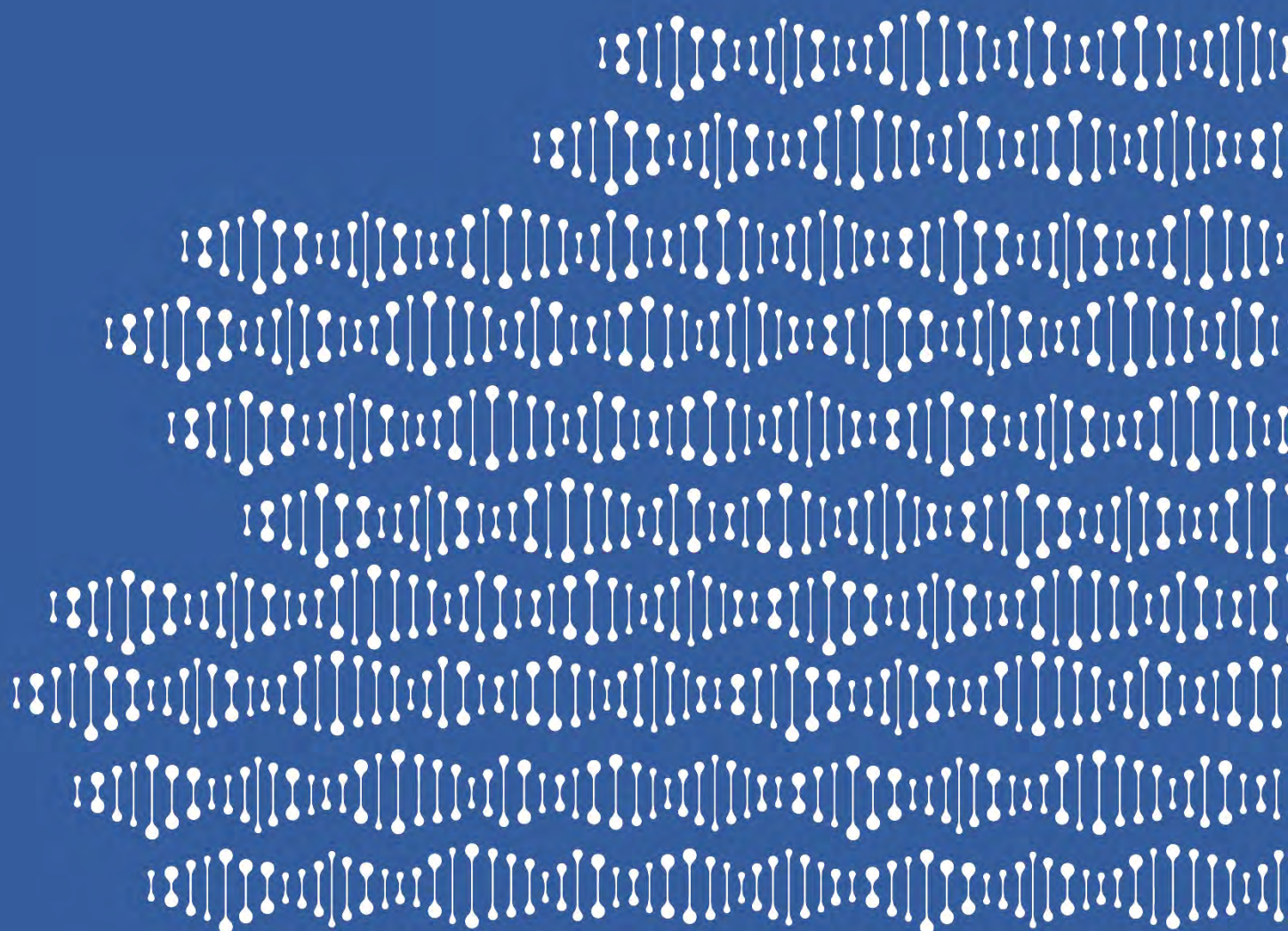




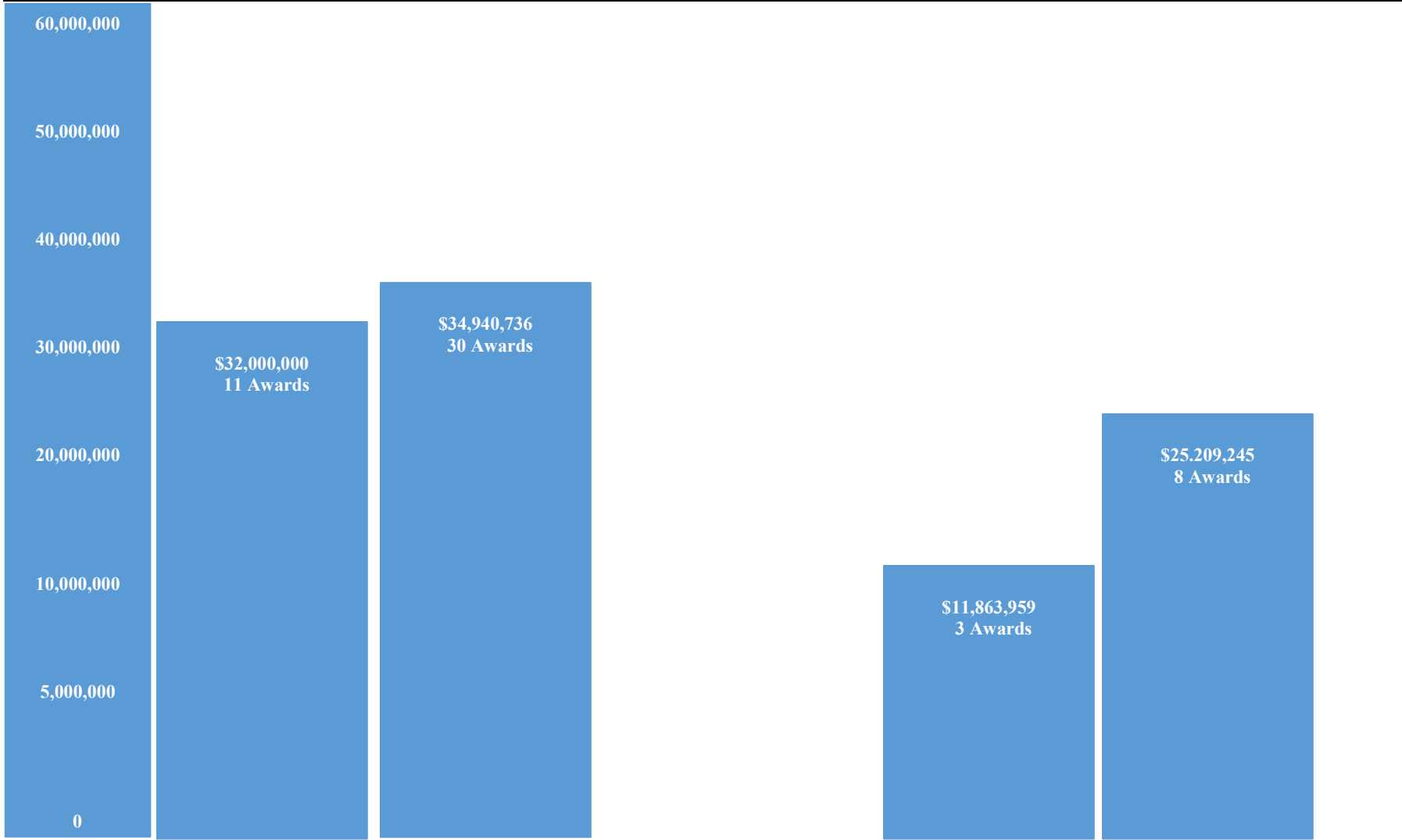
CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

August 24, 2018



Academic Research Program Priorities Addressed by Recommended Awards						
Scale	Recruitment of outstanding cancer researchers to Texas	A broad range of innovative, investigator-initiated research projects	Implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions	Computational biology and analytic methods	Childhood Cancers	Population Disparities and Hepatocellular Cancer





CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE
FROM: JAMES WILLSON, M.D., CHIEF SCIENTIFIC OFFICER
SUBJECT: ACADEMIC RESEARCH FY2018 REVIEW CYCLE 2; AND
RECRUITMENT AWARD RECOMMENDATIONS FY2018, CYCLES
18.10, 18.11 AND 18.12.
DATE: AUGUST 1, 2018

The Program Integration Committee (PIC) recommendations for FY2018 review cycle 2 and recruitment cycles 18.10, 18.11 and 18.12 include **51 awards** from six grant mechanisms totaling **\$112,156,309**. Because the Scientific Review Committee (SRC) recommendations exceed the funds available to fund Academic Research Program awards for the final quarter of 2018, the Program Integration Committee has recommended that the Core Facility Support Awards be reduced by 8% of SRC recommended levels, as presented in Table 1.

Table 1:

Grant Mechanism	SRC Recommendations		PIC Recommendations	
	Awards	Funding	Awards	Funding
High Impact/High Risk Research Awards	25	\$4,998,787	25	\$4,998,787
Core Facility Support Awards	10	\$49,147,362	10	\$45,215,573
Multi-Investigator Research Awards	5	\$29,941,949	5	\$29,941,949
Recruitment of Established Investigators	2	\$12,000,000	2	\$12,000,000
Recruitment of Rising Stars	1	\$4,000,000	1	\$4,000,000
Recruitment of First-Time, Tenure-Track Faculty Members	8	\$16,000,000	8	\$16,000,000
Total	51	\$116,088,098	51	\$112,156,309

Program Priorities Addressed:

The applications recommended by the Program Integration Committee for funding address the following Academic Research Program Priorities: recruitment of outstanding cancer researchers to Texas, investment in core facilities, a broad range of innovative, investigator-initiated research projects, computational biology and analytic methods, and childhood cancers. The summary of program priorities addressed by the proposed slate of awards is displayed in Table 2 and Attachment 2.

Table 2

Program Priorities Addressed by Grant Recommendations		
# Awards	Program Priorities	Funding
11	Recruitment of outstanding cancer researchers to Texas	\$32,000,000
10	Investment in core facilities	\$45,215,573
30	A broad range of innovative, investigator-initiated research projects	\$34,940,736
3	Computational biology and analytic methods	\$11,863,959
8	Childhood cancers	\$25,209,245
*Some grants awards address more than one program priority and are double counted.		

1. HIGH IMPACT/HIGH RISK RESEARCH AWARDS (RFA R-18.2 HIHR) SLATE

Scientific Review Committee Recommendations:

Out of 153 High Impact/High Risk research award grant applications submitted, the Scientific Review Council recommended 25, totaling \$4,998,787.

Purpose of High Impact/High Risk Research Awards:

Provides short-term funding to explore the feasibility of high-risk projects that, if successful, would contribute major new insights into the etiology, diagnosis, treatment, or prevention of cancers.

High Impact/High Risk Research Award Funding Levels:

Up to \$200,000 (total costs); Maximum duration: 2 years.

ID	Score	Application Title	PI	PI Organization	Budget	Priorities*
RP180755	1.9	The Early-Life Exposome and Risk of Pediatric Acute Lymphoblastic Leukemia	Lupo, Philip Ph.D.	Baylor College of Medicine	\$199,140	Childhood Cancers
RP180700	2.0	Mechanisms of Drug Resistance in Lung Cancer	Alto, Neal Ph.D.	The University of Texas Southwestern Medical Center	\$200,000	
RP180835	2.0	Targeted Proteolysis of Glucocorticoid Receptor as a Therapeutic Strategy in Antiandrogen Treatment-Resistant Prostate Cancer	Lissanu Deribe, Yonathan M.D., Ph.D.	The University of Texas M. D. Anderson Cancer Center	\$199,999	
RP180694	2.2	TREX2 Inhibitors to Treat BCR-ABL-Cancers	Hasty, E. Paul DVM	The University of Texas Health Science Center at San Antonio	\$200,000	

ID	Score	Application Title	PI	PI Organization	Budget	Priorities*
RP180769	2.2	A Novel Anti-BCR-ABL Approach for Leukemia Therapy	Rao, Hai Ph.D.	The University of Texas Health Science Center at San Antonio	\$200,000	
RP180716	2.2	Noninvasive Diagnostic Imaging of Brain Cancer Using Hyperpolarized ¹³ C-Labeled L-Tryptophan and L-Methionine	Lumata, Lloyd, Ph.D.	The University of Texas at Dallas	\$200,000	
RP180880	2.3	Targeting BRAF- and RAS-Mutant Cancers by Small Molecule-Induced Proteolysis of ERK1/2	Dalby, Kevin N, Ph.D.	The University of Texas at Austin	\$200,000	
RP180826	2.5	Integrative Analysis of Structural Variants in Cancer Genomes	Xu, Jian Ph.D.	The University of Texas Southwestern Medical Center	\$200,000	
RP180848	2.5	Autoimmune-Prone Mouse Models for Studying Immune-Related Adverse Events Associated With Cancer Immunotherapy	Yan, Nan Ph.D.	The University of Texas Southwestern Medical Center	\$200,000	
RP180812	2.6	Fluorescently Labeled Somatostatin Analogs for Image-Guided Surgery in Neuroendocrine Tumors	Azhdarinia, Ali Ph.D.	The University of Texas Health Science Center at Houston	\$200,000	
RP180690	2.6	Engineering Cancer Immunotherapeutics for Enhanced Activity in the Low pH Tumor Microenvironment	Maynard, Jennifer Ph.D.	The University of Texas at Austin	\$200,000	
RP180736	2.7	Nanoparticle-Mediated Hyperthermia to Improve Chemotherapeutic Efficacy in HIPEC	Holder, Ashley Ph.D.	The Methodist Hospital Research Institute	\$200,000	
RP180801	2.8	Targeting the Menopause Transition to Decrease the Risk for Obesity-Associated Postmenopausal Breast Cancer	Giles, Erin D Ph.D.	Texas A&M University	\$200,000	
RP180810	2.8	Controlling the Activity of Anticancer T Cells by Inducing Replicative Senescence	Mamonkin, Maksim Ph.D.	Baylor College of Medicine	\$200,000	

ID	Score	Application Title	PI	PI Organization	Budget	Priorities*
RP180751	2.8	Methods for Assessment and Quantification of Imperfect dsDNA Break Repair	Otwinowski, Zbyszek Ph.D.	The University of Texas Southwestern Medical Center	\$200,000	
RP180863	2.9	Chemoprevention of Colon Cancer Progression in FAP Children	Hu, Ming Ph.D.	University of Houston	\$200,000	Childhood Cancers
RP180875	2.9	Cyanine-Conjugated Kinase Inhibitors (Cy-KIs) as Potential Glioblastoma Theranostics	Sitcheran, Raquel Ph.D.	Texas A&M University System Health Science Center	\$200,000	
RP180771	2.9	Small Molecule for Selective Targeting of Epithelial-Mesenchymal Transition–Induced Cancer Stem Cells	Taube, Joe Ph.D.	Baylor University	\$200,000	
RP180846	3.0	Molecular Opening of the Blood-Brain Barrier by Molecular Hyperthermia	Qin, Zhenpeng Ph.D.	The University of Texas at Dallas	\$200,000	
RP180882	3.0	Developing a Clinically Relevant Drug Testing Platform	Yun, Kyuson Ph.D.	The Methodist Hospital Research Institute	\$199,951	
RP180827	3.1	Polymer Nanodiscs: Novel Lipoprotein-Mimicking Nanocarriers With High Stability and Long Circulation Time for Enhanced Anticancer Drug Delivery	Liang, Hongjie Ph.D.	Texas Tech University Health Sciences Center	\$200,000	
RP180844	3.2	Regulating Androgen Receptor as a Corepressor by Neurofibromin (NF1)	Chang, Eric C. Ph.D.	Baylor College of Medicine	\$199,700	
RP180873	3.2	Molecular Targeted Magnetic Resonance Reporter for Cancer Detection	Carson, Daniel Ph.D.	Rice University	\$200,000	
RP180862	3.3	Microfluidic Cancer Assay for Liquid Biopsies and Early Detection	Pappas, Dimitri Ph.D.	Texas Tech University	\$199,999	
RP180851	3.4	Targeting MYCN-Driven Metabolism in Neuroblastoma	Barbieri, Eveline M.D., Ph.D.	Baylor College of Medicine	\$200,000	Childhood Cancers

* All HIHR projects address the “A broad range of innovative, investigator-initiated research projects” priority.

2. CORE FACILITY SUPPORT AWARDS (CFSA) (RFA R-18.2-CFSA) Slate

Scientific Review Committee Recommendations:

Out of 27 Core Facility Support Awards grant applications submitted, the SRC recommended 10 Core Facility Support Awards totaling \$49,147,362. The PIC recommended an 8% reduction in these SRC award recommendations for a total of \$45,215,573 to meet the funds available to fund Academic Research Program awards in FY2018.

The PIC approved SRC recommended budget modifications for 2 CFSA budgets, grant applications #RP180785 and #RP180672.

The PIC also approved SRC recommendations that prior to finalizing the funding plan for applications from The University of Texas Southwestern Medical Center (RP180805) and The University of Texas M.D. Anderson Cancer Center (RP180819) that the PIs and their respective institutions develop a plan that will maximize opportunities for the two cores to work together and nominated the Academic Research Program staff to monitor this process.

Purpose of Core Facility Support Awards:

Solicits applications from institutions to establish or enhance core facilities (laboratory, clinical, population-based, or computer-based) that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer.

Core Facility Support Award Funding Levels:

Award: Up to \$3M (total costs) for the first 2 years and up to \$1M (total costs) for each subsequent year; Maximum duration: 5 years.

Below is a listing of the CFSA recommended projects with brief descriptions.

RP180684

Title: Integrated Single Cell Genomics Core Facility

PI: Nicholas Navin, Ph.D.

