8.2.10. Research Environment (1 page)

Briefly describe the research environment available to support the candidate's research program, including core facilities, training programs, and collaborative opportunities.

8.2.11. Descriptive Biography (Up to 2 pages)

Provide a brief descriptive biography of the candidate, including his or her accomplishments, education and training, professional experience, awards and honors, publications relevant to cancer research, and a brief overview of the candidate's goals if selected to receive the award.

This section of the application must be prepared by the candidate. If the application is approved for funding, this section will be made publicly available on CPRIT's website.

Candidates are advised not to include information that they consider confidential or proprietary when preparing this section.

Applications that are missing 1 or more of these components; exceed the specified page, word, or budget limits; or do not meet the eligibility requirements listed above will be administratively withdrawn without review.

9. APPLICATION REVIEW

9.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will review applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment.

Applications recommended by the Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

The decision of the Scientific Review Council not to recommend an application is final, and such applications may not be resubmitted for a recruitment award. Notification of review decisions is sent to the nominator.

9.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Review Council members are non-Texas residents.

By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT's Administrative Rules, [chapter 703, section 703.9](#).

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee member, a PIC member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of the Department of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

9.3. Review Criteria

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from CPRIT and the host institution. It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

Review criteria will focus on the overall impression of the candidate, his/her proposed research program, and his/her long-term contribution to and impact on the field of cancer research.

Questions to be considered by the reviewers are as follows:

Quality of the Candidate: Has the candidate made significant, transformative, and sustained contributions to basic, translational, clinical, or population-based cancer research? Is the candidate an established and nationally and/or internationally recognized leader in the field? Has the candidate demonstrated excellence in leadership and teaching? Has the candidate provided mentorship, inspiration, and/or professional training opportunities to junior scientists and students? Does the candidate have a strong record of research funding? Does the candidate have a publication history in high-impact journals? Does the candidate show evidence of collaborative interaction with others?

Scientific Merit of Proposed Research: Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques? Does the research program integrate with and/or increase collaborative research efforts and relationships at the nominating institution?

Relevance of Candidate's Research: Is the proposed research likely to have a significant impact on reducing the burden of cancer in the near term? Does the research contribute to basic, translational, clinical, or population-based cancer research?

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate's research program? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on maintaining and enhancing his or her research program?

10. KEY DATES

RFA

RFA Release

June 21, 2017

Application Receipt and Review Timeline

Application Receipt System opens 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 21, 2017	Continuous – dependent upon available funding	Monthly by the 15 th day of the month	June 20, 2018

11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award.

CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov.

Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in [chapter 703, sections 703.10, 703.12](#).

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, [chapter 703, section 703.20](#).

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at www.cprit.texas.gov.

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules,

[chapter 703, section 703.11](#), for specific requirements regarding the demonstration of available funding.

13. CONTACT INFORMATION

13.1. Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff members are not in a position to answer questions regarding scientific aspects of applications.

Hours of operation: Monday through Friday, 8 AM to 6 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for Academic Research.

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports



Cancer Prevention and Research Institute of Texas (CPRIT) Academic Research Peer Review Observation Report

Report No. 2018-02-15_REC_18.6-7
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.6-7 (REC_18.6-7)

Panel Date: February 15, 2018
Report Date: February 15, 2018

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December 2016.

Introduction

The subject of this report is the CPRIT Academic Research – Recruitment Review Panel-18.6-7 (REC_18.6-7). The meeting was chaired by Richard Kolodner and conducted via teleconference on February 15, 2018.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Recruitment Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Recruitment – Peer Review panel discussion. CSRA, CPRIT’s contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Recruitment meeting:

- Six applications were discussed to score applicants for funding. One application was recommended for funding, the five remaining applications were not recommended for funding;
- Participants: Seven peer review panelists participated in the panel, which included the Panel Chair and six review panelists;
- Two CPRIT staff members and two CSRA employees participated in the meeting. One additional CSRA employee participated via electronic webinar in a technical support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists’ discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- One application reviewed had a COI. The reviewer with a conflict did not participate in the review of the conflicted application.

A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

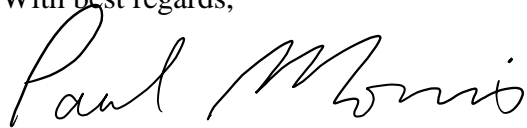
Conclusion

In conclusion; we observed that the activities of the Academic Research - Recruitment Peer Review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel’s discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,

A handwritten signature in black ink that reads "Paul Morris". The signature is written in a cursive, flowing style.

Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
February 15, 2018

cc: Vince Burgess, Chief Compliance Officer



Cancer Prevention and Research Institute of Texas (CPRIT) Academic Research Peer Review Observation Report

Report No. 2018-03-15_REC_18.8
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.8 (REC_18.8)

Panel Date: March 15, 2018
Report Date: March 15, 2018

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December, 2016.

Introduction

The subject of this report is the CPRIT Academic Research – Recruitment Review Panel-18.8 (REC_18.8). The meeting was chaired by Richard Kolodner and conducted via teleconference on March 15, 2018.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Recruitment Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Recruitment Peer Review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Recruitment meeting:

- Six out of seven applications were discussed to score applicants for funding; two were recommended for funding, four were not recommended for funding.
- Participants: five peer review panelists participated in the panel, which included the Panel Chair and four review panelists;
- One CPRIT staff member and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- One application reviewed had one COI. The reviewer with a conflict did not participate in the teleconference.

A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

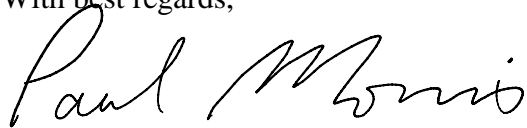
Conclusion

In conclusion; we observed that the activities of the Academic Research - Recruitment Peer Review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,

A handwritten signature in black ink that reads "Paul Morris". The signature is written in a cursive, flowing style.

Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
March 15, 2018

cc: Vince Burgess, Chief Compliance Officer



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research Peer Review Observation Report

Report No. 2018-04-19_REC_18.9
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.9 (REC_18.9)

Panel Date: April 19, 2018
Report Date: April 24, 2018

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December 2016.

Introduction

The subject of this report is the CPRIT Academic Research – Recruitment Review Panel-18.9 (REC_18.9). The meeting was chaired by Richard Kolodner and conducted via teleconference on April 19, 2018.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Recruitment – Peer Review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Recruitment meeting:

- Seven (7) applications were discussed; five (5) were recommended for funding, two were not recommended for funding.
- Participants: One (1) Panel Chair and six (6) review panelists;
- Two (2) CPRIT staff members and (2) CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

There was one (1) COI identified prior to or during the meeting. The COI was excluded from discussions concerning the application for which there was a conflict. A list of all attendees, a sign in log, and informational materials were provided by CSRA staff to aid in the observation of these objectives. A completed sign in log was provided following the meeting, to confirm all attendees and COIs.

Conclusion

In conclusion; we observed that the activities of the Academic Research - Recruitment Peer Review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,



I. Mara Ash, CIA, CGAP, CGFM, CRMA

CEO

Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment 18.6-.9 Applications
(Academic Research Recruitment Cycles 18.6-.9 Awards Announced at May 16, 2018,
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. Applications reviewed in Academic Research Recruitment Cycle 18.6-.9 include *Recruitment of Established Investigators*, *Recruitment of Rising Stars*, and *Recruitment of First-Time, Tenure-Track Faculty Members*. 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/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR180025	Mariano Garcia-Blanco	The University of Texas Medical Branch at Galveston	C. Prives
RR180029	Robert Hromas	The University of Texas Health Science Center at San Antonio	C. Prives
RR180034	Sterling Johnston	The University of Texas at Austin	A. Angelou
RR180046	Dwain Thiele	The University of Texas Southwestern Medical Center	R. O'Reilly
Applications not considered by the PIC or Oversight Committee			
No conflicts reported.			

* = Not discussed

De-Identified Overall Evaluation Scores

Recruitment of Established Investigators

Academic Research Recruitment Cycles 18.6-9

Application ID	Final Overall Evaluation Score
RR180025*	1.0
RR180029*	1.0
RR180040*	1.8
RR180044*	2.2
a	4.0

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

Ludwig Institute for
Cancer Research Ltd

Richard D. Kolodner
Ph.D.

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April 20, 2018

Mr. Will Montgomery
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to wsmcpnit@gmail.com

Mr. Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cpriti.texas.gov

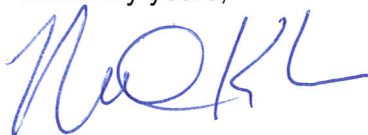
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on February 15, 2018 (REC Cycles 18.6 and 18.7), March 15, 2018 (REC Cycle 18.8) and April 19, 2018 (REC Cycle 18.9) to consider the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members. Requests for applications for Recruitment Cycles REC 18.6, 18.7, 18.8 and 18.9.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$29,986,494

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR180025	Sheetz, Michael	REI	The University of Texas Medical Branch at Galveston	\$6,000,000	1.0
2	RR180029	Sung, Patrick	REI	The University of Texas Health Science Center at San Antonio	\$6,000,000	1.0
3	RR180035	Shen, John	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.3
4	RR180046	Chung, Stephen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.6
5	RR180040	Xiao, Xinshu	REI	Baylor College of Medicine	\$4,000,000	1.8
6	RR180044	Yi, Qing	REI	The Methodist Hospital Research Institute	\$5,986,494	2.2
7	RR180034	Powers, John	RFTFM	The University of Texas at Austin	\$2,000,000	2.2
8	RR180041	Musah, Samira	RFTFM	Rice University	\$2,000,000	2.3

REI: Recruitment of Established Investigators

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycles 6-9
*Recruitment of First-Time, Tenure-Track
Faculty Members*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-18.1-RFT

**Recruitment of First-Time
Tenure-Track Faculty Members**

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2017**

Application Receipt Dates:

June 21, 2017-June 20, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 6/21/17 RFA release

1. ABOUT CPRIT

The State of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or 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 the State of Texas; and
- Develop and implement the Texas Cancer Plan.

1.1. Academic Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency with regard to how the Oversight Committee directs the orientation of the agency's funding portfolio.

Established Principles:

- Scientific excellence and impact on cancer
- Targeting underfunded areas
- Increasing the life sciences infrastructure

The program priorities for academic research adopted by the Oversight Committee include funding projects that address the following:

- Recruitment of outstanding cancer researchers to Texas
- Investment in core facilities
- A broad range of innovative, investigator-initiated research projects
- Prevention and early detection
- Computational biology and analytic methods
- Childhood cancers

- Population disparities and cancers of importance in Texas (lung, liver, cervix cancers)

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract very promising investigators who are pursuing their first faculty appointment at the level of assistant professor (first-time, tenure-track faculty members). These individuals must have demonstrated academic excellence, innovation during predoctoral and/or postdoctoral research training, commitment to pursuing cancer research, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research. Awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the State of Texas.

The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection, Computational Biology and Analytic Methods, Childhood Cancers, Population Disparities, and Cancers of Particular Importance in Texas (lung, liver, and cervix cancers).

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the State of Texas. All candidates are expected to have completed their doctoral and fellowship training and to have clearly demonstrated truly superior ability as evidenced by their accomplishments during training, proposed research plan, publication record, and letters of recommendation. This CPRIT-supported initiative is designed to enhance innovative programs of excellence by providing research support for promising, early-stage investigators **seeking their first tenure-track position.**

CPRIT will provide start-up funding for newly independent investigators, with the goal of augmenting and expanding the institution's efforts in cancer research. Candidates will be expected to develop research projects within the sponsoring institution. Projects should be

appropriate for a newly independent investigator and should foster the development of preliminary data that can be used to prepare applications for future independent research project grants to further both the investigator's research career and the CPRIT mission. The institution will be expected to work with each newly recruited research faculty member to design and execute a faculty career development plan consistent with his or her research emphasis. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

Unless prohibited by policy, the institution is also expected to bestow on the newly recruited faculty member the prestigious title of "CPRIT Scholar in Cancer Research," and the faculty member should be strongly encouraged to use this title on letterhead, business cards, and other appropriate documents. The title is to be retained as long as the individual remains in Texas.

4. INSTITUTIONAL COMMITMENT

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of a First-Time Tenure-Track Faculty should therefore be complemented by a strong institutional commitment to the candidate's career development that includes financial commitments that are in addition to the CPRIT award. The institutional commitment should be clearly documented in the application (see [section 8.2.2](#)) and include the amount and sources of salary support and all additional financial support that will be available to the candidate's research program through the course of the CPRIT award. Under usual circumstances, the financial commitments made to the candidate for his or her research program by the recruiting institution should be equal to or exceed 50% of the proposed CPRIT award.