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

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.1**

Recommended Total Budget Award and Duration: \$4,897,577; 5 years

CPRIT Priorities Addressed: Investment in core facilities

Description:

The Integrated Single Cell Genomics Core Facility at the MD Anderson Cancer Center will provide the instrumentation to obtain genomic information on individual cancer cells. Previous technologies have been limited to bulk tissue analysis, which reports an average signal from a complex mixture of millions of cells in the tumor. This is problematic, since tumors consist of

many diverse cell types (e.g. blood vessels, fibroblasts, immune cells) that are intermixed with different tumor clones that harbor diverse mutational patterns. The facility will serve cancer researchers at MD Anderson, Baylor College of Medicine, Rice, UT Health, UT Austin, and UT San Antonio

RP180785**Title:** CARMIT (Children's Access to Regenerative Medicine in Texas)**PI:** Adrian Gee, Ph.D.**PI Organization:** Baylor College of Medicine**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.5****Recommended Total Budget Award and Duration:** \$5,306,052; 5 years**CPRIT Priorities Addressed:** Investment in core facilities, Childhood Cancers**Description:**

The Children's Access to Regenerative Medicine in Texas core is a continuation of an existing CPRIT Core "Texas Assistance for Cancer Cell Therapy (TACCT)" located at Texas Children's Hospital. The TACCT core has manufactured cellular therapeutics used in 10 clinical trials for predominantly adult malignancies including breast cancer, pancreas cancer, lymphoma and myeloma. The new core will focus on manufacturing of cell therapeutics for pediatric patients. Both cores build on a major infrastructure investment by Texas Children's Hospital that has enabled Texas Medical Center investigators to develop innovative and "game changing" cell therapeutics for Texans with cancer diagnoses. The proposed core will serve investigators at Baylor College of Medicine, MD Anderson, Children's Hospital of San Antonio, and UTSW.

RP180804**Title:** Protein Array and Analysis Core**PI:** Mark Bedford, Ph.D.**PI Organization:** The University of Texas M.D Anderson Cancer Center, Science Park in Smithville**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.9****Recommended Total Budget Award and Duration:** \$2,594,107; 5 years**CPRIT Priorities Addressed:** Investment in core facilities**Description:**

The Protein Array and Analysis core will provide cancer researchers access to the instrumentation and expertise required to investigate chemical modifications of proteins that determine a protein's cellular function including modifications that cause malignant transformation and spread of cancer. This core provides Texas investigators at MD Anderson, Baylor College of Medicine, UT Health, UT Austin, UTMB, UT Tyler, UTSW, Texas A&M access to expertise and special instrumentation that is not commonly available and for this reason reviewers considered the core to have high potential for impact.

RP180770**Title:** Pre-clinical Radiation Core Facility**PI:** Michael Story, Ph.D.**PI Organization:** The University of Texas Southwestern Medical Center**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.9****Recommended Total Budget Award and Duration:** \$3,723,260; 5 years.**CPRIT Priorities Addressed:** Investment in core facilities**Description:**

Pre-Clinical Radiation Core Facility at the University of Texas Southwestern Medical Center will provide access to up-to-date technologies and equipment to support pre-clinical radiation research using cell or small animal models. This core will greatly advance clinically relevant pre-clinical cancer research that utilizes ionizing radiation by providing investigators the foundation in physics and radiobiology needed to properly use the technology, calibration of experimental devices to assure that radiation doses are properly calculated, and access to the imaging and radiation technology comparable to what is used clinically.

RP180805**Title:** Pediatric Cancer Data Core**PI:** Yang Xie, M.D., Ph.D.**PI Organization:** The University of Texas Southwestern Medical Center**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.0****Recommended Total Budget Award and Duration:** \$5,394,842; 5 years.**CPRIT Priorities Addressed:** Investment in core facilities, Childhood cancers, Computational Biology**Description:**

Pediatric Cancer Data Core will establish a research platform and services to facilitate data sharing, management, harmonization and analysis for the pediatric cancer research community. The core will (1) develop and apply data standards for various types of pediatric cancer to collect and curate clinical data from EHR and clinical trials; (2) collect, process and integrate sample information, genomic and image data with clinical data; (3) develop a centralized pediatric cancer data commons to store, query, analyze and visualize clinical, genomic and image data and then individual pediatric cancer research projects and implement an education and training plan for users.

RP180748**Title:** Gulf Coast Consortia Center for Comprehensive PK/PD & Formulation**PI:** Dong Liang, Ph.D.**PI Organization:** Texas Southern University**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.1****Recommended Total Budget Award and Duration:** \$5,106,420; 5 years**CPRIT Priorities Addressed:** Investment in core facilities

Description:

The Gulf Coast Consortia Center for Comprehensive PK/PD (pharmacokinetics and pharmacodynamics) & Formulation will provide access to assays and experimental support required in preclinical cancer drug development. The core will be based at Texas Southern University in state-of-the-art facility led by experienced faculty whose expertise will be complemented by participation of faculty from the University of Houston Colleges of Pharmacy, MD Anderson Cancer Center, and the Gulf Coast Consortia for Quantitative Biomedical Science. User groups will include academic investigators and Texas start-up companies developing innovative cancer therapies.

RP180819

Title: Pediatric Solid Tumors Comprehensive Data Resource Core

PI: Richard Gorlick, M.D.

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

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

Recommended Total Budget Award and Duration: \$5,005,246; 5 years

CPRIT Priorities Addressed: Investment in core facilities, Childhood Cancers

Description:

The Pediatric Solid Tumors Comprehensive Data Resource Core will create a bio-repository of clinically and molecularly annotated pediatric solid tumor samples and liquid biopsies from pediatric patients from the time of initial diagnoses through treatments and either survival, recurrence or metastasis. MD Anderson, UT Health Science Center San Antonio and Memorial Herman Hospital-Houston are participating. The biospecimens will be made available to researchers at academic institutions in Texas on a cost recovery basis to facilitate studies of recurrence, second malignancies, and factors affecting quality of life.

RP180672

Title: Advanced Multiparameter Cytometry and Cell Sorting Core

PI: Christine Beeton, Ph.D.

PI Organization: Baylor College of Medicine

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

Recommended Total Budget Award and Duration: \$5,177,994; 5 years

CPRIT Priorities Addressed: Investment in core facilities

Description:

The Advanced Multiparameter Cytometry and Cell Sorting Core will provide access to new technologies to measure at the same time multiple parameters affecting the diverse populations that make up a tumor - cancer cells, healthy cells, cells that interact with tumors to help them grow, and immune cells tasked with destroying cancer cells. The Core will support cancer researchers at Baylor College of Medicine and Texas A&M studying the interactions between cancer cells and their environment and the new technology will allow cancer researchers to extend their studies to patient derived blood and biopsy samples.

RP180734**Title:** UTHealth Cancer Genomics Core**PI:** Zhongming Zhao, Ph.D.**PI Organization:** The University of Texas Health Science Center at Houston**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.3****Recommended Total Budget Award and Duration:** \$4,429,126; 5 years**CPRIT Priorities Addressed:** Investment in core facilities**Description:**

The UTHealth Cancer Genomics Core will provide state-of-the-art sequencing facilities for cancer investigators at the University of Texas Health Science Center at Houston. While the expertise and technology proposed for this core exists at other institutions in the Texas Medical Center, the UTHealth based investigators require access that these other facilities are unable to provide. A group of 30 well-funded cancer researchers are identified whose research and clinical programs require access to cutting-edge genome technologies.

RP180670**Title:** Small Animal Imaging Core Facility for Cancer Research at UT Dallas**PI:** Kenneth Hoyt, Ph.D.**PI Organization:** The University of Texas at Dallas**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.3****Recommended Total Budget Award and Duration:** \$3,580,949; 5 years**CPRIT Priorities Addressed:** Investment in core facilities**Description:**

The Small Animal Imaging Core Facility for Cancer Research at UT Dallas will provide cancer researchers access to a centralized state-of-the-art small animal imaging core facility at the University of Texas at Dallas. Sixteen investigators will immediately use the shared instruments proposed for this core and access to this resource will help UT Dallas to recruit new faculty with cancer research interests as well as to retain its best cancer investigators.

3. MULTI-INVESTIGATOR RESEARCH AWARDS (MIRA (RFA R-18.2-MIRA) Slate

Scientific Review Committee Recommendations:

Out of 23 Multi-Investigator Research Awards grant applications submitted, the Scientific Review Council recommended five Multi-Investigator Research Awards (MIRA) totaling \$29,941,949.

Purpose of Multi-Investigator Research Awards:

Solicits applications from institutions to support highly integrated programs of collaborative and cross-disciplinary research among multiple Texas investigators.

Multi-Investigator Research Awards Funding Levels:

Award: Up to \$6,000,000 (total costs); Maximum duration: 4 years.

Recommended Multi-Investigator Research Awards:

Below is a listing of the MIRA recommended projects with associated purposes.

RP180778

Title: Metabolic enablers of melanoma progression

PI: Sean Morrison, Ph.D.

PI Organization: The University of Texas Southwestern Medical Center

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

Recommended Total Budget Award and Duration: \$5,998,327; 4 years

CPRIT Priorities Addressed: A broad range of innovative, investigator-initiated research projects

Description:

The three highly interactive projects that comprise this MIRA are based on findings Sean Morrison has made using a system he developed to transplant melanoma cells from patients into specialized mice that allow the transplanted melanoma cells to form tumors and to metastasize in the mice in a way that mirrors their behavior in patients. Using this system, he discovered that melanoma cells experience lethal increases in oxidative stress during the metastatic process and the rare melanoma cells that survive undergo metabolic changes that allow them to withstand the stress. Morrison found that treatment with anti-oxidants protect melanoma cells from the oxidative stress and promoted metastasis in the mice, raising the possibility that patients with a melanoma who take dietary supplements that contain large doses of anti-oxidants (such as vitamins A, C, and E) might inadvertently increase their risk of disease progression because of the ability of anti-oxidants to promote melanoma cell survival. These results suggest that instead of treating cancer patients with anti-oxidants, we should treat with pro-oxidants that either exacerbate the oxidative stress cancer cells experience or that inhibit the metabolic changes that cancer cells undergo to survive during metastasis. The individual MIRA projects led by Drs.

Morrison, DeBerardinis, and Mishra at UT Southwestern propose to apply their expertise in the areas of melanoma biology, cancer metabolism, and mitochondrial function (the part of the cell that generates energy) to unravel these mechanisms and to identify new strategies to prevent melanoma progression.

RP180813

Title: BRCA Answers from Cancer Interactome Structures

PI: John Tainer, Ph.D.

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

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

Recommended Total Budget Award and Duration: \$5,969,140; 4 years

CPRIT Priorities Addressed: A broad range of innovative, investigator-initiated research projects

Description:

The BRCA gene mutations that significantly increase risk of developing breast cancer, ovarian cancer, and certain other cancers also make the cancers uniquely susceptible to treatment with a PARP inhibitor that takes advantage of the DNA repair deficiency in BRCA breast cancers. This MIRA aims to provide solutions from a molecular level understanding of the processes controlling the sensitivity and resistance to PARP inhibitors. Besides understanding the underlying mechanisms of resistance, the team expects to find additional vulnerabilities in the BRCA tumors that can be exploited to improve treatment.

RP180712

Title: Rational Combination Treatment Options to Reverse Resistance in Hormone Receptor Positive Breast Cancer Refractory to Standard Therapy

PI: Kelly Hunt, M.D.

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

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

Recommended Total Budget Award and Duration: \$5,992,274; 4 years

CPRIT Priorities Addressed: A broad range of innovative, investigator-initiated research projects

Description:

The goal of this MIRA is to understand the resistance of hormone receptor positive breast cancers to endocrine treatment and to develop new treatment strategies to improve outcomes. The MIRA includes investigators from MD Anderson and Baylor College of Medicine who have access to extensive banks of clinical samples that they will use to investigate the mechanisms for resistance to endocrine therapies in hormone receptor-positive cancers and use this information to develop new therapies.

RP180674

Title: Predictive biomarkers and novel therapies for high-risk pediatric liver cancers

PI: Dolores Lopez-Terrada, M.D., Ph.D.

PI Organization: Baylor College of Medicine

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.4**

Recommended Total Budget Award and Duration: \$5,982,208; 4 years

CPRIT Priorities Addressed: A broad range of innovative, investigator-initiated research projects, Childhood Cancers

Description:

Hepatoblastoma (HB) and hepatocellular carcinoma (HCC) are the two most frequently diagnosed liver cancers in children with both having a dismal prognosis of 30-50% at 5 years. This MIRA proposes to discover and validate biomarkers in HBs and HCCs to improve diagnosis and better assignment of chemotherapy; test new drugs to interfere with liver cancer associated molecules and signaling pathways; and test in patients a novel immunotherapy strategy.

RP180725

Title: Targeting Tumor Tissues Increases DNA Sensing to Bridge Innate and Adaptive Immunity

PI: Yang-Xin Fu, M.D., Ph.D.

PI Organization: The University of Texas Southwestern Medical Center

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.8**

Recommended Total Budget Award and Duration: \$6,000,000; 4 years

CPRIT Priorities Addressed: A broad range of innovative, investigator-initiated research projects

Description:

Radiation therapy's primary aim is to kill cancer cells by damaging their DNA, but it has also been shown to stimulate the body's immune system to attack cancer cells at sites distant from the irradiated site. For this reason, therapeutic combinations that pair radiation with immunotherapy are especially promising but the clinical usefulness of these combinations is currently limited because the mechanisms by which DNA damage caused by radiation activates the immune system are still poorly understood. This MIRA proposes highly interactive research projects to investigate these mechanisms and to use this information to combine immunotherapies with radiation.

4. RECRUITMENT OF ESTABLISHED INVESTIGATORS SLATE FY18.10, FY18.11 and FY18.12

Scientific Review Committee Recommendations:

Applications are evaluated and scored by the 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:

The aim is to recruit 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 5 years.

Recommended Awards:

Out of five Recruitment of Established Investigators grant applications submitted, the Scientific Review Council recommended two candidates for an Established Investigator Award. Candidates nominating institutions are: Baylor College of Medicine and The University of Texas Southwestern Medical Center. Below is a listing of the candidates with associated expertise.

RR180032

Candidate: Peng (George) Wang, Ph. D

Funding Mechanism: Recruitment of Established Investigators

Applicant Organization: Baylor College of Medicine

Original Organization of Nominee: Georgia State University, Department of Chemistry.

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.4**

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

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

Description:

Peng (George) Wang, PhD is being recruited from Georgia State University to Baylor College of Medicine as the Michael DeBakey Chair in the Department of Pharmacology and Chemical Biology. Dr. Wang is currently a Georgia Research Alliance Eminent Scholar and Chair of the Department of Chemistry at Georgia State University. He is an internationally recognized expert in carbohydrate chemistry and glycobiology with six current grants from the National Institutes of Health. His expertise promises to complement existing strengths in drug development at Baylor College of Medicine.

RR180056**Candidate:** Anke Henning, Ph.D.**Funding Mechanism:** Recruitment of Established Investigators**Applicant Organization:** The University of Texas Southwestern Medical Center**Original Organization of Nominee:** Max Planck Institute for Biological Cybernetics, Germany**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.0****Recommended Total Budget Award and Duration:** \$6,000,000**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas;**Description:**

Anke Henning, Ph.D. is being recruited from the Max Planck Institute for Biological Cybernetics, Germany to UT Southwestern to serve as the Director of the Advanced Imaging Research Center. Dr. Henning is an internationally recognized expert in high-field magnetic resonance imaging and its application to the visualization and quantification of disease-related changes in the human brain. Dr. Henning will transfer and expand her existing research program that focuses on the development of novel imaging approaches and agents for the detection of brain and spinal cord tumors and the application of these methods to monitor therapy outcomes, develop clinical decision support systems, and guide radiation and surgical therapies.

4. RECRUITMENT OF RISING STARS SLATE FY18.10, FY18.11 and FY18.12

Scientific Review Committee Recommendations:

Applications are evaluated and scored by the 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 Rising Stars Awards:

The aim is to recruit outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.

Funding levels for Recruitment of Rising Stars Awards:

Up to \$4 million over a period of 5 years.

Recommended Awards:

Out of three Recruitment of Rising Stars grant applications submitted, the Scientific Review Council recommended two candidates for a Rising Stars Award; however, one of the recommended candidates (RR180057) withdrew.

RR180061**Candidate:** Chao Cheng, Ph.D.**Funding Mechanism:** Recruitment of Rising Stars**Applicant Organization:** Baylor College of Medicine**Original Organization of Nominee:** Geisel School of Medicine at Dartmouth**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.0****Recommended Total Budget Award and Duration:** \$4,000,000**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas, Computational Biology**Description:**

Chao Cheng, Ph.D., is being recruited to Baylor College of Medicine from Dartmouth as an Associate Professor in the Dan L Duncan Comprehensive Cancer Center and the Institute for Clinical and Translational Research. Dr. Cheng is a systems biologist with exceptional expertise in molecular genetics, bioinformatics and computational biology of cancer. Dr. Cheng will be applying bioinformatics tools to address clinical questions on cancer immunotherapy in collaboration with clinical immunotherapy programs in the Texas Medical Center.

***5. RECRUITMENT FIRST-TIME TENURE TRACK FACULTY MEMBERS
SLATE FY18.10, FY18.11 and FY18.12.*****Scientific Review Committee Recommendations:**

Applications are evaluated and scored by the Scientific Review Council 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 can 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 up to 5 years.

Recommended Projects:

Out of 13 First-Time Tenure Track Faculty Members applications submitted, the Scientific Review Council recommended ten candidates for awards. Two of the 10 SRC recommended candidates (RR180059 and RR180058) withdrew, and eight candidates are being recommended: 2 at Baylor College of Medicine; 1 at University of Texas at Austin, 2 at The University of Texas M. D. Anderson Cancer Center, and 3 at University of Texas Southwestern Medical Center.

RR180066

Candidate: Xuebing Wu, Ph.D.