5. FUNDING INFORMATION

This is a 5-year award and is not renewable, although individuals may apply for other future CPRIT funding as appropriate. Grant funds of up to \$2,000,000 (total costs) for the 5-year period may be requested. Funding is to be used by the candidate to support his or her research program. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of

funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

Funds from this CPRIT award may not be used for salary support of this candidate or to construct or renovate laboratory space. No annual limit on the number of potential award recipients has been set.

Note: Depending on the availability of funds, nominations submitted in response to this Request for Applications (RFA) during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31, 2018) or in the first quarter of the next fiscal year (starting September 1, 2018).

6. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position as assistant professor tenure track at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating

institution of the Scientific Review Council's review decision following the Scientific Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.

- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate must not hold an appointment at the rank of assistant professor or above (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. Candidates holding non-tenure-track appointments at the rank of assistant professor are not eligible for this award. Examples of such appointments include research assistant professor, adjunct research assistant professor, assistant professor (non-tenure track). The candidate may or may not reside in Texas at the time the application is submitted and may be nominated for a faculty position at the Texas institution where he or she is completing postdoctoral training.
- Successful candidates will be offered tenure-track academic positions at the rank of assistant professor.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member.

- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

7. RESUBMISSION POLICY

Resubmissions will not be accepted for the Recruitment of First-Time, Tenure-Track Faculty Members award mechanism. Any nomination for the Recruitment of First-Time, Tenure-Track Faculty Members that was previously submitted to CPRIT and reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted. Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (Nominator) must create a user account in the system

to start and submit an application. Furthermore, the Application Signing Official, who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout FY18. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. For details, please refer to the *Instructions for Applicants* document that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 6](#) will be administratively withdrawn without review.

8.2.1. Summary of Nomination (2,000 characters)

Provide a brief summary of the nomination. Include the candidate's name, organization from which the candidate is being recruited, and also the department and/or entity within the nominator's organization where the candidate will hold the faculty position.

8.2.2. Institutional Commitment (3 pages)

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of a First-Time Tenure-Track Faculty should therefore be complemented by a

strong institutional commitment to the candidate's career development that includes financial commitments that are in addition to the CPRIT award.

The institutional commitment should be clearly documented in the application in the form of a letter signed by the applicant institution's president, provost, or appropriate dean and include the amount and sources of salary support and all additional financial support that will be available to the candidate's research program through the course of the CPRIT award. Under usual circumstances, the financial commitments made to the candidate by the recruiting institution should be equal to or exceed 50% of the proposed CPRIT award.

The following guidelines should be used when documenting the institutional commitment in the letter signed by the applicant institution's president, provost, or appropriate dean.

1. Demonstrate the organization's commitment to bringing the candidate to Texas.
2. State the total award amount requested.
3. Include a brief job description for the candidate should recruitment be successful.
4. Clearly describe the institutional commitment to the candidate including total salary and fringe benefits and sources of salary support through the course of the CPRIT award; additional financial support for the applicant's research program including dedicated personnel, access to students, amounts for equipment and supplies; space assignment and access to shared equipment; and all other agreements between the institution and the candidate.
5. This information may be provided as part of a paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

Note that Texas law allows an institution of higher learning to use a federal indirect cost rate credit to comply with the requirement to demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award (see [section 12](#)). However, a federal indirect cost rate credit should not be used to demonstrate an institutional commitment to the candidate.

8.2.3. Letter of Support from Department Chair (1 page)

Provide the letter of support from and signed by the chair of the department to which the candidate is being recruited. The following information should be included in the letter:

Recruitment Activities: The letter should provide a description of the recruitment activities, strategies, and priorities that have led to the nomination of this candidate.

Caliber of Candidate: The letter should include a description of the caliber of the candidate and justification of the nomination of the candidate by the institution.

Description of Candidate Duties and Certification of 70% Time Commitment to Research:

While scholars may engage in direct patient care activities and/or have some administrative or teaching duties, at least 70% of the candidate's time must be available for research. Breach of this requirement will constitute grounds for discontinuation of funding. The certification that 70% time will be spent on research must be included.

The letter of support from the department chair must also do the following:

1. Describe how the candidate will be independent and autonomous in developing his or her research program at the institution;
2. Present a plan for mentoring that includes the design and execution of a faculty career development plan for the candidate.

8.2.4. Curriculum Vitae (CV)

Provide a complete CV and list of publications for the candidate. Only articles that have been published or that have been accepted for publication ("in press") should be cited.

8.2.5. Summary of Goals and Objectives (2,000 characters)

List very broad goals and objectives to be achieved during this award. **This section must be completed by the candidate.**

8.2.6. Research (4 pages)

Summarize the key elements of the candidate's research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the

innovative aspects of this effort and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate. References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.**

“I understand that I do not need to have made a commitment to *<nominating institution>* before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. I understand that requests to change the recruiting institution during the recruitment process are inappropriate.”

8.2.7. Publications

Provide the 3 most significant publications that have resulted from the candidate’s research efforts. Publications should be uploaded as PDFs of full-text articles. Only articles that have been published or that have been accepted for publication (“in press”) should be submitted.

8.2.8. Timeline (1 page)

Provide a general outline of anticipated major award outcomes to be tracked. Timelines will be reviewed during the evaluation of annual progress reports. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.9. Current and Pending Support

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

8.2.10. Letters of Recommendation

Provide 3 letters of recommendation from individuals who are in a position to detail the candidate's academic and scientific research accomplishments, potential for high-impact research, and ability to make a significant contribution to the field of cancer research.

8.2.11. Research Environment (1 page)

Clearly and concisely describe the research environment available to support the candidate's research program, including core facilities, training programs, and collaborative opportunities.

8.2.12. Descriptive Biography (Up to 2 pages)

Provide a brief descriptive biography of the candidate, including his or her accomplishments, education and training, professional experience, awards and honors, publications relevant to cancer research, and a brief overview of the candidate's goals if selected to receive the award.

This section of the application must be prepared by the candidate. If the application is approved for funding, this section will be made publicly available on CPRIT's website.

Candidates are advised not to include information that they consider confidential or proprietary when preparing this section.

Applications that are missing 1 or more of these components; exceed the specified page, word, or budget limits; or do not meet the eligibility requirements listed above will be administratively withdrawn without review.

9. APPLICATION REVIEW

9.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will review applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment.

Applications recommended by the Council will be forwarded to the CPRIT Program Integration

Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

The decision of the Scientific Review Council not to recommend an application is final, and such applications may not be resubmitted for a recruitment award. Notification of review decisions is sent to the nominator.

9.1.1. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Review Council members are non-Texas residents.

By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT's Administrative Rules, [chapter 703, section 703.9](#).

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an

Oversight Committee member, a PIC member, or a Scientific Review Council member.

Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of the Department of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

9.2. Review Criteria

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. **Also of critical importance is the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from both CPRIT and the host institution.**

It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have reasonable expectation that the recruitment will be successful if an award is granted by CPRIT.

Review criteria will focus on the overall impression of the candidate, his or her proposed research program, and his or her long-term contribution to and impact on the field of cancer research. Questions to be considered by the reviewers are as follows:

Quality of the Candidate: Has the candidate demonstrated academic excellence? Has the candidate received excellent predoctoral and postdoctoral training? Does the candidate show exceptional potential for achieving future impact on basic, translational, clinical, or population-based cancer research in the future? Has the candidate demonstrated a commitment to cancer research? Has the candidate demonstrated independence or the potential for independence?

Scientific Merit of Proposed Research: Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it have a significant impact on the field of cancer research? Will the proposed research generate preliminary data that can be used for the preparation of applications for future independent research project grants?

Relevance of Candidate's Research: Is the proposed research likely to have a significant impact on reducing the burden of cancer in the near term? Does the research contribute to basic, translational, clinical, or population-based cancer research?

Letters of Recommendation: Do the letters of recommendation detail the candidate's academic and clinical research accomplishments, potential for high-impact research, and ability to make a significant contribution to the field of cancer research?

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate’s research? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on growing his or her research? Has the institution identified a mentor who will design and execute a faculty career development plan for the candidate?

10. KEY DATES

RFA

RFA Release June 21, 2017

Application Receipt and Review Timeline

Application Receipt System opens 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 21, 2017	Continuous	Monthly by the 15 th day of the month	June 20, 2018

11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT’s electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT’s electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT’s Administrative Rules, which are available at www.cpritis.texas.gov.

Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in [chapter 703, sections 703.10, 703.12](#).

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, [chapter 703, section 703.20](#).

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at www.cprit.texas.gov.

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements regarding the demonstration of available funding.

13. CONTACT INFORMATION

13.1. Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff members are not in a position to answer questions regarding scientific aspects of applications.

Hours of operation: Monday through Friday, 8 AM to 6 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for Academic Research.

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports



Cancer Prevention and Research Institute of Texas (CPRIT) Academic Research Peer Review Observation Report

Report No. 2018-02-15_REC_18.6-7
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.6-7 (REC_18.6-7)

Panel Date: February 15, 2018
Report Date: February 15, 2018

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December 2016.

Introduction

The subject of this report is the CPRIT Academic Research – Recruitment Review Panel-18.6-7 (REC_18.6-7). The meeting was chaired by Richard Kolodner and conducted via teleconference on February 15, 2018.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Recruitment Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Recruitment – Peer Review panel discussion. CSRA, CPRIT’s contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Recruitment meeting:

- Six applications were discussed to score applicants for funding. One application was recommended for funding, the five remaining applications were not recommended for funding;
- Participants: Seven peer review panelists participated in the panel, which included the Panel Chair and six review panelists;
- Two CPRIT staff members and two CSRA employees participated in the meeting. One additional CSRA employee participated via electronic webinar in a technical support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists’ discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- One application reviewed had a COI. The reviewer with a conflict did not participate in the review of the conflicted application.

A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

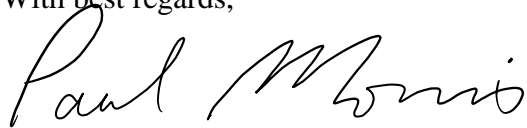
Conclusion

In conclusion; we observed that the activities of the Academic Research - Recruitment Peer Review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel’s discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,

A handwritten signature in black ink that reads "Paul Morris". The signature is fluid and cursive, with the first name "Paul" and last name "Morris" clearly distinguishable.

Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
February 15, 2018

cc: Vince Burgess, Chief Compliance Officer



Cancer Prevention and Research Institute of Texas (CPRIT) Academic Research Peer Review Observation Report

Report No. 2018-03-15_REC_18.8
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.8 (REC_18.8)

Panel Date: March 15, 2018
Report Date: March 15, 2018

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December, 2016.

Introduction

The subject of this report is the CPRIT Academic Research – Recruitment Review Panel-18.8 (REC_18.8). The meeting was chaired by Richard Kolodner and conducted via teleconference on March 15, 2018.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Recruitment Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Recruitment Peer Review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Recruitment meeting:

- Six out of seven applications were discussed to score applicants for funding; two were recommended for funding, four were not recommended for funding.
- Participants: five peer review panelists participated in the panel, which included the Panel Chair and four review panelists;
- One CPRIT staff member and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- One application reviewed had one COI. The reviewer with a conflict did not participate in the teleconference.

A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

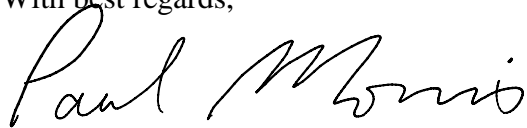
Conclusion

In conclusion; we observed that the activities of the Academic Research - Recruitment Peer Review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,

A handwritten signature in black ink that reads "Paul Morris". The signature is fluid and cursive, with the first name "Paul" and last name "Morris" clearly distinguishable.

Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
March 15, 2018

cc: Vince Burgess, Chief Compliance Officer



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research Peer Review Observation Report

Report No. 2018-04-19_REC_18.9
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.9 (REC_18.9)

Panel Date: April 19, 2018
Report Date: April 24, 2018

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December 2016.

Introduction

The subject of this report is the CPRIT Academic Research – Recruitment Review Panel-18.9 (REC_18.9). The meeting was chaired by Richard Kolodner and conducted via teleconference on April 19, 2018.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Recruitment – Peer Review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Recruitment meeting:

- Seven (7) applications were discussed; five (5) were recommended for funding, two were not recommended for funding.
- Participants: One (1) Panel Chair and six (6) review panelists;
- Two (2) CPRIT staff members and (2) CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

There was one (1) COI identified prior to or during the meeting. The COI was excluded from discussions concerning the application for which there was a conflict. A list of all attendees, a sign in log, and informational materials were provided by CSRA staff to aid in the observation of these objectives. A completed sign in log was provided following the meeting, to confirm all attendees and COIs.