Funding Mechanism: Recruitment of First Time Tenure Track Faculty Member

Applicant Organization: Baylor College of Medicine

Original Organization of Nominee: Massachusetts Institute of Technology (MIT)

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.2**

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

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

Description:

Xuebing Wu, Ph.D., is being recruited from MIT to Baylor College of Medicine to serve as an assistant professor in the Departments of Biochemistry & Genetics. Dr. Wu is a computational and experimental biologist who studies how RNA metabolism and structure can drive aberrant gene control and therapeutic vulnerabilities in cancer.

RR180060

Candidate: Yejing Ge, Ph.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: The Rockefeller University

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.2**

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

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas

Description:

Yejing Ge, Ph.D., is being recruited from The Rockefeller University to serve as an Assistant Professor in the Department of Cancer Biology at MD Anderson. Dr. Ge is a cell biologist who studies how stem cells progress to cancer.

RR180072

Candidate: Tao Wu, Ph.D.

Funding Mechanism: Recruitment of First Time Tenure Track Faculty Member

Applicant Organization: Baylor College of Medicine

Original Organization of Nominee: Yale University School of Medicine

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.4**

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

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

Description:

Dr. Wu is being recruited from Yale University School of Medicine as an Assistant Professor in the Departments of Molecular and Human Genetics and the Dan L. Duncan Comprehensive Cancer Center. His research expertise is in cancer epigenetics, investigating the mechanism underlying resistance to cancer treatment resistance.

RR180051

Candidate: Glen P. Liszczak, Ph.D.

Funding Mechanism: Recruitment of First Time Tenure Track Faculty Member

Applicant Organization: The University of Texas Southwestern Medical Center

Original Organization of Nominee: Princeton University

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

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

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

Description:

Glen Liszczak, Ph.D. is being recruited from Princeton University to serve as a Tenure Track Assistant Professor in the Department of Biochemistry at UTSW. Dr. Liszczak will investigate post-translational modifications associated with cancer development and use these findings to discover new cancer treatments.

RR180050

Candidate: Peter Ly, Ph.D.

Funding Mechanism: Recruitment of First Time Tenure Track Faculty Member

Applicant Organization: The University of Texas Southwestern Medical Center

Original Organization of Nominee: University of California San Diego School of Medicine

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

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

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

Description:

Dr. Ly is being recruited from Ludwig Institute for Cancer Research at UC San Diego as an Assistant Professor in the Department of Pathology and a member of the Simmons Comprehensive Cancer Center at UTSW. During his training, Dr. Ly made novel observations on how errors in chromosome segregation can initiate genomic instability events and he plans to continue to investigate how these errors shape the complex landscape of cancer genomes.

RR180042

Candidate: Can Cenik, Ph.D.

Funding Mechanism: Recruitment of First Time Tenure Track Faculty Member

Applicant Organization: The University of Texas at Austin

Original Organization of Nominee: Stanford University School of Medicine

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

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

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

Description:

Can Cenik, Ph.D. is being recruited to The University of Texas at Austin for a first-time tenure track award to serve as Assistant Professor in the Department of Molecular Biosciences. Dr. Cenik studies mechanisms of translation control in patient tumors.

RR180067

Candidate: Fuguo Jiang, Ph.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, Berkeley

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

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

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

Description:

Fuguo Jiang, Ph.D. is being recruited from University of California, Berkeley to The University of Texas M.D. Anderson Cancer Center to serve as a Tenure Track Assistant Professor in the Department of Cancer Biology. Dr. Jiang is a structural cancer biologist, who investigates the CRISPR-Cas9 genome editing complex technology in treating cancer diseases at a genetic level.

RR180071

Candidate: Kenneth Chen, 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: The University of Texas Southwestern Medical Center

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.4**

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

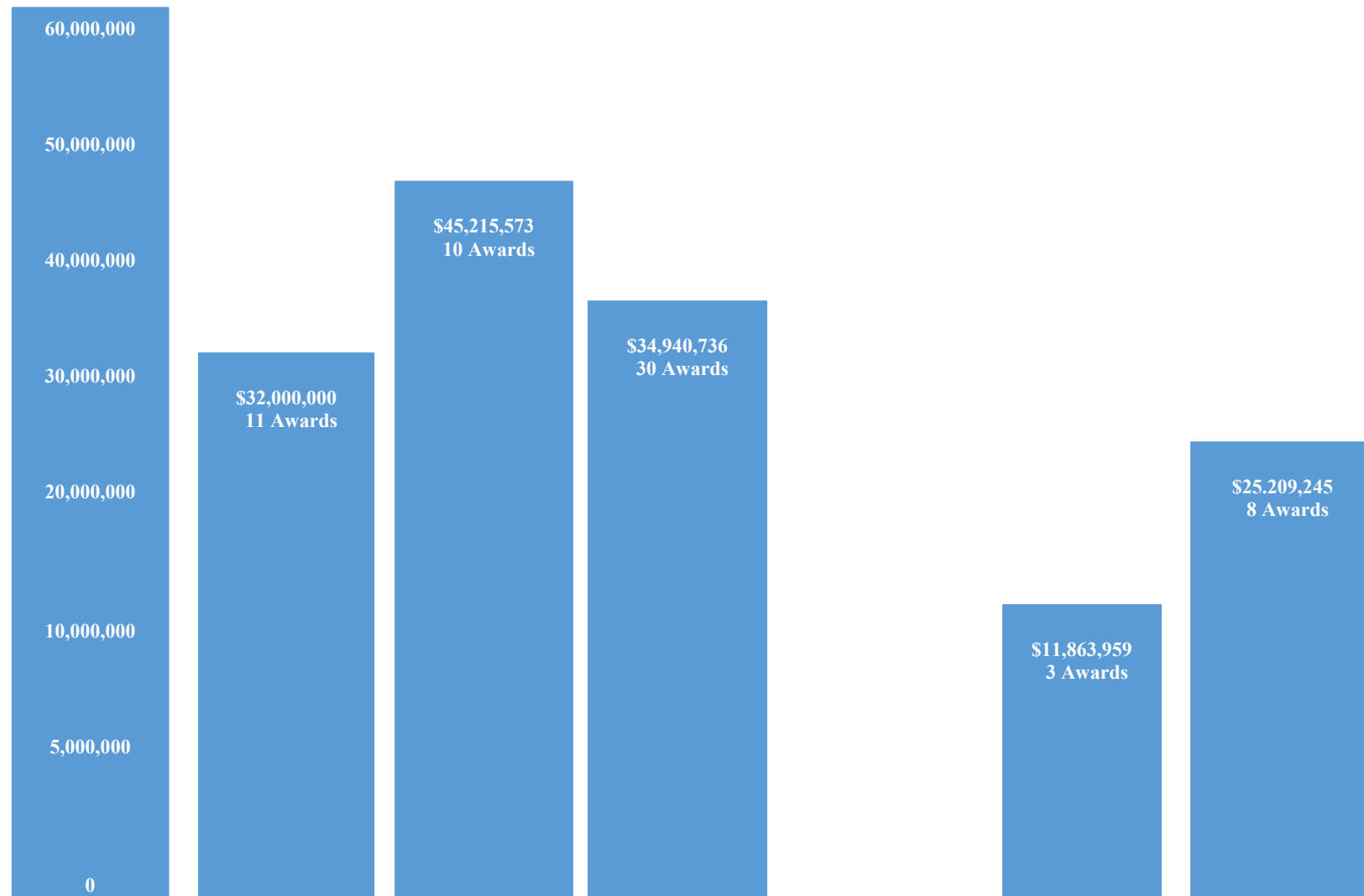
CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas, Childhood Cancers.

Description:

Kenneth Chen, M.D., is a clinician-scientist who is being recruited as a Tenure Track Assistant Professor in the Department of Pediatrics with secondary appointments in the Simmons Comprehensive Cancer Center at UTSW. He is currently completing post-doctoral research at UTSW where he made highly novel insights into the molecular basis of Wilms Tumor and he will continue to focus on Wilms Tumor. The SRC recognized the important role that Dr. Chen will have in continuing the Wilms Tumor research program at UTSW and were particularly enthusiastic about the institutional plan for retaining him at UTSW.

Attachment #1

Academic Research Program Priorities Addressed by Recommended Awards							
Scale	Recruitment of outstanding cancer researchers to Texas	Investment in Core Facilities	A broad range of innovative, investigator-initiated research projects	Implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions	Computational biology and analytic methods	Childhood Cancers	Hepatocellular Cancer





Attachment #2
RFA Descriptions

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

- **Core Facilities Support Awards (CFSA) (RFA R-18.2 CFSA)**
Solicits applications from institutions to establish or enhance core facilities (laboratory, clinical, population-based, or computer-based) that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer.
Award: Up to \$3M (total costs) for the first 2 years and up to \$1M (total costs) for each subsequent year; Maximum duration: 5 years.
- **High Impact/High Risk Research Awards (HIHR) (RFA R-18.2 HIHR)**
Provides short-term funding to explore the feasibility of high-risk projects that, if successful, would contribute major new insights into the etiology, diagnosis, treatment, or prevention of cancers.
Award: Up to \$200,000 (total costs); Maximum duration: 2 years.
- **Multi-Investigator Research Award (MIRA) (RFA R-18.2 MIRA)**
Supports highly integrated programs of collaborative and cross-disciplinary research among multiple Texas investigators.
Award: Up to \$6,000,000 (total costs); Maximum duration: 4 years
- **Recruitment of Established Investigators (RFA R-18-1 REI):**
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 (RFA R-18-1 RRS):**
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 (RFA R-18-1. RFT):**
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 up to five years.

**Ludwig Institute for
Cancer Research Ltd**

**Richard D. Kolodner
Ph.D.**

Director, San Diego Branch

Head, Laboratory of
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San Diego Branch

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July 19, 2018

Mr. Will Montgomery
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Cancer Prevention and Research Institute of Texas
Via email to wsmcprit@gmail.com

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

Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Core Facility Support Awards (CFSA), High Impact/High Risk Research Awards (HIHR) and Multi-Investigator Research Awards (MIRA). The SRC met on July 12, 2018 to consider the applications recommended by the peer review panels following their meetings that were held May 18, 2018 - May 25, 2018.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$84,088,098.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, 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	ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Recommended Budget
1	RP180684	CFSA	1.1	Integrated Single Cell Genomics Core Facility	Navin	The University of Texas M. D. Anderson Cancer Center	\$5,323,453
2	RP180778	MIRA	1.3	Metabolic Enablers of Melanoma Progression	Morrison	The University of Texas Southwestern Medical Center	\$5,998,327
3	RP180785	CFSA	1.5	CARMIT (Children's Access to Regenerative Medicine in Texas)	Gee	Baylor College of Medicine	\$5,767,448*
4	RP180804	CFSA	1.9	Protein Array and Analysis Core (PAAC)	Bedford	The University of Texas M. D. Anderson Cancer Center	\$2,819,682
5	RP180755	HIHRRRA	1.9	The Early-Life Exposome and Risk of Pediatric Acute Lymphoblastic Leukemia	Lupo	Baylor College of Medicine	\$199,140
6	RP180770	CFSA	1.9	Preclinical Radiation Core Facility (PCRCF)	Story	The University of Texas Southwestern Medical Center	\$4,047,022
7	RP180700	HIHRRRA	2.0	Mechanisms of Drug Resistance in Lung Cancer	Alto	The University of Texas Southwestern Medical Center	\$200,000
8	RP180835	HIHRRRA	2.0	Targeted Proteolysis of Glucocorticoid Receptor as a Therapeutic Strategy in Antiandrogen Treatment-Resistant Prostate Cancer	Lissanu Deribe	The University of Texas M. D. Anderson Cancer Center	\$199,999
9	RP180805	CFSA	2.0	Pediatric Cancer Data Core	Xie	The University of Texas Southwestern Medical Center	\$5,863,959***
10	RP180748	CFSA	2.1	GCC Center for Comprehensive PK/PD and Formulation	Liang	Texas Southern University	\$5,550,456
11	RP180694	HIHRRRA	2.2	TREX2 Inhibitors to Treat BCR-ABL- Cancers	Hasty	The University of Texas Health Science Center at San Antonio	\$200,000
12	RP180769	HIHRRRA	2.2	A Novel Anti-BCR-ABL Approach for Leukemia Therapy	Rao	The University of Texas Health Science Center at San Antonio	\$200,000
13	RP180813	MIRA	2.2	BRCA Answers From Cancer Interactome Structures (BACIS)	Tainer	The University of Texas M. D. Anderson Cancer	\$5,969,140

						Center	
14	RP180672	CFSA	2.2	Advanced Multiparameter Cytometry and Cell Sorting Core	Beeton	Baylor College of Medicine	\$5,628,254**
15	RP180712	MIRA	2.2	Rational Combination Treatment Options to Reverse Resistance in Hormone Receptor–Positive Breast Cancer Refractory to Standard Therapy	Hunt	The University of Texas M. D. Anderson Cancer Center	\$5,992,274
16	RP180819	CFSA	2.2	Pediatric Solid Tumors Comprehensive Data Resource Core	Gorlick	The University of Texas M. D. Anderson Cancer Center	\$5,440,485***
17	RP180716	HIHRRRA	2.2	Noninvasive Diagnostic Imaging of Brain Cancer Using Hyperpolarized ¹³ C-Labeled L-Tryptophan and L-Methionine	Lumata	The University of Texas at Dallas	\$200,000
18	RP180670	CFSA	2.3	Small Animal Imaging Core Facility for Cancer Research at UT Dallas	Hoyt	The University of Texas at Dallas	\$3,892,336
19	RP180880	HIHRRRA	2.3	Targeting BRAF- and RAS-Mutant Cancers by Small Molecule–Induced Proteolysis of ERK1/2	Dalby	The University of Texas at Austin	\$200,000
20	RP180734	CFSA	2.3	UTHealth Cancer Genomics Core (UTHealth CGC)	Zhao	The University of Texas Health Science Center at Houston	\$4,814,267
21	RP180674	MIRA	2.4	Predictive Biomarkers and Novel Therapies for High-Risk Pediatric Liver Cancers	Lopez-Terrada	Baylor College of Medicine	\$5,982,208
22	RP180848	HIHRRRA	2.5	Autoimmune-Prone Mouse Models for Studying Immune-Related Adverse Events Associated With Cancer Immunotherapy	Yan	The University of Texas Southwestern Medical Center	\$200,000
23	RP180826	HIHRRRA	2.5	Integrative Analysis of Structural Variants in Cancer Genomes	Xu	The University of Texas Southwestern Medical Center	\$200,000
24	RP180690	HIHRRRA	2.6	Engineering Cancer Immunotherapeutics for Enhanced Activity in the Low pH Tumor	Maynard	The University of Texas at Austin	\$200,000

				Microenvironment			
25	RP180812	HIHRRA	2.6	Fluorescently Labeled Somatostatin Analogs for Image-Guided Surgery in Neuroendocrine Tumors	Azhdarinia	The University of Texas Health Science Center at Houston	\$200,000
26	RP180736	HIHRRA	2.7	Nanoparticle-Mediated Hyperthermia to Improve Chemotherapeutic Efficacy in HIPEC	Holder	The Methodist Hospital Research Institute	\$199,998
27	RP180751	HIHRRA	2.8	Methods for Assessment and Quantification of Imperfect dsDNA Break Repair	Otwinowski	The University of Texas Southwestern Medical Center	\$200,000
28	RP180801	HIHRRA	2.8	Targeting the Menopause Transition to Decrease the Risk for Obesity-Associated Postmenopausal Breast Cancer	Giles	Texas A&M University	\$200,000
29	RP180725	MIRA	2.8	Targeting Tumor Tissues Increases DNA Sensing to Bridge Innate and Adaptive Immunity	Fu	The University of Texas Southwestern Medical Center	\$6,000,000
30	RP180863	HIHRRA	2.9	Chemoprevention of Colon Cancer Progression in FAP Children	Hu	University of Houston	\$200,000
31	RP180771	HIHRRA	2.9	Small Molecule for Selective Targeting of Epithelial-Mesenchymal Transition-Induced Cancer Stem Cells	Taube	Baylor University	\$199,951
32	RP180810	HIHRRA	2.9	Controlling the Activity of Anticancer T Cells by Inducing Replicative Senescence	Mamonkin	Baylor College of Medicine	\$200,000
33	RP180875	HIHRRA	2.9	Cyanine-Conjugated Kinase Inhibitors (Cy-KIs) as Potential Glioblastoma Theranostics	Sitcheran	Texas A&M University System Health Science Center	\$200,000
34	RP180882	HIHRRA	3.0	Developing a Clinically Relevant Drug Testing Platform	Yun	The Methodist Hospital Research Institute	\$199,700
35	RP180846	HIHRRA	3.0	Molecular Opening of the Blood-Brain Barrier by Molecular	Qin	The University of Texas at Dallas	\$200,000

				Hyperthermia			
36	RP180827	HIHRRRA	3.1	Polymer Nanodiscs: Novel Lipoprotein-Mimicking Nanocarriers With High Stability and Long Circulation Time for Enhanced Anticancer Drug Delivery	Liang	Texas Tech University Health Sciences Center	\$200,000
37	RP180844	HIHRRRA	3.2	Regulating Androgen Receptor as a Corepressor by Neurofibromin (NF1)	Chang	Baylor College of Medicine	\$200,000
38	RP180873	HIHRRRA	3.2	Molecular Targeted Magnetic Resonance Reporter for Cancer Detection	Carson	Rice University	\$200,000
39	RP180862	HIHRRRA	3.3	Microfluidic Cancer Assay for Liquid Biopsies and Early Detection	Pappas	Texas Tech University	\$199,999
40	RP180851	HIHRRRA	3.4	Targeting MYCN-Driven Metabolism in Neuroblastoma	Barbieri	Baylor College of Medicine	\$200,000

*RP180785 reflects budget as reduced by the SRC. SRC recommended the removal of 2nd Prodigy Cell Processor

**RP180672 reflects recommended budget as reduced by the SRC. SRC recommended the elimination of salary support for Bioinformatician

***RP1800805 and RP180819 - The Scientific Review Council notes that Core Facility Support Award applications from UT Southwestern (RP180805) and MD Anderson (RP180819) propose separate comprehensive data cores to support pediatric cancer research in Texas. The goals of the individual applications complement each other and together represent a unique opportunity to build a statewide resource that will accelerate pediatric cancer research in Texas. To realize the full potential of the CPRIT investment in these cores, the Council recommends that prior to finalizing a funding plan for each core that the PIs and their respective institutions develop a plan that will maximize opportunities for the two cores to work together and to incorporate that plan into their core's goals and budget.

**Ludwig Institute for
Cancer Research Ltd**

July 19, 2018

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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 May 17, 2018 (REC Cycles 18.10), June 21, 2018 (REC Cycle 18.11) and July 12, 2018 (REC Cycle 18.12) 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.

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 \$32,000,000

At the time of review, the SRC also voted to recommend the following applications: RR180059, RR180058 and RR180057. However, these three applications were withdrawn by the applicants after the SRC recommendation, but prior to the date of this letter.

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	RR180061	Chao Cheng, Ph.D.	RRS	Baylor College of Medicine	\$4,000,000	1.0
2	RR180066	Xuebing Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.2
3	RR180060	Yejing Ge, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.2
4	RR180072	Tao Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.4
5	RR180032	Peng (George) Wang, Ph.D.	REI	Baylor College of Medicine	\$6,000,000	1.5
6	RR180051	Glen P. Liszczak, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
7	RR180050	Peter Ly, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
8	RR180056	Anke Henning, Ph.D.	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.0
9	RR180067	Fuguo Jiang, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	2.0
10	RR180042	Can Cenik, Ph.D.	RFTFM	The University of Texas at Austin	\$2,000,000	2.0
11	RR180071	Sung-Man (Kenneth) Chen, M.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.4

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 2
Core Facility Support Awards

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-18.2-CFSA

Core Facilities Support Awards

**Please also refer to the Instructions for Applicants document, which will
be posted October 18, 2017**

Applications for this award mechanism are subject to institutional limits.
Applicants are advised to consult with their institution's
Office of Research and Sponsored Programs (or equivalent).

Application Receipt Opening Date: October 18, 2017

Application Receipt Closing Date: January 31, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 8/25/17 RFA release

Rev 9/01/17 Section 5 – Eligibility

- Added language to indicate that “An individual may serve as a PI on no more than three active Academic Research grants.” (see [Section 5](#), bullet 11 for more details)

Rev 9/01/17 Section 10 – Key Dates

- Award Anticipated start date was updated from September 2018 to August 2018

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

Core Facility Support Awards seek to facilitate the development or improvement of core facilities that will provide valuable services to support and enhance scientifically meritorious cancer research projects. A user group of Texas-based investigators must be identified, each of whom should have supported cancer research projects that will make use of the requested facility. This requirement is not intended to exclude early career-stage investigators who have not yet secured peer-reviewed grant support. Successful applicants should be working in a research environment capable of supporting potentially high-impact cancer studies. CPRIT is particularly interested in supporting core facilities that provide enabling services to cancer investigators from multiple Texas institutions.

3. RESEARCH OBJECTIVES

CPRIT will foster cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research. This RFA solicits applications from institutions to establish or enhance core facilities (laboratory, clinical, population-based, or computer-based) that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer.

CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to survivorship. To fulfill this vision, applications may address any topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, cure, or quality of life. This award provides cancer researchers access to appropriate research infrastructure, instrumentation, and technical expertise necessary to achieve their research objectives. A wide variety of facilities can be supported, including, but not limited to, chemistry, high-throughput screening, biomedical imaging, proteomics, protein structure, molecular biology, genomics, metabolomics, animal physiology/metabolism, cell sorting, bioengineering, clinical research support, bioinformatics, and the like. Funds may be requested to develop a new facility or to enhance the capabilities of an existing facility that will directly support and impact cancer research programs at the institution and in the region.

4. FUNDING INFORMATION

The maximum duration for this award mechanism is 5 years. Applicants may request a maximum of \$3,000,000 in total costs for the first 2 years and up to \$1,000,000 in total costs for each subsequent year. Exceptions to these limits may be granted, but only if exceptionally well justified. Allowable expenses include the cost of instruments (preferably expended in the first 2 years), installation and/or necessary renovation expenses in the first year (installation/renovation expenses not to exceed 10% of the total first-year request), and maintenance/service contracts. Installation/renovation expenses can be requested in the first year only. Equipment should be purchased within the first 2 years. In addition, applicants may request salary support and fringe benefits for the facility director, data analysts, and technical staff; travel to scientific/technical meetings or collaborating institutions is also an allowable expense for these individuals. All of these costs and expenses must be prorated for direct use in cancer research efforts. Also allowable are funds to support the use of the facility by qualified cancer research investigators for relevant projects (research supplies and services, clinical research costs, etc). Institutions must describe the process to be used to disburse funds to support use of the facility by cancer investigators. Finally, some fraction of available funds may be used by the facility director for development of new or improved approaches to technical challenges. 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.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization 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; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Research Program.
- The Principal Investigator (PI) must be the director of the facility and must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted. The PI should also hold a faculty position, preferably at the level of associate or full professor or the equivalent.

- This award must be directed by the PI. Co-PIs are not permitted.
- 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. Collaborators should have specific and well-defined roles. 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. In no event shall equipment purchased under this award leave the State of Texas.
- An institution may submit only 1 application (1 new or 1 renewal, or 1 resubmission) under this RFA during this funding cycle. An exception will be made for institutions submitting applications for core facilities that support research directed toward childhood and adolescent cancer; in this case, institutions may submit 1 childhood and adolescent cancer application and 1 additional application in another aspect of cancer research (new or renewal, or resubmission).
- For purposes of this RFA, an institution is defined as that component of a university system that has a geographically distinct campus.
- Academic Institutions and Health Science Centers that are components of the same university system and share a contiguous or near contiguous campus are eligible to submit a single application.
- A PI may only resubmit an application that was previously not funded once (see [section 6](#)).
- Support for only 1 facility may be requested per application. Collaborative applications among institutions are permitted and encouraged. However, such collaboration must not be used as a pretext for supporting more than 1 facility at a given institution. Further, applicants must not attempt to assemble illogical technical combinations and capabilities under one roof. Examples of illogical combinations would include protein mass spectrometry with DNA sequencing or light microscopy with magnetic resonance imaging.
- The coherence of the facility and the ability of the PI/facility director to oversee all of the facility's operations will be critical components of the review process. If support is requested for an existing facility, applicants must make it clear how CPRIT support will enhance its capabilities and improve access for cancer investigators rather than simply

replace ongoing institutional support.

- An individual may serve as a PI on no more than three active Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the three-grant maximum, however CPRIT considers project leaders on a MIRA award equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be 8/31/18).
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, 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 PI, 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 institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, 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. 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.

6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. This resubmission policy applies to renewal applications that were submitted in response to RFA R-17-CFSA-1 and not awarded.

More than 1 resubmission per application is not permitted. An application is considered a resubmission if the proposed core facility is the same as that presented in the original submission. A change in the identity of the PI for a core facility or a change of title of the facility that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. This policy is in effect for all applications submitted to date (see [section 8.2.5](#)).

7. RENEWAL POLICY

Renewal applications for existing Core Facility Support Awards that are scheduled to end in FY 2018 will be accepted in response to this RFA.

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 was submitted. The PI must create a user account in the system to start and submit an 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 (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 beginning at 7 AM central time on October 18, 2017, and must be submitted by 4 PM central time on January 31, 2018. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. 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. Please note that deadline extension requests are very rarely approved.

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details 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 5](#) will be administratively rejected without review.

8.2.1. Abstract and Significance (5,000 characters)

Clearly explain the proposed program, including a summary of the facility to be developed, an outline of the goals of the research projects that will be supported, and an overview of institutional infrastructure and commitment. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the core facility plan. Clearly address how the proposed project, if successful, will have a major impact on cancer.

Note: It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem, that better diagnostic and therapeutic approaches are needed urgently, or that the type of cancer of interest to the PI is important, vexing, or deadly).

8.2.2. Layperson's Summary (2,000 characters)

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential

significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding.

Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 9.1](#)) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success.

8.2.4. Timeline (1 page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. 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.

8.2.5. Institutional Support (2 pages)

Each application must be accompanied by a letter of institutional support from the president or provost or equivalent indicating commitment to the program and certifying that this is the sole application submitted by this institution in response to this RFA. Furthermore, the letter should indicate support of the facility for activities not related to cancer research. An additional letter should be submitted by the person to whom the facility director reports, ensuring that the facility will be operated in a superior fashion and discussing how this will be ascertained.

8.2.6. Resubmission Summary (1 page)

Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may prepare a fresh core facility plan or modify the original core facility plan and mark the changes. However, 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.

8.2.7. Renewal Summary (2 pages)

Applicants preparing a renewal of a CPRIT-funded core facility must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Peer-reviewed grants, publications, and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.8. Core Facility Plan (5 pages)

Background: Present the rationale and need for the facility, emphasizing the pressing problems in cancer research that will be addressed. Address how the proposed facility does not duplicate services provided by existing facilities.

Instrument Details: Provide details of the equipment/instruments, if any, that will be acquired.

Technical Expertise: Describe the qualifications of the facility director and other key personnel that make them suitable to oversee the establishment and operations of the facility.

Administrative Plan: Clearly describe the plan under which the operation, sharing, time allocation, and maintenance of the facility will be administered. Discuss the plan for cost recovery for core services. Discuss if cancer researchers from other Texas academic institutions or industry scientists have access to the facility and the terms for such access.

Training Plan: Describe the plan to train users to use the facility and also to evaluate the results obtained.

Sustainability: Describe plans for the continuation of the core facility service at the conclusion of the CPRIT award.

8.2.9. Vertebrate Animals and/or Human Subjects (2 pages)

If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

8.2.10. Publications/References

Provide a concise and relevant list of publications/references cited for the application.

8.2.11. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level.

However, if there is a highly specific and defensible need to request more than the maximum amount in any year(s) of the proposed budget, include a special and clearly labeled section in the budget justification that explains the request. Poorly justified requests of this type will likely have a negative impact on the overall evaluation of the application.

In preparing the requested budget, applicants should be aware of the following:

- 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.
- Texas law limits the amount of grant funds that may be spent on indirect costs 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, which are available at www.cprit.texas.gov. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be administratively withdrawn.
- The annual salary (also referred to as direct salary or institutional base salary) that an

individual may receive under a CPRIT award for FY 2018 is \$200,000; CPRIT FY 2018 is from September 1, 2017, through August 31, 2018. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

8.2.12. User Group (8 pages)

Provide concise descriptions of the research projects of major users of the facility. Provide a tabular summary of all users of the requested facility. List the names of all researchers, their academic appointment and affiliation, funded project title(s)/number(s) (wherever applicable), a brief description of the project(s), and approximate percentage use of the facility for direct use in cancer research efforts.

8.2.13. Biographical Sketches (5 pages each)

The PI should provide a biographical sketch that describes his/her education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for the PI (as required by the online application receipt system). Up to 5 additional biographical sketches for key personnel from the user group may be provided. Each biographical sketch must not exceed 5 pages.

8.2.14. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project, and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI must be provided.

8.2.15. Institutional/Collaborator Support and/or Other Certification (4 pages)

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 4 pages may be

provided.

8.2.16. Previous Summary Statement

If the application is being resubmitted, the 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.

Applications that are missing 1 or more of these components; exceed the specified page, word, or budget limits; or that do not meet the eligibility requirements listed above will be administratively withdrawn.

9. APPLICATION REVIEW

9.1. Review Process Overview

All eligible applications will be evaluated using a 2-stage peer review process: (1) Peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts, as well as advocate reviewers, using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by the Scientific 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 to 703.8](#).

9.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, 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 Peer Review Panel members and Scientific Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **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 Scientific Review Panel 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 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 RFAs are announced and CARS opens. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.3. Review Criteria

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific**

merit of each application is within the sole discretion of the peer reviewers.

9.3.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the request for the instrument/equipment. Primary criteria include the following:

Justification of Need/Value: Is the need for the facility justified? Is it necessary and appropriate for the research projects? Will the state-of-the-art facility directly support and impact cancer research programs at the institution and in the region? How will the availability of the facility offer incipient research projects by investigators at various career stages the opportunity to develop? Will the facility make the user group more competitive for external funding?

Quality and Significance of research projects supported: Does the facility support a significant number of different, independently funded users? Are the projects at the forefront of cancer research? Are the projects of significance in reducing cancer incidence, morbidity, or mortality?

Technical Expertise: Is there sufficient technical expertise for optimal use of the facility? How well qualified is the user group to take optimal advantage of the facility and evaluate the research results for the proposed projects? How will the facility be maintained? Is there a satisfactory training plan for new users?

Administration: Is there assurance that the facility will be managed and operated in a superior fashion? To whom does the facility director report? Is that person committed to appropriate oversight (a letter of commitment should be submitted)? Is there an adequate plan for the management of the facility, including an appropriate system for charging for services and subsidy of user fees for specific cancer-related projects and individuals (especially early career-stage investigators)? How will facility time be allocated among the projects? Have biosafety issues been addressed? Are there criteria and is there a mechanism for prioritization of user requests? Are there appropriate advisory committees?

Institutional Commitment: Is there clear institutional commitment for support of the facility for cancer research? Has the host institution provided an appropriate site for the facility?

9.3.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed project.

Secondary criteria include the following:

Research Environment: Does the team have the needed expertise and resources to accomplish all aspects of the project? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support for the project?

Vertebrate Animals and/or Human Subjects: If vertebrate animals and/or human subjects are included in the proposed research, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

Budget: Is the budget appropriate for the proposed work?

Duration: Is the stated duration appropriate for the proposed work?

10. KEY DATES

RFA

RFA release	August 25, 2017
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Application

Online application opens	October 18, 2017, 7 AM central time	Application due
	January 31, 2018, 4 PM central time	
Application review	February 2018 to May 2018	

Award

Award notification	August 2018
Anticipated start date	August 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. 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 award contract.

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 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 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 any other funding opportunity, should be directed to the CPRIT 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 – Cancer Prevention Research 18.2 Peer Review
Observation Report

Report No. 2018-05-18 ACR_CPR_18.2
Program Name: Academic Research
Panel Name: Cancer Prevention Research (CPR_18.2)

Panel Date: May 18, 2018
Report Date: June 5, 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 – Cancer Prevention Research 18.2 Peer Review Meeting. The meeting was chaired by Tom Sellers and conducted in person on May 18, 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
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Cancer Prevention Research 18.2 Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Prevention Research panel discussion:

- Nineteen (19) applications were discussed; nineteen (19) applications were not discussed;
- Participants: One (1) Panel Chair; sixteen (16) expert review panelists; and two (2) advocate reviewers;
- The panelists' discussions were limited to the evaluation criteria;
- Five (5) CSRA employees participated in the meeting. Two additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in discussions around the merits of the applications;
- Two (2) CPRIT staff members were present in the room and participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- Nineteen (19) COIs were identified prior to and/or during the meeting. Eight (8) COIs pertained to applications discussed and eleven (11) COIs pertained to applications not discussed;
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. The reviewers signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Prevention Research 18.2 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research Basic Cancer Research Peer Review Panel 1
Observation Report

Report No. 2018_05_21 ACR_BCR_18.2 Panel 1
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.2-1 (BCR-1)

Panel Date: May 21, 2018
Report Date: June 5, 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 Basic Cancer Research 18.2 Panel 1 Peer Review Meeting. The meeting was chaired by Thomas Curran and conducted in person and via teleconference on May 21, 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 panel discussions on the merits of applications; and
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Three (3) BFS independent observers participated in the Basic Cancer Research Peer Review panel meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Basic Cancer Research 18.2-1 discussion:

- Twenty-two (22) applications were discussed; thirty-six (36) applications were not discussed;
- Participants: One (1) panel chair; Seventeen (17) expert peer review panelists, and two (2) advocate peer review panelists;
- Panelists' discussions were limited to the evaluation criteria;
- Six (6) CSRA staff members participated in the meeting. Three (3) additional CSRA or contract staff participated intermittently in a logistics support role;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Two (2) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of Interest (COI):

- Sixteen (16) COIs were identified prior to and/or during the meeting. All pertained to applications not discussed.