Conclusion

In conclusion; we observed that the activities of the Academic Research - Recruitment Peer Review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,



I. Mara Ash, CIA, CGAP, CGFM, CRMA

CEO

Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment 18.6-.9 Applications
(Academic Research Recruitment Cycles 18.6-.9 Awards Announced at May 16, 2018,
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. Applications reviewed in Academic Research Recruitment Cycle 18.6-.9 include *Recruitment of Established Investigators*, *Recruitment of Rising Stars*, and *Recruitment of First-Time, Tenure-Track Faculty Members*. 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/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR180025	Mariano Garcia-Blanco	The University of Texas Medical Branch at Galveston	C. Prives
RR180029	Robert Hromas	The University of Texas Health Science Center at San Antonio	C. Prives
RR180034	Sterling Johnston	The University of Texas at Austin	A. Angelou
RR180046	Dwain Thiele	The University of Texas Southwestern Medical Center	R. O'Reilly
Applications not considered by the PIC or Oversight Committee			
No conflicts reported.			

* = Not discussed

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycles 18.6-9

Application ID	Final Overall Evaluation Score
RR180035*	1.3
RR180046*	1.6
RR180034*	2.2
RR180041*	2.3
B	3.0
C	3.0
D	3.0
E	3.4
F	4.0
G	4.0
H	4.5
I	4.5

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

Ludwig Institute for
Cancer Research Ltd

Richard D. Kolodner
Ph.D.

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

rkolodner@ucsd.edu

San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC 0669
La Jolla, CA 92093-0669

T 858 534 7804
F 858 534 7750

April 20, 2018

Mr. Will Montgomery
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to wsmcpnit@gmail.com

Mr. Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cpriti.texas.gov

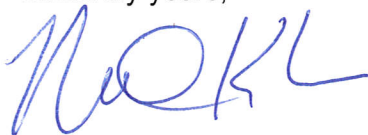
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on February 15, 2018 (REC Cycles 18.6 and 18.7), March 15, 2018 (REC Cycle 18.8) and April 19, 2018 (REC Cycle 18.9) to consider the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members. Requests for applications for Recruitment Cycles REC 18.6, 18.7, 18.8 and 18.9.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$29,986,494

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR180025	Sheetz, Michael	REI	The University of Texas Medical Branch at Galveston	\$6,000,000	1.0
2	RR180029	Sung, Patrick	REI	The University of Texas Health Science Center at San Antonio	\$6,000,000	1.0
3	RR180035	Shen, John	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.3
4	RR180046	Chung, Stephen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.6
5	RR180040	Xiao, Xinshu	REI	Baylor College of Medicine	\$4,000,000	1.8
6	RR180044	Yi, Qing	REI	The Methodist Hospital Research Institute	\$5,986,494	2.2
7	RR180034	Powers, John	RFTFM	The University of Texas at Austin	\$2,000,000	2.2
8	RR180041	Musah, Samira	RFTFM	Rice University	\$2,000,000	2.3

REI: Recruitment of Established Investigators

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180110
Dissemination of CPRIT-Funded Control Intervention

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Dissemination of CPRIT-Funded Control Intervention* Request for Applications (RFA). CPRIT received one application in response to this RFA in cycle 18.3. This application was assigned to the Prevention Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2018: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

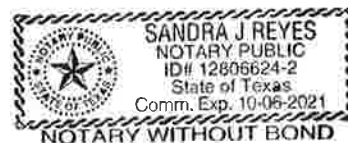
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 3
PROGRAM Prevention
AWARD MECHANISM Dissemination of CPRIT-Funded Cancer Control Interventions (DI)
APPLICATION ID PP180110
APPLICATION TITLE Training CHWs to disseminate culturally competent, family health history-based cancer prevention and navigation services among Chinese Americans
APPLICANT NAME Chen, Lei-Shih
ORGANIZATION Texas A&M University
PANEL NAME 18.3 Prevention DI (18.3 DI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CPO	06/05/17 (initial) 7/26/17 (revised) 10/18/17 (revised)	04/23/18
	RFA published in Texas.gov eGrants	10/27/17	04/23/18
	CPRIT Application Receipt Cycle opened	12/06/18	04/09/18
	CPRIT Application Receipt Cycle closed	03/06/18	04/09/18
	Date application submitted	03/06/18	04/09/18
	Method of submission	CARS	04/09/18
	Within receipt period	YES	04/09/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/09/18
	Donation(s) made to CPRIT/foundation	NO	04/09/18
	Assigned to primary reviewers	03/19/18	04/09/18
	Applicant notified of review panel assignment	N/A	04/09/18
	Primary Reviewer 1 COI signed	03/19/18	04/09/18
	Primary (Advocate) Reviewer 2 COI signed	03/09/18	04/09/18
	Primary Reviewer 3 COI signed	03/13/18	04/09/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	03/27/18	04/09/18
	Primary (Advocate) Reviewer 2 critique submitted	03/20/18	04/09/18
	Primary Reviewer 3 critique submitted	N/A	04/09/18
	COI indicated by non-primary reviewer	NONE	04/09/18
	COI recused from participation	N/A	04/09/18
	Discussed at Peer Review Meeting	YES	04/09/18
	Peer Review Meeting	04/03/18	04/09/18
	Post review statements signed	04/03/18	04/09/18
	Third Party Observer Report	04/04/18	04/09/18
	Score report delivered to CPO	04/03/18	04/09/18
4. Final PRC Recommendation	Recommended for PRC Review	YES	04/09/18
	COI indicated by PRC member	NONE	04/09/18
	COI recused from participation	N/A	04/09/18
	PRC Meeting	04/03/18	04/09/18
	Third Party Observer Report	04/04/18	04/09/18
	Recommended for grant award	YES	04/09/18
5. PIC Review	PRC Chair Notification to PIC and OC	04/13/18	04/23/18
	COI indicated by PIC member	NONE	04/30/18
	COI recused from participation	N/A	04/30/18
	PIC review meeting	04/30/18	04/30/18
6. Oversight Committee Approval	Recommended for grant award	YES	04/30/18
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/16/18	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180025
Recruitment of Established Investigators
Nomination of Michael Sheetz, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received five applications for cycles 18.6 through 18.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.


CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2018: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 7
PROGRAM Academic Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR180025

APPLICATION TITLE Nomination of Dr. Michael P. Sheetz for a Cancer Prevention and Research Institute of Texas (CPRIT) Award - Recruitment of Established Investigators R-18.1-REI

NOMINATOR NAME Garcia-Blanco, Mariano
CANDIDATE NAME Sheetz, Michael P.
ORGANIZATION The University of Texas Medical Branch at Galveston
PANEL NAME Recruitment FY18 Cycle 7 (REC 18.7)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/18/17	04/23/18
	RFA published in Texas.gov eGrants	06/14/17	04/23/18
	CPRIT Application Receipt Cycle opened	12/21/17	03/30/18
	CPRIT Application Receipt Cycle closed	01/22/18	03/30/18
	Date application submitted	01/19/18	03/30/18
	Method of submission	CARS	03/30/18
	Within receipt period	YES	03/30/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	03/30/18
	Donation(s) made to CPRIT/foundation	NO	03/30/18
	Assigned to primary reviewers	02/02/18	03/30/18
	Applicant notified of review panel assignment	N/A	03/30/18
	Primary Reviewer 1 COI signed	01/30/18	03/30/18
	Primary Reviewer 2 COI signed	01/28/18	03/30/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	02/12/18	03/30/18
	Primary Reviewer 2 critique submitted	02/20/18	03/30/18
	COI indicated by non-primary reviewer	Carol Prives	03/30/18
	COI recused from participation	YES	03/30/18
	Discussed at Peer Review Meeting	YES	03/30/18
	Peer Review Meeting	02/15/18	03/30/18
	Post review statements signed	02/15/18	03/30/18
	Third Party Observer Report	02/15/18	03/30/18
	Score report delivered to CSO	03/01/18	03/30/18
	Recommended for SRC Review	YES	03/30/18
4. Final SRC Recommendation	COI indicated by SRC member	Carol Prives	03/30/18
	COI recused from participation	YES	03/30/18
	SRC Meeting	02/15/18	03/30/18
	Third Party Observer Report	02/15/18	03/30/18
	Recommended for grant award	YES	03/30/18
	SRC Chair Notification to PIC and OC	04/23/18	04/23/18
5. PIC Review	Candidate not accepted position prior to SRC date	YES	04/20/18
	COI indicated by PIC member	NONE	04/30/18
	COI recused from participation	N/A	04/30/18
	PIC review meeting	04/30/18	04/30/18
	Recommended for grant award	YES	04/30/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/16/18	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180029
Recruitment of Established Investigators
Nomination of Dr. Patrick Sung

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received five applications for cycles 18.6 through 18.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.


CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2018: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



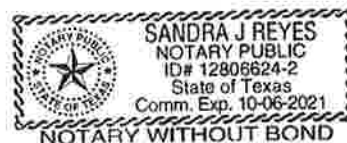
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR180029
APPLICATION TITLE Recruitment of Patrick Sung, Established Investigator
NOMINATOR NAME Hromas, Robert
CANDIDATE NAME Sung, Patrick
ORGANIZATION The University of Texas Health Science Center at San Antonio
PANEL NAME Recruitment FY18 Cycle 8 (REC 18.8)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/18/17	04/23/18
	RFA published in Texas.gov eGrants	06/14/17	04/23/18
	CPRIT Application Receipt Cycle opened	01/23/18	03/30/18
	CPRIT Application Receipt Cycle closed	02/20/18	03/30/18
	Date application submitted	02/20/18	03/30/18
	Method of submission	CARS	03/30/18
	Within receipt period	YES	03/30/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	03/30/18
	Donation(s) made to CPRIT/foundation	NO	03/30/18
	Assigned to primary reviewers	03/02/18	03/30/18
	Applicant notified of review panel assignment	N/A	03/30/18
	Primary Reviewer 1 COI signed	02/23/18	03/30/18
	Primary Reviewer 2 COI signed	02/27/18	03/30/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	03/13/18	03/30/18
	Primary Reviewer 2 critique submitted	03/07/18	03/30/18
	COI indicated by non-primary reviewer	Carol Prives	03/30/18
	COI recused from participation	YES	03/30/18
	Discussed at Peer Review Meeting	YES	03/30/18
	Peer Review Meeting	03/15/18	03/30/18
	Post review statements signed	03/15/18	03/30/18
	Third Party Observer Report	03/15/18	03/30/18
	Score report delivered to CSO	03/26/18	03/30/18
	Recommended for SRC Review	YES	03/30/18
4. Final SRC Recommendation	COI indicated by SRC member	Carol Prives	03/30/18
	COI recused from participation	YES	03/30/18
	SRC Meeting	03/15/18	03/30/18
	Third Party Observer Report	03/15/18	03/30/18
	Recommended for grant award	YES	03/30/18
	SRC Chair Notification to PIC and OC	04/23/18	04/23/18
5. PIC Review	Candidate not accepted position prior to SRC date	YES	04/20/18
	COI indicated by PIC member	NONE	04/30/18
	COI recused from participation	N/A	04/30/18
	PIC review meeting	04/30/18	04/30/18
	Recommended for grant award	YES	04/30/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/16/18	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180034
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of John Powers, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 12 applications for cycles 18.6 through 18.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.


CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2018: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

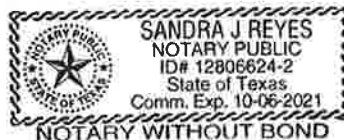
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Tenure-Track Faculty Members
APPLICATION ID RR180034
APPLICATION TITLE Recruitment of Dr. John Powers to the Dell Medical School
 Department of Pediatrics
NOMINATOR NAME Sterling Johnston
CANDIDATE NAME Powers, John
ORGANIZATION The University of Texas at Austin
PANEL NAME Recruitment FY18 Cycle 9 (REC 18.9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/15/17	04/24/18
	RFA published in Texas.gov eGrants	06/14/17	04/24/18
	CPRIT Application Receipt Cycle opened	02/21/18	04/24/18
	CPRIT Application Receipt Cycle closed	03/20/18	04/24/18
	Date application submitted	03/20/18	04/24/18
	Method of submission	CARS	04/24/18
	Within receipt period	YES	04/24/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/24/18
	Donation(s) made to CPRIT/foundation	NO	04/24/18
	Assigned to primary reviewers	04/03/18	04/24/18
	Applicant notified of review panel assignment	N/A	04/24/18
	Primary Reviewer 1 COI signed	03/29/18	04/24/18
	Primary Reviewer 2 COI signed	03/25/18	04/24/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	04/18/18	04/24/18
	Primary Reviewer 2 critique submitted	04/18/18	04/24/18
	COI indicated by non-primary reviewer	NONE	04/24/18
	COI recused from participation	N/A	04/24/18
	Discussed at Peer Review Meeting	YES	04/24/18
	Peer Review Meeting	04/19/18	04/24/18
	Post review statements signed	04/20/18	04/24/18
	Third Party Observer Report	24-Apr	04/30/18
	Score report delivered to CSO	04/23/18	04/24/18
4. Final SRC Recommendation	Recommended for SRC Review	YES	04/24/18
	COI indicated by SRC member	NONE	04/24/18
	COI recused from participation	N/A	04/24/18
	SRC Meeting	04/19/18	04/24/18
	Third Party Observer Report	04/24/18	04/30/18
	Recommended for grant award	YES	04/24/18
5. PIC Review	SRC Chair Notification to PIC and OC	04/23/18	04/24/18
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	04/24/18
	COI indicated by PIC member	NONE	04/30/18
	COI recused from participation	N/A	04/30/18
	PIC review meeting	04/30/18	04/30/18
6. Oversight Committee Approval	Recommended for grant award	YES	04/30/18
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/16/18	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180035
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of John Shen, M.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

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- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2018: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

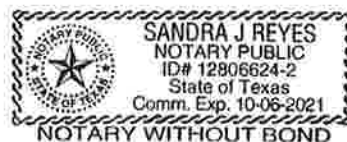
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Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Tenure-Track Faculty Members (RFTFM)
APPLICATION ID RR180035
APPLICATION TITLE Recruitment of First-Time, Tenure-Track Faculty Members- John P. Shen, M.D.
NOMINATOR NAME Draetta, Giulio
CANDIDATE NAME Shen, John P.
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME Recruitment FY18 Cycle 8 (REC 18.8)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/15/17	04/23/18
	RFA published in Texas.gov eGrants	06/14/17	04/23/18
	CPRIT Application Receipt Cycle opened	01/23/18	03/30/18
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	Date application submitted	02/20/18	03/30/18
	Method of submission	CARS	03/30/18
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2. Receipt, Referral, and Assignment	Administrative review notification	N/A	03/30/18
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	COI recused from participation	N/A	03/30/18
	Discussed at Peer Review Meeting	YES	03/30/18
	Peer Review Meeting	03/15/18	03/30/18
	Post review statements signed	03/15/18	03/30/18
	Third Party Observer Report	03/15/18	03/30/18
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	Recommended for SRC Review	YES	03/30/18
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	COI recused from participation	N/A	04/30/18
	PIC review meeting	04/30/18	04/30/18
	Recommended for grant award	YES	04/30/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/16/18	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180040
Recruitment of Established Investigators
Nomination of Xinshu Xiao, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

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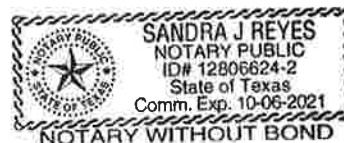
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


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CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of Established Investigators
APPLICATION ID RR180040
APPLICATION TITLE Established Investigator: Xinshu (Grace) Xiao, Ph.D.
NOMINATOR NAME Adam Kuspa
CANDIDATE NAME Xiao, Xinshu (Grace)
ORGANIZATION Baylor College of Medicine
PANEL NAME Recruitment FY18 Cycle 9 (REC 18.9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/18/17	04/24/18
	RFA published in Texas.gov eGrants	06/14/17	04/24/18
	CPRIT Application Receipt Cycle opened	02/21/18	04/24/18
	CPRIT Application Receipt Cycle closed	03/20/18	04/24/18
	Date application submitted	03/19/18	04/24/18
	Method of submission	CARS	04/24/18
	Within receipt period	YES	04/24/18
2. Receipt, Referral, and Assignment	Administrative review notification	03/27/18	04/24/18
	Donation(s) made to CPRIT/foundation	NO	04/24/18
	Assigned to primary reviewers	04/03/18	04/24/18
	Applicant notified of review panel assignment	N/A	04/24/18
	Primary Reviewer 1 COI signed	03/23/18	04/24/18
	Primary Reviewer 2 COI signed	03/24/18	04/24/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	04/05/18	04/24/18
	Primary Reviewer 2 critique submitted	04/09/18	04/24/18
	COI indicated by non-primary reviewer	NONE	04/24/18
	COI recused from participation	N/A	04/24/18
	Discussed at Peer Review Meeting	YES	04/24/18
	Peer Review Meeting	04/19/18	04/24/18
	Post review statements signed	04/20/18	04/24/18
	Third Party Observer Report	4/24/2018	04/30/18
	Score report delivered to CSO	04/23/18	04/24/18
4. Final SRC Recommendation	Recommended for SRC Review	YES	04/24/18
	COI indicated by SRC member	NONE	04/24/18
	COI recused from participation	N/A	04/24/18
	SRC Meeting	04/19/18	04/24/18
	Third Party Observer Report	04/24/18	04/30/18
	Recommended for grant award	YES	04/24/18
5. PIC Review	SRC Chair Notification to PIC and OC	04/23/18	04/24/18
	Candidate not accepted position prior to SRC date	YES	04/24/18
	COI indicated by PIC member	NONE	04/30/18
	COI recused from participation	N/A	04/30/18
	PIC review meeting	04/30/18	04/30/18
6. Oversight Committee Approval	Recommended for grant award	YES	04/30/18
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/16/18	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180041
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Samira Musah, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 12 applications for cycles 18.6 through 18.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2018: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



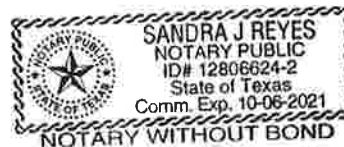
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Tenure-Track Faculty Members
APPLICATION ID RR180041
APPLICATION TITLE Recruitment of First-Time, Tenure-Track Faculty Member - Dr. Samira Musah
NOMINATOR NAME Reginald DesRoches
CANDIDATE NAME Musah, Samira
ORGANIZATION Rice University
PANEL NAME Recruitment FY18 Cycle 9 (REC 18.9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/15/17	04/24/18
	RFA published in Texas.gov eGrants	06/14/17	04/24/18
	CPRIT Application Receipt Cycle opened	02/21/18	04/24/18
	CPRIT Application Receipt Cycle closed	03/20/18	04/24/18
	Date application submitted	03/20/18	04/24/18
	Method of submission	CARS	04/24/18
	Within receipt period	YES	04/24/18
2. Receipt, Referral, and Assignment	Administrative review notification	03/27/18	04/24/18
	Donation(s) made to CPRIT/foundation	NO	04/24/18
	Assigned to primary reviewers	04/03/18	04/24/18
	Applicant notified of review panel assignment	N/A	04/24/18
	Primary Reviewer 1 COI signed	03/26/18	04/24/18
	Primary Reviewer 2 COI signed	03/26/18	04/24/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	04/17/18	04/24/18
	Primary Reviewer 2 critique submitted	04/16/18	04/24/18
	COI indicated by non-primary reviewer	NONE	04/24/18
	COI recused from participation	N/A	04/24/18
	Discussed at Peer Review Meeting	YES	04/24/18
	Peer Review Meeting	04/19/18	04/24/18
	Post review statements signed	04/20/18	04/24/18
	Third Party Observer Report	4/24/2018	04/30/18
4. Final SRC Recommendation	Score report delivered to CSO	04/23/18	04/24/18
	Recommended for SRC Review	YES	04/24/18
	COI indicated by SRC member	NONE	04/24/18
	COI recused from participation	N/A	04/24/18
	SRC Meeting	04/19/18	04/24/18
	Third Party Observer Report	04/24/18	04/30/18
5. PIC Review	Recommended for grant award	YES	04/24/18
	SRC Chair Notification to PIC and OC	04/23/18	04/24/18
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	04/24/18
	COI indicated by PIC member	NONE	04/30/18
	COI recused from participation	N/A	04/30/18
6. Oversight Committee Approval	PIC review meeting	04/30/18	04/30/18
	Recommended for grant award	YES	04/30/18
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/16/18	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180044
Recruitment of Established Investigators
Nomination of Qing Yi, M.D., Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received five applications for cycles 18.6 through 18.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.


CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

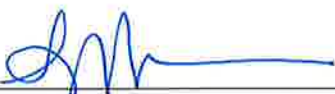
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2018: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

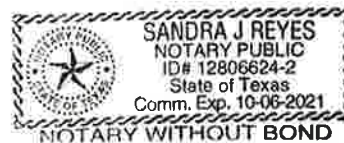
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of Established Investigators
APPLICATION ID RR180044
APPLICATION TITLE CPRIT Recruitment of Established Investigators: Qing Yi, MD, PhD
NOMINATOR NAME Mauro Ferrari
CANDIDATE NAME Yi, Qing
ORGANIZATION The Methodist Hospital Research Institute
PANEL NAME Recruitment FY18 Cycle 9 (REC 18.9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/18/17	04/24/18
	RFA published in Texas.gov eGrants	06/14/17	04/24/18
	CPRIT Application Receipt Cycle opened	02/21/18	04/24/18
	CPRIT Application Receipt Cycle closed	03/20/18	04/24/18
	Date application submitted	03/20/18	04/24/18
	Method of submission	CARS	04/24/18
	Within receipt period	YES	04/24/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/24/18
	Donation(s) made to CPRIT/foundation	NO	04/24/18
	Assigned to primary reviewers	04/03/18	04/24/18
	Applicant notified of review panel assignment	N/A	04/24/18
	Primary Reviewer 1 COI signed	03/26/18	04/24/18
	Primary Reviewer 2 COI signed	03/25/18	04/24/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	04/17/18	04/24/18
	Primary Reviewer 2 critique submitted	04/18/18	04/24/18
	COI indicated by non-primary reviewer	NONE	04/24/18
	COI recused from participation	N/A	04/24/18
	Discussed at Peer Review Meeting	YES	04/24/18
	Peer Review Meeting	04/19/18	04/24/18
	Post review statements signed	04/20/18	04/24/18
	Third Party Observer Report	4/24/2018	04/30/18
	Score report delivered to CSO	04/23/18	04/24/18
	Recommended for SRC Review	YES	04/24/18
4. Final SRC Recommendation	COI indicated by SRC member	NONE	04/24/18
	COI recused from participation	N/A	04/24/18
	SRC Meeting	04/19/18	04/24/18
	Third Party Observer Report	04/24/18	04/30/18
	Recommended for grant award	YES	04/24/18
	SRC Chair Notification to PIC and OC	04/23/18	04/24/18
5. PIC Review	Candidate not accepted position prior to SRC date	YES	04/24/18
	COI indicated by PIC member	NONE	04/30/18
	COI recused from participation	N/A	04/30/18
	PIC review meeting	04/30/18	04/30/18
	Recommended for grant award	YES	04/30/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/16/18	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180046
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Stephen Chung, M.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 12 applications for cycles 18.6 through 18.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2018: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



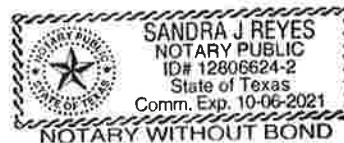
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Tenure-Track Faculty Members
APPLICATION ID RR180046
APPLICATION TITLE Nomination of Stephen S. Chung, M.D. for a CPRIT First-Time, Tenure-Track Faculty Member Award
NOMINATOR NAME Dwain Thiele
CANDIDATE NAME Chung, Stephen S.
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY18 Cycle 9 (REC 18.9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/15/17	04/24/18
	RFA published in Texas.gov eGrants	06/14/17	04/24/18
	CPRIT Application Receipt Cycle opened	02/21/18	04/24/18
	CPRIT Application Receipt Cycle closed	03/20/18	04/24/18
	Date application submitted	03/19/18	04/24/18
	Method of submission	CARS	04/24/18
	Within receipt period	YES	04/24/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/24/18
	Donation(s) made to CPRIT/foundation	NO	04/24/18
	Assigned to primary reviewers	04/03/18	01/21/18
	Applicant notified of review panel assignment	N/A	04/24/18
	Primary Reviewer 1 COI signed	03/25/18	04/24/18
	Primary Reviewer 2 COI signed	03/23/18	04/24/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	04/18/18	04/24/18
	Primary Reviewer 2 critique submitted	04/18/18	04/24/18
	COI indicated by non-primary reviewer	Richard O'Reilly	04/24/18
	COI recused from participation	YES	04/24/18
	Discussed at Peer Review Meeting	YES	04/24/18
	Peer Review Meeting	04/19/18	04/24/18
	Post review statements signed	04/20/18	04/24/18
	Third Party Observer Report	24-Apr	04/30/18
	Score report delivered to CSO	04/23/18	04/24/18
	Recommended for SRC Review	YES	04/24/18
4. Final SRC Recommendation	COI indicated by SRC member	Richard O'Reilly	04/24/18
	COI recused from participation	YES	04/24/18
	SRC Meeting	04/19/18	04/24/18
	Third Party Observer Report	04/24/18	04/30/18
	Recommended for grant award	YES	04/24/18
	SRC Chair Notification to PIC and OC	04/23/18	04/24/18
5. PIC Review	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	04/24/18
	COI indicated by PIC member	NONE	04/30/18
	COI recused from participation	N/A	04/30/18
	PIC review meeting	04/30/18	04/30/18
	Recommended for grant award	YES	04/30/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/16/18	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.