A list of all attendees, sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.2-1 meeting 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA

Senior Partner

Business & Financial Management Solutions, LLC

June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
 Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research – Imaging Technology and Informatics 18.2
(ITI 18.2) Peer Review
Observation Report

Report No. 2018-05-24 ACR_ITI_18.2
Program Name: Academic Research
Panel Name: Imaging Technology and Informatics 18.2 (ITI_18.2)

Panel Date: May 24, 2018
Report Date: June 5, 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 – Imaging Technology and Informatics 18.2 (ITI_18.2) Peer Review Meeting. The meeting was chaired by Sanjiv Sam Gambhir and conducted in person on May 24, 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

- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Academic Research – Imaging Technology and Informatics 18.2 (ITI_18.2) Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Academic Research – Imaging Technology and Informatics 18.2 (ITI_18.2) panel discussion:

- Twenty-seven (27) applications were discussed; thirty-seven (37) applications were not discussed;
- Participants: One (1) Panel Chair; twenty-three (23) expert review panelists; and two (2) advocate reviewers;
- The panelists' discussions were limited to the evaluation criteria;
- Four (4) CSRA employees participated in the meeting. One (1) additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in discussions around the merits of the applications;
- Four (4) CPRIT staff members were present in the room and participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- Twelve (12) COIs were identified prior to and/or during the meeting. One (1) COI pertained to applications discussed and eleven (11) COIs pertained to applications not discussed;
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. The reviewers signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research – Imaging Technology and Informatics 18.2 (ITI_18.2) Peer Review Meeting 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research – Clinical /Translational Cancer Research 18.2
Peer Review
Observation Report

Report No. 2018-05-22 ACR_C/TCR_18.2
Program Name: Academic Research
Panel Name: Clinical /Translational Cancer Research 18.2 (C/TCR_18.2)

Panel Date: May 22, 2018
Report Date: July 10, 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 Clinical /Translational Cancer Research 18.2 (C/TCR_18.2) Peer Review Meeting. The meeting was chaired by Richard O'Reilly and Margaret Temporo and conducted in person and via teleconference on May 22, 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

- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Clinical /Translational Cancer Research 18.2 Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Clinical /Translational Cancer Research 18.2 panel discussion:

- Forty-seven (47) applications were discussed; thirty-nine (39) applications were not discussed;
- Participants: Two (2) Panel Chairs; twenty-nine (29) expert review panelists; and three (3) advocate reviewers;
- Panelists' discussions were limited to the evaluation criteria;
- Six (6) CSRA employees participated in the meeting. Two (2) additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in discussions around the merits of the applications;
- Three (3) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- Twenty-two (22) COIs were identified prior to and/or during the meeting. Eleven (11) COIs pertained to applications discussed and eleven (11) COIs pertained to applications not discussed; COI Garth Powis did not sign out for RP180882 on the Peer Review Certification sheet.
- Reviewers identified as having COIs on the COI certification sheets left the room and did not participate in the review of conflicted applications. The reviewers identified on the COI certification sheets signed out on the COI certification sheets when leaving the room. Garth Powis was not identified on the pre-meeting COI certification sheets provided as a COI for RP180882; however, he was listed as a COI for RP180882 on the Pre-Meeting Scores-Order of Review and did not sign out for RP180882 on the COI certification sheets.

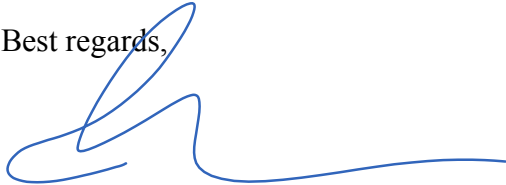
In conclusion; we observed that the activities of Clinical /Translational Cancer Research 18.2 (C/TCR_18.2) Panel were limited to the identified objectives noted earlier in this report.

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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research Basic Cancer Research Peer Review Panel 2
Observation Report

Report No. 2018_05_21 ACR_BCR_18.2 Panel 2
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.2-2 (BCR-2)

Panel Date: May 23, 2018
Report Date: June 5, 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 Basic Cancer Research 18.2 Panel 2 Peer Review Meeting. The meeting was chaired by Carol Prives and conducted in person and via teleconference on May 23, 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 panel discussions on the merits of applications; and
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Basic Cancer Research Peer Review Panel 2 meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Basic Cancer Research 18.2 Panel 2 discussion:

- Twenty-five (25) applications were discussed; twenty-two (22) applications were not discussed;
- Participants: One (1) panel chair; thirteen (13) expert peer review panelists, and two (2) advocate peer review panelists;
- Panelists' discussions were limited to the evaluation criteria.
- Four (4) CSRA employees were present in the room and participated in the meeting;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Three (3) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;

Regarding applications with a conflict of Interest (COI):

- Seventeen (17) COIs were identified prior to and/or during the meeting. Fourteen (14) pertained to applications discussed, three (3) to applications not discussed.

A list of all attendees, sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives.

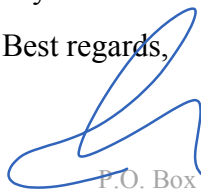
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.2 Panel 2 meeting 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research – Cancer Biology 18.2 Peer Review
Observation Report

Report No. 2018-05-25 ACR_CB_18.2
Program Name: Academic Research
Panel Name: Cancer Biology 18.2 (CB_18.2)

Panel Date: May 25, 2018
Report Date: June 5, 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 – Cancer Biology 18.2 (CB_18.2) Peer Review Meeting. The meeting was chaired by Peter Jones and conducted in person and via teleconference on May 25, 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
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Cancer Biology 18.2 (CB_18.2) Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Biology 18.2 (CB_18.2) panel discussion:

- Twenty-two (22) applications were discussed; thirty (30) applications were not discussed;
- Participants: One (1) Panel Chair; sixteen (16) expert review panelists; and two (2) advocate reviewers;
- The panelists' discussions were limited to the evaluation criteria;
- Four (4) CSRA employees were present in the room and participated in the meeting;
- CSRA staff did not participate in discussions around the merits of the applications;
- Five (5) CPRIT staff members were present in the room and participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- One (1) COIs were identified prior to and/or during the meeting, which pertained to applications discussed;
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. The reviewers signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

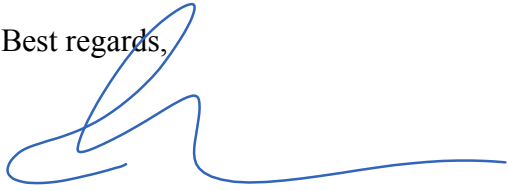
Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Biology 18.2 (CB_18.2) 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research Peer Review Observation Report

Report No. 2018-07-12_SRC_18.2
Program Name: Academic Research
Panel Name: FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC)
Panel Date: July 12, 2018
Report Date: July 17, 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 FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC). The meeting was chaired by Richard Kolodner and conducted via teleconference on July 12, 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 panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observer participated in the FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC) discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the meeting:

- Forty-one (41) applications were discussed;
- Participants: One (1) Panel Chair and five (5) 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 were no (0) COIs identified prior to or during the meeting. 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 FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC) 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 18.2 Applications
(Academic Research Cycle 18.2 Awards Announced at August 24, 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 18.2 include *Core Facility Support Awards*, *High-Impact/High-Risk Research Awards*, and *Multi-Investigator Research Awards*. 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			
RP180813	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-AC	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-C1	Zamal Ahmed	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P1	Junjie Chen	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P2	Katharina Schlacher	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P3	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P4	Banu Arun	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin

* = Not discussed

Academic Research Cycle 18.2

Application ID	Applicant/PI	Institution	Conflict Noted
RP180755	Philip Lupo	Baylor College of Medicine	Electra Paskett
RP180725	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-AC	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-C1	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-P1	Zhijian Chen	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-P2	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-P3	Raquibul Hannan	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180785	Adrian Gee	Baylor College of Medicine	Robertson Parkman
RP180880	Kevin Dalby	The University of Texas at Austin	Garth Powis; Angelos Angelou
RP180882	Kyuson Yun	The Methodist Hospital Research Institute	Garth Powis; Howard. Hochster
RP180690	Jennifer Maynard	The University of Texas at Austin	Angelos Angelou
Applications not considered by the PIC or Oversight Committee			
RP180733*	Richard Gorlick	The University of Texas M. D. Anderson Cancer Center	Jose Conejo-Garcia
RP180733-AC*	Richard Gorlick	The University of Texas M. D. Anderson Cancer Center	J. Conejo-Garcia

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180733-C1*	David Wheeler	Baylor College of Medicine	Jose Conejo-Garcia
RP180733-P1*	Richard Gorlick	The University of Texas M. D. Anderson Cancer Center	Jose Conejo-Garcia
RP180733-P2*	Peter Houghton	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180733-P3*	Carl Allen	Baylor College of Medicine	Jose Conejo-Garcia
RP180733-P4*	C Patrick Reynolds	Texas Tech University Health Sciences Center	Jose. Conejo-Garcia
RP180754*	Alexei Tumanov	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779*	Alexander Bishop	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-AC*	Alexander Bishop	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-C1*	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-C2*	Yogesh Gupta	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-C3*	Yidong Chen	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-P1*	Katsumi Kitagawa	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180779-P2*	Alexander Bishop	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-P3*	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180849*	Leonidas Bleris	The University of Texas at Dallas	Matthew Weitzman
RP180892*	Bartosz Szczesny	The University of Texas Medical Branch at Galveston	Alan Tomkinson; Walter Chazin
RP180765	Dean Edwards	Baylor College of Medicine	Geoffrey Greene
RP180680*	Hye-Chung Kum	Texas A&M University	Thomas Brandon
RP180686	Kathleen Schmeler	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180686-AC	Kathleen Schmeler	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180686-C1	Rebecca Richards-Kortum	Rice University	Electra Paskett
RP180686-C2	David Lairson	The University of Texas School of Public Health	Electra Paskett
RP180686-P1	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180686-P2	Elizabeth Chiao	Baylor College of Medicine	Electra Paskett
RP180686-P3	Ana Rodriguez	The University of Texas Medical Branch at Galveston	Electra Paskett
RP180732*	Maria Suarez-Almazor	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180732-AC*	Maria Suarez-Almazor	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-C1*	Susan Peterson	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-C2*	Lorna McNeill	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-C3*	Alma Rodriguez	The University of Texas M. D. Anderson Cancer Center	Gloria. Petersen
RP180732-P1*	Susan Peterson	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-P2*	Maria Suarez-Almazor	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-P3*	Eduardo Bruera	The University of Texas M. D. Anderson Cancer Center	Gloria. Petersen
RP180732-P4*	Tina Shih	The University of Texas M. D. Anderson Cancer Center	Gloria. Petersen
RP180874*	Diane Santa Maria	The University of Texas Health Science Center at Houston	Electra Paskett
RP180815	Ruiwen Zhang	University of Houston	Ying Lu
RP180822*	Aung Naing	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-AC*	Aung Naing	The University of Texas M. D. Anderson Cancer Center	Howard Hochster

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180822-C1*	Andrew Futreal	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-C2*	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P1*	Anisha Patel	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P2*	Yinghong Wang	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P3*	Naval Daver	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P4*	Mehmet Altan	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P5*	Charles Cleeland	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180872*	Rongfu Wang	The Methodist Hospital Research Institute	Alessandro Sette;W. Martin Kast
RP180678	Kenneth Hoyt	The University of Texas at Dallas	Kurt Zinn
RP180777*	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-AC*	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-C1*	Vidya Gopalakrishnan	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180777-C2*	Katy Rezvani	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-C3*	Jason Cook	NanoHybrids, Inc.	Ross Berbeco
RP180777-P1*	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-P2*	James Bankson	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-P3*	Amer Najjar	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180780*	Richard Bouchard	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180820*	Georgios Alexandrakis	The University of Texas at Arlington	Arion-Xenofon Chatziioannou; Anna Wu

* = Not discussed

De-Identified Overall Evaluation Scores

Core Facility Support Awards

Academic Research Cycle 18.2

Application ID	Final Overall Evaluation Score
RP180684*	1.1
RP180785*	1.5
RP180770*	1.9
RP180804*	1.9
RP180805*	2.0
RP180748*	2.1
RP180672*	2.2
RP180819*	2.2
RP180670*	2.3
RP180734*	2.3
A	3.1
B	3.3
C	3.3
D	3.3
E	3.7
F	3.7
G	3.7
H	4.0
I	4.3
J	4.3
K	4.3
L	4.6
M	5.0
N	5.0
O	5.0
P	5.3
Q	7.0

* Recommended for award

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

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July 19, 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 research grant recommendations for the Core Facility Support Awards (CFSA), High Impact/High Risk Research Awards (HIHR) and Multi-Investigator Research Awards (MIRA). The SRC met on July 12, 2018 to consider the applications recommended by the peer review panels following their meetings that were held May 18, 2018 - May 25, 2018.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$84,088,098.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, 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	ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Recommended Budget
1	RP180684	CFSA	1.1	Integrated Single Cell Genomics Core Facility	Navin	The University of Texas M. D. Anderson Cancer Center	\$5,323,453
2	RP180778	MIRA	1.3	Metabolic Enablers of Melanoma Progression	Morrison	The University of Texas Southwestern Medical Center	\$5,998,327
3	RP180785	CFSA	1.5	CARMIT (Children's Access to Regenerative Medicine in Texas)	Gee	Baylor College of Medicine	\$5,767,448*
4	RP180804	CFSA	1.9	Protein Array and Analysis Core (PAAC)	Bedford	The University of Texas M. D. Anderson Cancer Center	\$2,819,682
5	RP180755	HIHRRRA	1.9	The Early-Life Exposome and Risk of Pediatric Acute Lymphoblastic Leukemia	Lupo	Baylor College of Medicine	\$199,140
6	RP180770	CFSA	1.9	Preclinical Radiation Core Facility (PCRCF)	Story	The University of Texas Southwestern Medical Center	\$4,047,022
7	RP180700	HIHRRRA	2.0	Mechanisms of Drug Resistance in Lung Cancer	Alto	The University of Texas Southwestern Medical Center	\$200,000
8	RP180835	HIHRRRA	2.0	Targeted Proteolysis of Glucocorticoid Receptor as a Therapeutic Strategy in Antiandrogen Treatment-Resistant Prostate Cancer	Lissanu Deribe	The University of Texas M. D. Anderson Cancer Center	\$199,999
9	RP180805	CFSA	2.0	Pediatric Cancer Data Core	Xie	The University of Texas Southwestern Medical Center	\$5,863,959***
10	RP180748	CFSA	2.1	GCC Center for Comprehensive PK/PD and Formulation	Liang	Texas Southern University	\$5,550,456
11	RP180694	HIHRRRA	2.2	TREX2 Inhibitors to Treat BCR-ABL- Cancers	Hasty	The University of Texas Health Science Center at San Antonio	\$200,000
12	RP180769	HIHRRRA	2.2	A Novel Anti-BCR-ABL Approach for Leukemia Therapy	Rao	The University of Texas Health Science Center at San Antonio	\$200,000
13	RP180813	MIRA	2.2	BRCA Answers From Cancer Interactome Structures (BACIS)	Tainer	The University of Texas M. D. Anderson Cancer	\$5,969,140

						Center	
14	RP180672	CFSA	2.2	Advanced Multiparameter Cytometry and Cell Sorting Core	Beeton	Baylor College of Medicine	\$5,628,254**
15	RP180712	MIRA	2.2	Rational Combination Treatment Options to Reverse Resistance in Hormone Receptor–Positive Breast Cancer Refractory to Standard Therapy	Hunt	The University of Texas M. D. Anderson Cancer Center	\$5,992,274
16	RP180819	CFSA	2.2	Pediatric Solid Tumors Comprehensive Data Resource Core	Gorlick	The University of Texas M. D. Anderson Cancer Center	\$5,440,485***
17	RP180716	HIHRRRA	2.2	Noninvasive Diagnostic Imaging of Brain Cancer Using Hyperpolarized ¹³ C-Labeled L-Tryptophan and L-Methionine	Lumata	The University of Texas at Dallas	\$200,000
18	RP180670	CFSA	2.3	Small Animal Imaging Core Facility for Cancer Research at UT Dallas	Hoyt	The University of Texas at Dallas	\$3,892,336
19	RP180880	HIHRRRA	2.3	Targeting BRAF- and RAS-Mutant Cancers by Small Molecule–Induced Proteolysis of ERK1/2	Dalby	The University of Texas at Austin	\$200,000
20	RP180734	CFSA	2.3	UTHealth Cancer Genomics Core (UTHealth CGC)	Zhao	The University of Texas Health Science Center at Houston	\$4,814,267
21	RP180674	MIRA	2.4	Predictive Biomarkers and Novel Therapies for High-Risk Pediatric Liver Cancers	Lopez-Terrada	Baylor College of Medicine	\$5,982,208
22	RP180848	HIHRRRA	2.5	Autoimmune-Prone Mouse Models for Studying Immune-Related Adverse Events Associated With Cancer Immunotherapy	Yan	The University of Texas Southwestern Medical Center	\$200,000
23	RP180826	HIHRRRA	2.5	Integrative Analysis of Structural Variants in Cancer Genomes	Xu	The University of Texas Southwestern Medical Center	\$200,000
24	RP180690	HIHRRRA	2.6	Engineering Cancer Immunotherapeutics for Enhanced Activity in the Low pH Tumor	Maynard	The University of Texas at Austin	\$200,000

				Microenvironment			
25	RP180812	HIHRRRA	2.6	Fluorescently Labeled Somatostatin Analogs for Image-Guided Surgery in Neuroendocrine Tumors	Azhdarinia	The University of Texas Health Science Center at Houston	\$200,000
26	RP180736	HIHRRRA	2.7	Nanoparticle-Mediated Hyperthermia to Improve Chemotherapeutic Efficacy in HIPEC	Holder	The Methodist Hospital Research Institute	\$199,998
27	RP180751	HIHRRRA	2.8	Methods for Assessment and Quantification of Imperfect dsDNA Break Repair	Otwinowski	The University of Texas Southwestern Medical Center	\$200,000
28	RP180801	HIHRRRA	2.8	Targeting the Menopause Transition to Decrease the Risk for Obesity-Associated Postmenopausal Breast Cancer	Giles	Texas A&M University	\$200,000
29	RP180725	MIRA	2.8	Targeting Tumor Tissues Increases DNA Sensing to Bridge Innate and Adaptive Immunity	Fu	The University of Texas Southwestern Medical Center	\$6,000,000
30	RP180863	HIHRRRA	2.9	Chemoprevention of Colon Cancer Progression in FAP Children	Hu	University of Houston	\$200,000
31	RP180771	HIHRRRA	2.9	Small Molecule for Selective Targeting of Epithelial-Mesenchymal Transition-Induced Cancer Stem Cells	Taube	Baylor University	\$199,951
32	RP180810	HIHRRRA	2.9	Controlling the Activity of Anticancer T Cells by Inducing Replicative Senescence	Mamonkin	Baylor College of Medicine	\$200,000
33	RP180875	HIHRRRA	2.9	Cyanine-Conjugated Kinase Inhibitors (Cy-KIs) as Potential Glioblastoma Theranostics	Sitcheran	Texas A&M University System Health Science Center	\$200,000
34	RP180882	HIHRRRA	3.0	Developing a Clinically Relevant Drug Testing Platform	Yun	The Methodist Hospital Research Institute	\$199,700
35	RP180846	HIHRRRA	3.0	Molecular Opening of the Blood-Brain Barrier by Molecular	Qin	The University of Texas at Dallas	\$200,000

				Hyperthermia			
36	RP180827	HIHRRRA	3.1	Polymer Nanodiscs: Novel Lipoprotein- Mimicking Nanocarriers With High Stability and Long Circulation Time for Enhanced Anticancer Drug Delivery	Liang	Texas Tech University Health Sciences Center	\$200,000
37	RP180844	HIHRRRA	3.2	Regulating Androgen Receptor as a Corepressor by Neurofibromin (NF1)	Chang	Baylor College of Medicine	\$200,000
38	RP180873	HIHRRRA	3.2	Molecular Targeted Magnetic Resonance Reporter for Cancer Detection	Carson	Rice University	\$200,000
39	RP180862	HIHRRRA	3.3	Microfluidic Cancer Assay for Liquid Biopsies and Early Detection	Pappas	Texas Tech University	\$199,999
40	RP180851	HIHRRRA	3.4	Targeting MYCN- Driven Metabolism in Neuroblastoma	Barbieri	Baylor College of Medicine	\$200,000

*RP180785 reflects budget as reduced by the SRC. SRC recommended the removal of 2nd Prodigy Cell Processor

**RP180672 reflects recommended budget as reduced by the SRC. SRC recommended the elimination of salary support for Bioinformatician

***RP1800805 and RP180819 - The Scientific Review Council notes that Core Facility Support Award applications from UT Southwestern (RP180805) and MD Anderson (RP180819) propose separate comprehensive data cores to support pediatric cancer research in Texas. The goals of the individual applications complement each other and together represent a unique opportunity to build a statewide resource that will accelerate pediatric cancer research in Texas. To realize the full potential of the CPRIT investment in these cores, the Council recommends that prior to finalizing a funding plan for each core that the PIs and their respective institutions develop a plan that will maximize opportunities for the two cores to work together and to incorporate that plan into their core's goals and budget.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 2
High-Impact/High-Risk
Research Awards

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-18.2-HIHR

High-Impact/High-Risk Research Awards

**Please also refer to the Instructions for Applicants document, which will be
posted October 18, 2017**

Applications for this award mechanism are subject to institutional limits.
Applicants are advised to consult with their institution's
Office of Research and Sponsored Programs (or equivalent).

Application Receipt Opening Date: October 18, 2017

Application Receipt Closing Date: January 31, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 8/25/17 RFA release

Rev 9/01/17 Section 5 – Eligibility

- Added language to indicate that “An individual may serve as a PI on no more than three active Academic Research grants.” (see [Section 5](#), bullet 6 for more details)

Rev 9/01/17 Section 9 – Key Dates

- Award Anticipated start date was updated from September 2018 to August 2018

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

CPRIT High-Impact/High-Risk (HIHR) Research Awards seek to provide short-term funding to explore the feasibility of high-risk projects that, if successful, would contribute major new insights into the etiology, diagnosis, treatment, or prevention of cancers. Because HIHR Research Awards are designed to support new ideas, preliminary data are not required. Using this mechanism, CPRIT intends to support innovative, developmental projects that focus on exceptionally promising topics that are not yet sufficiently mature to compete successfully for more conventional funding. The HIHR Research Awards are expected to provide the foundation for individual or multiple investigator awards upon completion. Applicants must explain why more conventional sources of support are not available for the proposed research and how short-term funding will lead to strong applications for additional support.

Applications that might be described as “mini-R01s” will not be competitive. **The goal of this award mechanism is to fund uncommonly great ideas that merit the opportunity to acquire preliminary data. There should be reasons for the idea to be plausible, but CPRIT acknowledges that most of the selected projects will ultimately fail to meet their primary goals. The rare proposals that succeed will be of sufficient importance to justify this program.** Applications may address any research topic related to cancer biology, causation, prevention, detection, screening, treatment, or survivorship.

3. RESEARCH OBJECTIVES

Areas of interest include laboratory research, translational studies, and population-based and/or clinical investigations. In that cancers arise from a large number of derangements of basic molecular and cellular functions, which, in turn, cause many alterations in basic biological processes, almost any aspect of biology may be relevant to cancer research, more or less directly. The *degree of relevance* to cancer research will be an important criterion for evaluation of projects for funding by CPRIT ([section 8.3.1](#)). For example, are alterations in the process in question *primarily* responsible for oncogenesis or secondary manifestations of malignant transformation? Will understanding the process or interfering with it offer selective and useful insight into prevention, diagnosis, or treatment of cancer? *Successful applicants for funding from CPRIT will have addressed these questions satisfactorily.*

4. FUNDING INFORMATION

Applicants may request a total of \$200,000 for a period of up to 24 months (2 years), inclusive of both direct and indirect costs. Because of the nature of this funding mechanism, renewal applications will not be accepted. Follow-on applications will not be funded until the time requested for the HIHR Research Award has passed. Award funds may be used to pay for salary and benefits, research supplies, equipment, and clinical costs. Requests for funds for travel to scientific meetings other than the CPRIT biennial conference are not appropriate for this funding mechanism, nor are requests for funds to support construction and/or renovation. 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.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is also eligible for funding under this award mechanism.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent and reside in Texas for the period of the time that the research that is the subject of the grant is conducted.
- A PI may submit only 1 new or resubmission application under this RFA during this funding cycle.
- One Co-PI may be included. An individual may serve as a Co-PI in more than 1 application but should ensure that he or she could dedicate adequate time and effort should more than 1 application be funded. The Co-PI must reside in Texas for the period of the time that the research that is the subject of the grant is conducted.
- 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. Collaborators should have specific and well-defined roles. 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 individual may serve as a PI on no more than three active Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the three-grant

maximum, however CPRIT considers project leaders on a MIRA award equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be 8/31/18).

- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, 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 PI, 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 PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to 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 10](#) and [section 11](#). All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not 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 PI for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. This policy is in effect for all applications submitted to date (see [section 7.2.5](#)).

7. RESPONDING TO THIS RFA

7.1. 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 was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, 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 (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 beginning at 7 AM central time on October 18, 2017, and must be submitted by 4 PM central time on January 31, 2018. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.1.1. Submission Deadline Extension

The submission deadline may be extended upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. 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. Please note that deadline extension requests are very rarely approved.

7.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are

missing 1 or more components or that do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

7.2.1. Abstract and Significance (5,000 characters)

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract, although they need not be restated verbatim from the research plan. Clearly address how the proposed project, if successful, will have a major impact on the field of cancer research or on the care of patients with cancer. Summarize how the proposed research creates new paradigms or challenges existing ones.

7.2.2. Layperson's Summary (2,000 characters)

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer prevention research, early diagnosis, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 8.1](#)) in evaluating the significance and impact of the proposed work.

7.2.3. Goals and Objectives

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success.

7.2.4. Timeline (1 page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. 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.

7.2.5. Resubmission Summary (1 page)

Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may prepare a fresh research plan or modify the original research plan and mark the changes. However, 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.

7.2.6. Research Plan (4 pages)

Background: Present the rationale behind the proposed project, emphasizing the pressing problem in cancer research that will be addressed. Preliminary data are not required, but strong reasoning and literature support will obviously enhance the application.

Hypothesis and Specific Aims: Concisely state the hypothesis and/or specific aims to be tested or addressed by the research described in the application.

Research Strategy: Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Preliminary data that support the proposed hypothesis are encouraged but not required.

7.2.7. Vertebrate Animals and/or Human Subjects (2 pages)

If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

7.2.8. Publications/References

Provide a concise and relevant list of publications/references cited for the application.

7.2.9. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Applications requesting more than \$200,000 (total costs) over a maximum period of 24 months (2 years) will be administratively withdrawn.

In preparing the requested budget, applicants should be aware of the following:

- Major equipment purchases are discouraged for this funding mechanism. 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.
- Texas law limits the amount of grant funds that may be spent on indirect costs 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, which are available at www.cprit.texas.gov. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2018 is \$200,000; CPRIT FY 2018 is from September 1, 2017, through August 31, 2018. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

7.2.10. Biographical Sketches (5 pages each)

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research.

A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by

the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages.

7.2.11. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided.

7.2.12. Institutional/Collaborator Support and/or Other Certification (2 pages)

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 2 pages may be provided.

7.2.13. Previous Summary Statement

If the application is being resubmitted, the 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.

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

7.2.14. Institutional Limits

Because a large number of submissions is anticipated, and to ensure timely and high-quality review of the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, CPRIT is imposing a limit on the number of HIHR Research Award applications that may be submitted by an institution during this review cycle.

The limit on the number of applications may seem restrictive, but experience indicates that truly innovative ideas that are appropriate for this award mechanism are uncommon. CPRIT expects institutions to initiate an internal review process and only authorize submission of the appropriate number of applications that have been rigorously judged to be responsive to this RFA. Institutional limits (which need not be fully used) are as follows: University of Texas M.

D. Anderson Cancer Center, 10; Baylor College of Medicine, 10; University of Texas Southwestern Medical Center, 10; University of Texas Health Science Center at San Antonio, 10; University of Texas Health Science Center at Houston, 10; University of Texas at Austin, 10; University of Texas Medical Branch, 10; Texas A&M University, 10; Texas A&M University Health Science Center, 10; Texas Tech University, 10; Rice University, 10; Texas Tech University Health Sciences Center, 5; Texas Tech University Health Sciences Center at El Paso, 5; all other academic research institutions, 5 each; public or private companies, 1 each.

8. APPLICATION REVIEW

8.1. Review Process Overview

All eligible applications will be evaluated using a 2-stage peer review process: (1) Peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts, as well as advocate reviewers, using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by the Scientific 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 to 703.8](#).

8.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, 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 Peer Review Panel members and Scientific Review Council members are non-Texas residents. An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **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 Scientific Review Panel 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 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 RFAs are announced and CARS opens. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

8.3. Review Criteria

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.**

8.3.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study. Primary criteria include the following:

Significance and Impact: Is the application clearly responsive to the RFA and specifically to the HIHR Research Award mechanism? What is the innovative potential of the project? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Responsive applications will be highly speculative or exploratory; they need not be based on preliminary data but must have the potential for high scientific payoff because of exceptionally promising ideas.

Research Plan: Is the proposed work presented as a self-contained research project? Does the proposed research have a clearly defined hypothesis or goal that is supported by a sound scientific rationale? Are the methods appropriate, and are potential experimental obstacles and unexpected results discussed?

Applicant Investigator: Does the applicant investigator demonstrate the required creativity, expertise, experience, and accomplishments to make a significant contribution to the research? Applicants' credentials will be evaluated in a career stage-specific fashion. Have early career-stage investigators received excellent training, and do their accomplishments to date offer great promise for a successful career? Has the applicant devoted a sufficient amount of his or her time (percent effort) to this project?

Relevance: Does the proposed research have a high degree of relevance to cancer? This will be an important criterion for evaluation of projects for CPRIT support.

8.3.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed research. Secondary criteria include the following:

Research Environment: Does the research team have the needed expertise, facilities, and resources to accomplish all aspects of the proposed research? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support of the research team and the project?

Vertebrate Animals and/or Human Subjects: If vertebrate animals and/or human subjects are included in the proposed research, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

Budget and Duration: Are the budget and the duration appropriate for the proposed work?

9. KEY DATES

RFA

RFA release August 25, 2017

Application

Online application opens October 18, 2017, 7 AM central time

Application due January 31, 2018, 4 PM central time

Application review February 2018 to May 2018

Award

Award notification August 2018

Anticipated start date August 2018

10. 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 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 award contract. Forms and instructions will be made available at www.cprit.texas.gov.

11. 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.

12. CONTACT INFORMATION

12.1. 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 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

12.2. Scientific and Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Program Manager for 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 – Cancer Prevention Research 18.2 Peer Review
Observation Report

Report No. 2018-05-18 ACR_CPR_18.2
Program Name: Academic Research
Panel Name: Cancer Prevention Research (CPR_18.2)

Panel Date: May 18, 2018
Report Date: June 5, 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 – Cancer Prevention Research 18.2 Peer Review Meeting. The meeting was chaired by Tom Sellers and conducted in person on May 18, 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
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Cancer Prevention Research 18.2 Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Prevention Research panel discussion:

- Nineteen (19) applications were discussed; nineteen (19) applications were not discussed;
- Participants: One (1) Panel Chair; sixteen (16) expert review panelists; and two (2) advocate reviewers;
- The panelists' discussions were limited to the evaluation criteria;
- Five (5) CSRA employees participated in the meeting. Two additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in discussions around the merits of the applications;
- Two (2) CPRIT staff members were present in the room and participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- Nineteen (19) COIs were identified prior to and/or during the meeting. Eight (8) COIs pertained to applications discussed and eleven (11) COIs pertained to applications not discussed;
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. The reviewers signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Prevention Research 18.2 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research Basic Cancer Research Peer Review Panel 1
Observation Report

Report No. 2018_05_21 ACR_BCR_18.2 Panel 1
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.2-1 (BCR-1)

Panel Date: May 21, 2018
Report Date: June 5, 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 Basic Cancer Research 18.2 Panel 1 Peer Review Meeting. The meeting was chaired by Thomas Curran and conducted in person and via teleconference on May 21, 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 panel discussions on the merits of applications; and
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Three (3) BFS independent observers participated in the Basic Cancer Research Peer Review panel meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Basic Cancer Research 18.2-1 discussion:

- Twenty-two (22) applications were discussed; thirty-six (36) applications were not discussed;
- Participants: One (1) panel chair; Seventeen (17) expert peer review panelists, and two (2) advocate peer review panelists;
- Panelists' discussions were limited to the evaluation criteria;
- Six (6) CSRA staff members participated in the meeting. Three (3) additional CSRA or contract staff participated intermittently in a logistics support role;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Two (2) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of Interest (COI):

- Sixteen (16) COIs were identified prior to and/or during the meeting. All pertained to applications not discussed.

A list of all attendees, sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.2-1 meeting 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA

Senior Partner

Business & Financial Management Solutions, LLC

June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
 Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research – Imaging Technology and Informatics 18.2
(ITI 18.2) Peer Review
Observation Report

Report No. 2018-05-24 ACR_ITI_18.2
Program Name: Academic Research
Panel Name: Imaging Technology and Informatics 18.2 (ITI_18.2)

Panel Date: May 24, 2018
Report Date: June 5, 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 – Imaging Technology and Informatics 18.2 (ITI_18.2) Peer Review Meeting. The meeting was chaired by Sanjiv Sam Gambhir and conducted in person on May 24, 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

- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Academic Research – Imaging Technology and Informatics 18.2 (ITI_18.2) Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Academic Research – Imaging Technology and Informatics 18.2 (ITI_18.2) panel discussion:

- Twenty-seven (27) applications were discussed; thirty-seven (37) applications were not discussed;
- Participants: One (1) Panel Chair; twenty-three (23) expert review panelists; and two (2) advocate reviewers;
- The panelists' discussions were limited to the evaluation criteria;
- Four (4) CSRA employees participated in the meeting. One (1) additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in discussions around the merits of the applications;
- Four (4) CPRIT staff members were present in the room and participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- Twelve (12) COIs were identified prior to and/or during the meeting. One (1) COI pertained to applications discussed and eleven (11) COIs pertained to applications not discussed;
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. The reviewers signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

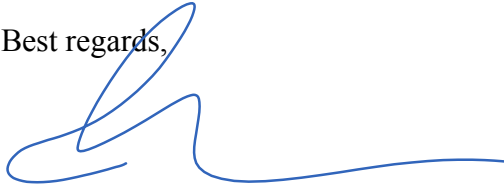
In conclusion; we observed that the activities of the Academic Research – Imaging Technology and Informatics 18.2 (ITI_18.2) Peer Review Meeting were limited to the identified objectives noted earlier in this report.

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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research – Clinical /Translational Cancer Research 18.2
Peer Review
Observation Report

Report No. 2018-05-22 ACR_C/TCR_18.2
Program Name: Academic Research
Panel Name: Clinical /Translational Cancer Research 18.2 (C/TCR_18.2)

Panel Date: May 22, 2018
Report Date: July 10, 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 Clinical /Translational Cancer Research 18.2 (C/TCR_18.2) Peer Review Meeting. The meeting was chaired by Richard O'Reilly and Margaret Temporo and conducted in person and via teleconference on May 22, 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

- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Clinical /Translational Cancer Research 18.2 Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Clinical /Translational Cancer Research 18.2 panel discussion:

- Forty-seven (47) applications were discussed; thirty-nine (39) applications were not discussed;
- Participants: Two (2) Panel Chairs; twenty-nine (29) expert review panelists; and three (3) advocate reviewers;
- Panelists' discussions were limited to the evaluation criteria;
- Six (6) CSRA employees participated in the meeting. Two (2) additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in discussions around the merits of the applications;
- Three (3) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- Twenty-two (22) COIs were identified prior to and/or during the meeting. Eleven (11) COIs pertained to applications discussed and eleven (11) COIs pertained to applications not discussed; COI Garth Powis did not sign out for RP180882 on the Peer Review Certification sheet.
- Reviewers identified as having COIs on the COI certification sheets left the room and did not participate in the review of conflicted applications. The reviewers identified on the COI certification sheets signed out on the COI certification sheets when leaving the room. Garth Powis was not identified on the pre-meeting COI certification sheets provided as a COI for RP180882; however, he was listed as a COI for RP180882 on the Pre-Meeting Scores-Order of Review and did not sign out for RP180882 on the COI certification sheets.

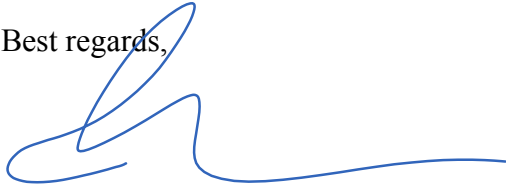
In conclusion; we observed that the activities of Clinical /Translational Cancer Research 18.2 (C/TCR_18.2) Panel were limited to the identified objectives noted earlier in this report.

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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research Basic Cancer Research Peer Review Panel 2
Observation Report

Report No. 2018_05_21 ACR_BCR_18.2 Panel 2
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.2-2 (BCR-2)

Panel Date: May 23, 2018
Report Date: June 5, 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 Basic Cancer Research 18.2 Panel 2 Peer Review Meeting. The meeting was chaired by Carol Prives and conducted in person and via teleconference on May 23, 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 panel discussions on the merits of applications; and
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Basic Cancer Research Peer Review Panel 2 meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Basic Cancer Research 18.2 Panel 2 discussion:

- Twenty-five (25) applications were discussed; twenty-two (22) applications were not discussed;
- Participants: One (1) panel chair; thirteen (13) expert peer review panelists, and two (2) advocate peer review panelists;
- Panelists' discussions were limited to the evaluation criteria.
- Four (4) CSRA employees were present in the room and participated in the meeting;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Three (3) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;

Regarding applications with a conflict of Interest (COI):

- Seventeen (17) COIs were identified prior to and/or during the meeting. Fourteen (14) pertained to applications discussed, three (3) to applications not discussed.

A list of all attendees, sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives.

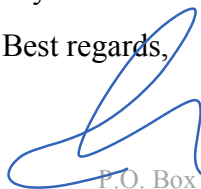
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.2 Panel 2 meeting 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research – Cancer Biology 18.2 Peer Review
Observation Report

Report No. 2018-05-25 ACR_CB_18.2
Program Name: Academic Research
Panel Name: Cancer Biology 18.2 (CB_18.2)

Panel Date: May 25, 2018
Report Date: June 5, 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 – Cancer Biology 18.2 (CB_18.2) Peer Review Meeting. The meeting was chaired by Peter Jones and conducted in person and via teleconference on May 25, 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
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Cancer Biology 18.2 (CB_18.2) Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Biology 18.2 (CB_18.2) panel discussion:

- Twenty-two (22) applications were discussed; thirty (30) applications were not discussed;
- Participants: One (1) Panel Chair; sixteen (16) expert review panelists; and two (2) advocate reviewers;
- The panelists' discussions were limited to the evaluation criteria;
- Four (4) CSRA employees were present in the room and participated in the meeting;
- CSRA staff did not participate in discussions around the merits of the applications;
- Five (5) CPRIT staff members were present in the room and participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- One (1) COIs were identified prior to and/or during the meeting, which pertained to applications discussed;
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. The reviewers signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

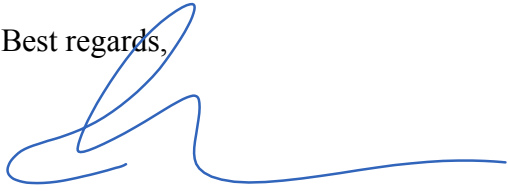
Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Biology 18.2 (CB_18.2) 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research Peer Review Observation Report

Report No. 2018-07-12_SRC_18.2
Program Name: Academic Research
Panel Name: FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC)
Panel Date: July 12, 2018
Report Date: July 17, 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 FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC). The meeting was chaired by Richard Kolodner and conducted via teleconference on July 12, 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 panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observer participated in the FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC) discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the meeting:

- Forty-one (41) applications were discussed;
- Participants: One (1) Panel Chair and five (5) 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 were no (0) COIs identified prior to or during the meeting. 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.

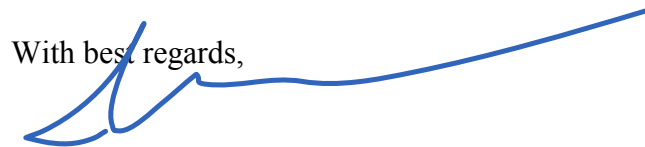
Conclusion

In conclusion; we observed that the activities of the FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC) 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 18.2 Applications
(Academic Research Cycle 18.2 Awards Announced at August 24, 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 18.2 include *Core Facility Support Awards*, *High-Impact/High-Risk Research Awards*, and *Multi-Investigator Research Awards*. 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			
RP180813	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-AC	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-C1	Zamal Ahmed	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P1	Junjie Chen	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P2	Katharina Schlacher	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P3	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P4	Banu Arun	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin

* = Not discussed

Academic Research Cycle 18.2

Application ID	Applicant/PI	Institution	Conflict Noted
RP180755	Philip Lupo	Baylor College of Medicine	Electra Paskett
RP180725	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-AC	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-C1	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-P1	Zhijian Chen	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-P2	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-P3	Raquibul Hannan	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180785	Adrian Gee	Baylor College of Medicine	Robertson Parkman
RP180880	Kevin Dalby	The University of Texas at Austin	Garth Powis; Angelos Angelou
RP180882	Kyuson Yun	The Methodist Hospital Research Institute	Garth Powis; Howard. Hochster
RP180690	Jennifer Maynard	The University of Texas at Austin	Angelos Angelou
Applications not considered by the PIC or Oversight Committee			
RP180733*	Richard Gorlick	The University of Texas M. D. Anderson Cancer Center	Jose Conejo-Garcia
RP180733-AC*	Richard Gorlick	The University of Texas M. D. Anderson Cancer Center	J. Conejo-Garcia

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180733-C1*	David Wheeler	Baylor College of Medicine	Jose Conejo-Garcia
RP180733-P1*	Richard Gorlick	The University of Texas M. D. Anderson Cancer Center	Jose Conejo-Garcia
RP180733-P2*	Peter Houghton	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180733-P3*	Carl Allen	Baylor College of Medicine	Jose Conejo-Garcia
RP180733-P4*	C Patrick Reynolds	Texas Tech University Health Sciences Center	Jose. Conejo-Garcia
RP180754*	Alexei Tumanov	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779*	Alexander Bishop	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-AC*	Alexander Bishop	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-C1*	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-C2*	Yogesh Gupta	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-C3*	Yidong Chen	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-P1*	Katsumi Kitagawa	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180779-P2*	Alexander Bishop	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-P3*	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180849*	Leonidas Bleris	The University of Texas at Dallas	Matthew Weitzman
RP180892*	Bartosz Szczesny	The University of Texas Medical Branch at Galveston	Alan Tomkinson; Walter Chazin
RP180765	Dean Edwards	Baylor College of Medicine	Geoffrey Greene
RP180680*	Hye-Chung Kum	Texas A&M University	Thomas Brandon
RP180686	Kathleen Schmeler	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180686-AC	Kathleen Schmeler	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180686-C1	Rebecca Richards-Kortum	Rice University	Electra Paskett
RP180686-C2	David Lairson	The University of Texas School of Public Health	Electra Paskett
RP180686-P1	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180686-P2	Elizabeth Chiao	Baylor College of Medicine	Electra Paskett
RP180686-P3	Ana Rodriguez	The University of Texas Medical Branch at Galveston	Electra Paskett
RP180732*	Maria Suarez-Almazor	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180732-AC*	Maria Suarez-Almazor	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-C1*	Susan Peterson	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-C2*	Lorna McNeill	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-C3*	Alma Rodriguez	The University of Texas M. D. Anderson Cancer Center	Gloria. Petersen
RP180732-P1*	Susan Peterson	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-P2*	Maria Suarez-Almazor	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-P3*	Eduardo Bruera	The University of Texas M. D. Anderson Cancer Center	Gloria. Petersen
RP180732-P4*	Tina Shih	The University of Texas M. D. Anderson Cancer Center	Gloria. Petersen
RP180874*	Diane Santa Maria	The University of Texas Health Science Center at Houston	Electra Paskett
RP180815	Ruiwen Zhang	University of Houston	Ying Lu
RP180822*	Aung Naing	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-AC*	Aung Naing	The University of Texas M. D. Anderson Cancer Center	Howard Hochster

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180822-C1*	Andrew Futreal	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-C2*	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P1*	Anisha Patel	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P2*	Yinghong Wang	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P3*	Naval Daver	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P4*	Mehmet Altan	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P5*	Charles Cleeland	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180872*	Rongfu Wang	The Methodist Hospital Research Institute	Alessandro Sette;W. Martin Kast
RP180678	Kenneth Hoyt	The University of Texas at Dallas	Kurt Zinn
RP180777*	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-AC*	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-C1*	Vidya Gopalakrishnan	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180777-C2*	Katy Rezvani	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-C3*	Jason Cook	NanoHybrids, Inc.	Ross Berbeco
RP180777-P1*	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-P2*	James Bankson	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-P3*	Amer Najjar	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180780*	Richard Bouchard	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180820*	Georgios Alexandrakis	The University of Texas at Arlington	Arion-Xenofon Chatziioannou; Anna Wu

* = Not discussed

De-Identified Overall Evaluation Scores

High-Impact/High-Risk Research Awards

Academic Research Cycle 18.2

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit packet compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward.

Application ID	Final Overall Evaluation Score
RP180755*	1.9
RP180700*	2.0
RP180835*	2.0
RP180694*	2.2
RP180716*	2.2
RP180769*	2.2
RP180880*	2.3
RP180826*	2.5
RP180848*	2.5
RP180690*	2.6
RP180812*	2.6
RP180736*	2.7
RP180751*	2.8
RP180801*	2.8
RP180771*	2.9
RP180810*	2.9
RP180863*	2.9
RP180875*	2.9
RP180846*	3.0
RP180882*	3.0
RP180827*	3.1
RP180844*	3.2
RP180873*	3.2
RP180862*	3.3
Aa	3.3
Ab	3.3
Ac	3.3

* Recommended for Award

Application ID	Final Overall Evaluation Score
Ad	3.3
Ae	3.3
RP180851*	3.4
Af	3.4
Ag	3.4
Ah	3.6
Ai	3.7
Aj	3.7
Ak	3.7
Al	3.7
Am	3.7
An	3.7
Ao	3.7
Ap	3.7
Aq	3.7
Ar	3.7
As	3.7
At	3.8
Au	3.8
Av	3.9
Aw	3.9
Ax	4.0
Ay	4.0
Az	4.0
Ba	4.0
Bb	4.0
Bc	4.0
Bd	4.0
Be	4.0
Bf	4.0
Bg	4.0
Bh	4.0
Bi	4.0
Bj	4.0
Bk	4.1
Bl	4.2
Bm	4.3
Bn	4.3
Bo	4.3
Bp	4.3

* Recommended for Award

Application ID	Final Overall Evaluation Score
Bq	4.3
Br	4.3
Bs	4.3
Bt	4.3
Bu	4.3
Bv	4.3
Bw	4.3
Bx	4.3
By	4.4
Bz	4.5
Ca	4.7
Cb	4.7
Cc	4.7
Cd	4.7
Ce	4.7
Cf	4.7
Cg	4.7
Ch	4.7
Ci	4.8
Cj	5.0
Ck	5.0
Cl	5.0
Cm	5.0
Cn	5.0
Co	5.0
Cp	5.0
Cq	5.0
Cr	5.0
Cs	5.0
Ct	5.0
Cu	5.0
Cv	5.0
Cw	5.0
Cx	5.3
Cy	5.3
Cz	5.3
Da	5.3
Db	5.3
Dc	5.3
Dd	5.3

* Recommended for Award

Application ID	Final Overall Evaluation Score
De	5.3
Df	5.3
Dg	5.3
Dh	5.3
Di	5.3
Dj	5.5
Dk	5.7
DI	5.7
Dm	5.7
Dn	5.7
Do	5.7
Dp	5.7
Dq	5.7
Dr	5.7
Ds	5.7
Dt	5.7
Du	5.7
Dv	5.7
Dw	6.0
Dx	6.0
Dy	6.0
Dz	6.0
Ea	6.0
Eb	6.1
Ec	6.3
Ed	6.3
Ee	6.3
Ef	6.3
Eg	6.7
Eh	6.7
Ei	6.7
Ej	6.7
Ek	6.7
El	6.7
Em	6.7
En	6.7
Eo	7.0
Ep	7.0
Eq	7.3
Er	7.3

* Recommended for Award

Application ID	Final Overall Evaluation Score
Es	7.3
Et	7.7

* Recommended for Award

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
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July 19, 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 research grant recommendations for the Core Facility Support Awards (CFSA), High Impact/High Risk Research Awards (HIHR) and Multi-Investigator Research Awards (MIRA). The SRC met on July 12, 2018 to consider the applications recommended by the peer review panels following their meetings that were held May 18, 2018 - May 25, 2018.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$84,088,098.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, 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	ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Recommended Budget
1	RP180684	CFSA	1.1	Integrated Single Cell Genomics Core Facility	Navin	The University of Texas M. D. Anderson Cancer Center	\$5,323,453
2	RP180778	MIRA	1.3	Metabolic Enablers of Melanoma Progression	Morrison	The University of Texas Southwestern Medical Center	\$5,998,327
3	RP180785	CFSA	1.5	CARMIT (Children's Access to Regenerative Medicine in Texas)	Gee	Baylor College of Medicine	\$5,767,448*
4	RP180804	CFSA	1.9	Protein Array and Analysis Core (PAAC)	Bedford	The University of Texas M. D. Anderson Cancer Center	\$2,819,682
5	RP180755	HIHRRRA	1.9	The Early-Life Exposome and Risk of Pediatric Acute Lymphoblastic Leukemia	Lupo	Baylor College of Medicine	\$199,140
6	RP180770	CFSA	1.9	Preclinical Radiation Core Facility (PCRCF)	Story	The University of Texas Southwestern Medical Center	\$4,047,022
7	RP180700	HIHRRRA	2.0	Mechanisms of Drug Resistance in Lung Cancer	Alto	The University of Texas Southwestern Medical Center	\$200,000
8	RP180835	HIHRRRA	2.0	Targeted Proteolysis of Glucocorticoid Receptor as a Therapeutic Strategy in Antiandrogen Treatment-Resistant Prostate Cancer	Lissanu Deribe	The University of Texas M. D. Anderson Cancer Center	\$199,999
9	RP180805	CFSA	2.0	Pediatric Cancer Data Core	Xie	The University of Texas Southwestern Medical Center	\$5,863,959***
10	RP180748	CFSA	2.1	GCC Center for Comprehensive PK/PD and Formulation	Liang	Texas Southern University	\$5,550,456
11	RP180694	HIHRRRA	2.2	TREX2 Inhibitors to Treat BCR-ABL- Cancers	Hasty	The University of Texas Health Science Center at San Antonio	\$200,000
12	RP180769	HIHRRRA	2.2	A Novel Anti-BCR-ABL Approach for Leukemia Therapy	Rao	The University of Texas Health Science Center at San Antonio	\$200,000
13	RP180813	MIRA	2.2	BRCA Answers From Cancer Interactome Structures (BACIS)	Tainer	The University of Texas M. D. Anderson Cancer	\$5,969,140

						Center	
14	RP180672	CFSA	2.2	Advanced Multiparameter Cytometry and Cell Sorting Core	Beeton	Baylor College of Medicine	\$5,628,254**
15	RP180712	MIRA	2.2	Rational Combination Treatment Options to Reverse Resistance in Hormone Receptor–Positive Breast Cancer Refractory to Standard Therapy	Hunt	The University of Texas M. D. Anderson Cancer Center	\$5,992,274
16	RP180819	CFSA	2.2	Pediatric Solid Tumors Comprehensive Data Resource Core	Gorlick	The University of Texas M. D. Anderson Cancer Center	\$5,440,485***
17	RP180716	HIHRRRA	2.2	Noninvasive Diagnostic Imaging of Brain Cancer Using Hyperpolarized ¹³ C-Labeled L-Tryptophan and L-Methionine	Lumata	The University of Texas at Dallas	\$200,000
18	RP180670	CFSA	2.3	Small Animal Imaging Core Facility for Cancer Research at UT Dallas	Hoyt	The University of Texas at Dallas	\$3,892,336
19	RP180880	HIHRRRA	2.3	Targeting BRAF- and RAS-Mutant Cancers by Small Molecule–Induced Proteolysis of ERK1/2	Dalby	The University of Texas at Austin	\$200,000
20	RP180734	CFSA	2.3	UTHealth Cancer Genomics Core (UTHealth CGC)	Zhao	The University of Texas Health Science Center at Houston	\$4,814,267
21	RP180674	MIRA	2.4	Predictive Biomarkers and Novel Therapies for High-Risk Pediatric Liver Cancers	Lopez-Terrada	Baylor College of Medicine	\$5,982,208
22	RP180848	HIHRRRA	2.5	Autoimmune-Prone Mouse Models for Studying Immune-Related Adverse Events Associated With Cancer Immunotherapy	Yan	The University of Texas Southwestern Medical Center	\$200,000
23	RP180826	HIHRRRA	2.5	Integrative Analysis of Structural Variants in Cancer Genomes	Xu	The University of Texas Southwestern Medical Center	\$200,000
24	RP180690	HIHRRRA	2.6	Engineering Cancer Immunotherapeutics for Enhanced Activity in the Low pH Tumor	Maynard	The University of Texas at Austin	\$200,000

				Microenvironment			
25	RP180812	HIHRRRA	2.6	Fluorescently Labeled Somatostatin Analogs for Image-Guided Surgery in Neuroendocrine Tumors	Azhdarinia	The University of Texas Health Science Center at Houston	\$200,000
26	RP180736	HIHRRRA	2.7	Nanoparticle-Mediated Hyperthermia to Improve Chemotherapeutic Efficacy in HIPEC	Holder	The Methodist Hospital Research Institute	\$199,998
27	RP180751	HIHRRRA	2.8	Methods for Assessment and Quantification of Imperfect dsDNA Break Repair	Otwinowski	The University of Texas Southwestern Medical Center	\$200,000
28	RP180801	HIHRRRA	2.8	Targeting the Menopause Transition to Decrease the Risk for Obesity-Associated Postmenopausal Breast Cancer	Giles	Texas A&M University	\$200,000
29	RP180725	MIRA	2.8	Targeting Tumor Tissues Increases DNA Sensing to Bridge Innate and Adaptive Immunity	Fu	The University of Texas Southwestern Medical Center	\$6,000,000
30	RP180863	HIHRRRA	2.9	Chemoprevention of Colon Cancer Progression in FAP Children	Hu	University of Houston	\$200,000
31	RP180771	HIHRRRA	2.9	Small Molecule for Selective Targeting of Epithelial-Mesenchymal Transition-Induced Cancer Stem Cells	Taube	Baylor University	\$199,951
32	RP180810	HIHRRRA	2.9	Controlling the Activity of Anticancer T Cells by Inducing Replicative Senescence	Mamonkin	Baylor College of Medicine	\$200,000
33	RP180875	HIHRRRA	2.9	Cyanine-Conjugated Kinase Inhibitors (Cy-KIs) as Potential Glioblastoma Theranostics	Sitcheran	Texas A&M University System Health Science Center	\$200,000
34	RP180882	HIHRRRA	3.0	Developing a Clinically Relevant Drug Testing Platform	Yun	The Methodist Hospital Research Institute	\$199,700
35	RP180846	HIHRRRA	3.0	Molecular Opening of the Blood-Brain Barrier by Molecular	Qin	The University of Texas at Dallas	\$200,000

				Hyperthermia			
36	RP180827	HIHRRRA	3.1	Polymer Nanodiscs: Novel Lipoprotein-Mimicking Nanocarriers With High Stability and Long Circulation Time for Enhanced Anticancer Drug Delivery	Liang	Texas Tech University Health Sciences Center	\$200,000
37	RP180844	HIHRRRA	3.2	Regulating Androgen Receptor as a Corepressor by Neurofibromin (NF1)	Chang	Baylor College of Medicine	\$200,000
38	RP180873	HIHRRRA	3.2	Molecular Targeted Magnetic Resonance Reporter for Cancer Detection	Carson	Rice University	\$200,000
39	RP180862	HIHRRRA	3.3	Microfluidic Cancer Assay for Liquid Biopsies and Early Detection	Pappas	Texas Tech University	\$199,999
40	RP180851	HIHRRRA	3.4	Targeting MYCN-Driven Metabolism in Neuroblastoma	Barbieri	Baylor College of Medicine	\$200,000

*RP180785 reflects budget as reduced by the SRC. SRC recommended the removal of 2nd Prodigy Cell Processor

**RP180672 reflects recommended budget as reduced by the SRC. SRC recommended the elimination of salary support for Bioinformatician

***RP1800805 and RP180819 - The Scientific Review Council notes that Core Facility Support Award applications from UT Southwestern (RP180805) and MD Anderson (RP180819) propose separate comprehensive data cores to support pediatric cancer research in Texas. The goals of the individual applications complement each other and together represent a unique opportunity to build a statewide resource that will accelerate pediatric cancer research in Texas. To realize the full potential of the CPRIT investment in these cores, the Council recommends that prior to finalizing a funding plan for each core that the PIs and their respective institutions develop a plan that will maximize opportunities for the two cores to work together and to incorporate that plan into their core's goals and budget.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 2
Multi-Investigator Research Awards

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-18.2-MIRA

Multi-Investigator Research Awards

**Please also refer to the Instructions for Applicants document, which will be
posted October 18, 2017**

Application Receipt Opening Date: October 18, 2017

Application Receipt Closing Date: January 31, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA Version History

Rev 8/25/17 RFA release

Rev 9/01/17 Section 5 – Eligibility

- Added language to indicate that “An individual may serve as a PI on no more than three active Academic Research grants.” (see [Section 5](#), bullet 5 for more details)

Rev 9/01/17 Section 11 – Key Dates

- Award Anticipated start date was updated from September 2018 to August 2018

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

This Multi-Investigator Research Award (MIRA) mechanism is intended to support highly integrated programs of collaborative and cross-disciplinary research among multiple Texas investigators. Applications responding to this RFA that address one of the program priorities for academic research adopted by CPRIT's Oversight Committee are particularly encouraged.

MIRAs are expected to promote a cooperative environment that fosters intensive interaction among members in all aspects of the research program. This approach is expected to transform the research process through the integration of basic and/or clinical disciplines, leading to the aggressive translation of scientific discoveries into tools and applications that have the potential to make a significant impact on cancer incidence, detection, treatment, and/or survivorship.

While all investigators need not be trained specifically in cancer research, this award is intended to initiate sustainable, collaborative programs of cancer research that cannot be addressed effectively by an individual researcher or a group of researchers within the same discipline. It is aimed at research programs that, by their complexity and interdisciplinary nature, require a cross-disciplinary team approach to achieve significant progress and sustainability, thereby creating a culture for teaching and research that transcends traditional disciplinary boundaries. Clinical research or a clinical trial (phase 1, 1/2, or 2) may be included as part of the proposed program.

Investigators are expected to work together to develop the research plan, determine the management structure, and prepare the application. It should be clear that all investigators have a substantial level of intellectual input into the proposed program, and there should be evidence that the participants have a track record of collaboration. Collectively, the members of the teams should represent the appropriate diversity of expertise necessary for addressing the research question. Effort is expected to be appropriately balanced among the investigators and their respective teams.

Applicants must present a clear plan for how they would manage and facilitate meaningful collaboration among the separate research teams to enable successful completion of the proposed research. Participating institutions must be willing to resolve potential intellectual and material property issues/conflicts and subcontracting issues and remove institutional barriers to achieving high levels of cooperation.

This funding mechanism offers an attractive opportunity for investigators to test new ideas, explore new areas, and/or implement new approaches. These types of applicant responses are desired and encouraged. However, successful applications must demonstrate that the proposed research builds on a strong track record of existing interactions among the proposed projects; or if new research partnerships are being proposed, the application must provide compelling evidence that the new partnerships will catalyze significant synergies and impact.

3. RESEARCH OBJECTIVES

This RFA solicits applications for integrated programs of collaborative and cross-disciplinary research among multiple investigators that will contribute meaningfully to advancing knowledge of the causes, prevention, and/or treatment of cancer. CPRIT encourages applicants who seek to develop or apply state-of-the-art technologies, tools, and/or resources for cancer research, including those with projects having potential commercialization opportunities. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and survivorship. While applications may address any research topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, or quality of life, CPRIT encourages applications that address 1 or more of the priority areas that have been identified by the CPRIT Oversight Committee.

Because MIRAs, by definition, support collaborative research projects, this award mechanism will accommodate applications that encompass a wide variety of activities and administrative structures. Creative, collaborative projects that address critical questions should leverage cancer research taking place in Texas into a leadership position from both national and international perspectives. Successful applications will demonstrate a clear plan for sustainability of the research after the completion of the award period.

4. FUNDING INFORMATION

CPRIT anticipates having sufficient funds to support a limited number of only the most meritorious applications in response to this RFA.

Applicants may request a maximum of \$6,000,000 in total costs for a maximum period of 4 years. Exceptions to the maximum amount may be requested if extremely well justified. Funds may be used for salary and fringe benefits, research supplies, equipment, clinical costs, and

travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. 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.

In an attempt to reduce the administrative difficulties in submitting programmatic and financial reports, MIRAs will be submitted as a single application. The PI will lead the project through the Administrative Core, which will be housed at the applicant institution. Individual projects and cores must be handled through subcontracts if participating institutions are located outside of the applicant institution. The applicant institution will develop the overall program budget with the assistance of individual participating institutions. Therefore, the institution that leads the Administrative Core will be responsible for coordinating subcontracts, submission of progress reports, and all related annual and financial reports. There will not be a requirement for other participating institutions to submit these reports to CPRIT.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization 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; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Research Program.
- The Principal Investigator (PI) and Co-Principal Investigators (Co-PIs) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent. Individuals serving as a PI or Co-PI must reside in Texas during the time the research that is the subject of the grant is conducted. (MIRA PI and Co-PIs roles are defined in [sections 8.2.1](#) and [8.2.2](#).)
- An individual serving as a PI may submit only 1 application under this RFA and will not be eligible to participate as a PI or a Co-PI on another MIRA application in response to this RFA except for special circumstances as discussed under [section 8.7](#).
- An individual may participate as a Co-PI on only 1 application under this RFA except for special circumstances as discussed under [section 8.7](#).
- An individual may serve as a PI on no more than three active Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the three-grant

maximum, however CPRIT considers project leaders on a MIRA award equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be 8/31/18).

- A major criterion for successful applications will be the evidence that the assembled team has established collaborations or complementary expertise that will be accelerated by participation in the MIRA. While CPRIT encourages the creation of teams composed of researchers from across Texas who have stellar reputations in their given areas of expertise, successful applications must demonstrate either a strong track record of collaboration or how newly proposed collaborations will contribute to the project as a whole.
- Collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Collaborators should have specific and well-defined roles. 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. In no event shall equipment purchased under this award leave the State of Texas.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, 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 PI, 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 institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, 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. 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 12](#) and [section 13](#). All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

6. RESUBMISSION POLICY

Resubmissions are available under this RFA. A MIRA application that was unfunded after a single review should be submitted as a resubmission under this RFA. Applicants are advised to address all noted concerns in the summary statements that were prepared for the original application review. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. All previously unfunded MIRA submissions should be carefully reconstructed and take reviewers comments under consideration when resubmitting an application.

7. RENEWAL POLICY

Renewals are not available under this RFA. A project that was previously funded under the MIRA and would be a continuation of MIRA program activities must be submitted as a new application under this RFA. In preparing the new application, applicants should describe and demonstrate that appropriate/adequate progress has been made on the previously funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be incorporated into the application as well as patents and efforts at product development where appropriate.

8. CHARACTERISTICS OF MULTI-INVESTIGATOR RESEARCH AWARDS

8.1. Synergy

Successful multi-investigator research programs are characterized by an exceptionally synergistic theme. Applications in response to this RFA must bring together a strong group of

research projects and necessary core resources that contribute to a common goal in cancer research as a single, coherent entity. The overall program must provide greater value than the sum of its individual components.

Synergy between projects and cores to support the overall objective of the proposed program and the multidisciplinary focus of each project and core are essential aspects of the award mechanism and are major considerations of the review process. Applications are expected to demonstrate an existing track record of interactions among the proposed individual research programs and to discuss how the MIRA will accelerate existing synergies.

It is envisioned that the proposed research programs already interact with each other and that the MIRA will accelerate these interactions to bring Texas-based cancer discoveries to the market for the benefit of patients with cancer everywhere.

8.2. Leadership

8.2.1. Principal Investigator (PI)

The overall research program will be directed and overseen by a PI. The PI is responsible for developing and managing an integrated and collaborative research environment that permits uninterrupted progress of the research projects regardless of distinct geographic locations of collaborators within the state. The PI must direct the required Administrative Core (see [section 8.4](#) and [section 9.2.11](#)). The PI is responsible for the submission of the application, all reporting requirements, and all budgeting decisions.

8.2.2. Co-Principal Investigator (Co-PI)

Each research project and core resource within the overall research program must be directed by a single individual designated as a Co-PI on the application for the overall research program. The Co-PI will be responsible for the research activities of his or her research project(s) and/or core resource(s) within the framework and goals of the overall research program. The PI may also direct a research project and/or core resource. Projects and cores located outside of the PI's institution must be supported through a subcontract with the applicant institution.

8.3. Research Projects

Research projects (also referred to as *projects* in this RFA) will challenge existing paradigms; develop or employ novel concepts, approaches, methodologies, tools, or technologies for the proposed cancer research area; or address important underexplored or unexplored areas. CPRIT

seeks to support original and innovative projects. The thrust of the MIRA mechanism is to support research projects that lead to truly substantial advances in the field rather than add modest increments of insight. Projects that modestly extend current lines of research will not be considered for this award.

Each project must be poised individually to make significant contributions to the field of cancer research as well as be complementary to the overall research program. Application of a single approach to multiple forms of cancer does not justify a request for multiple research projects.

The guidelines for research projects are as follows:

- Minimum: 3 projects
- Maximum: 5 projects
- Each research project must be directed by the PI or by a Co-PI. The PI or a Co-PI can direct only 1 project within the MIRA application.

8.4. Core Resources

Supporting core resources (also referred to as *cores* in this RFA) constitute integral components of multi-investigator research programs by providing the expertise and/or infrastructure essential to the completion of the individual research projects. Examples of core resources include, but are not limited to, administrative core, tissue/specimen core, sequencing/bioinformatics core, histopathology core, imaging core, and clinical trials core. All applications submitted in response to this RFA must include an administrative core that comprehensively coordinates all activities proposed within the objectives of the projects and cores and is directed by the PI.

The guidelines for core resources are as follows:

- Minimum: Administrative Core
- Maximum: 3 technical cores
- A maximum of 4 cores is permitted (ie, the Administrative Core and 3 technical cores).
- Each core must be directed by the PI or by a Co-PI. A Co-PI can direct 1 project and/or 1 technical core. The PI can direct 1 project and/or technical core in addition to the Administrative Core. The Administrative Core must be directed by the PI.
- Cores should include clear descriptions of the projects they are designed to support.

- Projects and cores are subject to different review criteria (see [section 10.3](#)). Research projects must **not** be submitted as cores in an attempt to circumvent the limitation on the number of research projects that may be submitted as part of a single MIRA application.

8.5. Selection of Research Projects and Core Resources

The PI is expected not only to coordinate and develop the overall research program but also to *limit the number of projects and cores* to only those that are considered highly meritorious and significant within the context of the entire application. The collaborative impact, merit, and feasibility of all the projects—not the cores—will determine whether an application for a MIRA receives support. Investigators are strongly discouraged from including weaker projects in an effort to obtain a higher level of funding. Rather, inclusion of fewer, highly focused projects is strongly recommended.

8.6. Commitment of Time and Effort

Investigators are expected to commit *significant percent effort* to research projects and cores. A minimum time commitment of 20% effort is required for the PI. Research project and core resource Co-PIs should commit at least 10% effort for each project and/or core that he or she directs.

Note: CPRIT requires that the percent effort of the PI and/or Co-PI(s) remain the same in every year of support requested unless there is a corresponding change in the budget and level of activity of the project/core directed by the PI or the Co-PI(s) in question.

CPRIT recognizes that multi-investigator programs will vary significantly in size and scope; thus, a single guideline for commitment of time and effort is not appropriate for all applications. Applications should exhibit a reasonable correlation between time commitment and funds requested unless there are special circumstances, which must be explained. In addition, it should be clear from the other support information provided that the investigator will be able to achieve the required percent effort and what activities may have to be contracted or curtailed to achieve the required percent effort for the application submitted.

8.7. Participation on More than 1 Application

CPRIT is concerned that many investigators appear frequently as part of several different research programs, which makes it difficult to discern the investigators' commitment to a given project. CPRIT believes that this leads to weaker, less competitive applications. Therefore, an

investigator may participate as a PI or Co-PI on only 1 MIRA application in a given funding cycle. However, CPRIT recognizes that specific individuals directing and/or participating in core resources (eg, biostatistics, bioinformatics, or histopathology cores) may be involved in multiple research studies. Thus, exceptions to such investigators being listed on only 1 application as a Co-PI may be made if compelling justification for such exceptions and assurance of commitment (usually in the form of percent effort) are provided. Reductions in percent effort will usually not be approved after an application is funded unless there have been major changes in scope and, therefore, in budget.

9. RESPONDING TO THIS RFA

9.1. 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 was submitted. The PI must create a user account in the system to start and submit an 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 (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. The Co-PI does not have to create a user account in CARS; the Co-PI will be added to the application by the PI. Please refer to the *Instructions for Applicants (IFA)* document for the instructions on adding Co-PIs to an application. The IFA document will be available when the application receipt system opens. Applications will be accepted beginning at 7 AM central time on October 18, 2017, and must be submitted by 4 PM central time on January 31, 2018. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

9.1.1. Submission Deadline Extension

The submission deadline may be extended upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. 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. Please note that deadline extension requests are very rarely approved.

9.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the IFA document for details 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 5](#) will be administratively rejected without review.

9.2.1. Abstract and Significance (15,000 characters)

Clearly explain the question or problem to be addressed by the proposed overall research program and the approach to its answer or solution. Address how the proposed research, if successful, will have a major impact on the field of cancer research or on the care of patients with cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. State the synergistic value that the individual research projects and core resources present to the goals of the overall application. Summarize the proposed core resources. Clearly state the project(s) that the core resources will support and the synergistic value they provide to the goals of the research project(s).

Note: It is the responsibility of the applicant to capture CPRIT’s attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly).

9.2.2. Layperson’s Summary (10,000 characters)

Provide a layperson’s summary of the proposed program. Describe, in simple, nontechnical terms, the overall goals of the proposed program, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be

made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 10.1](#)) in evaluating the significance and impact of the proposed work.

9.2.3. Goals and Objectives (Maximum of 3 Goals and 3 Objectives per Goal for Each Project and Core)

Provide a list of specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success. Goals and objectives should be listed for the overall project as well as for each project and core separately. Projects and cores should be labeled numerically (AC for the Administrative Core, Project 1 to Project 5, and Core 1 to Core 3) and be clearly identified. Goals and objectives for cores should indicate the project(s) to be supported.

Goals and objectives for the overall project should be listed under Administrative Core and prepared by the PI.

9.2.4. Timeline (Maximum of 1 Page per Project and Core)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. Timelines should be listed for the overall program as well as for each project and core separately. Projects and cores should be labeled numerically (AC for the Administrative Core, Project 1 to Project 5, and Core 1 to Core 3) and be clearly identified. The timeline for the overall project should be listed under Administrative Core and prepared by the PI.

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.

9.2.5. Resubmission Summary (10 pages)

Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of 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.

9.2.6. Overview of Overall Program (10 Pages)

Background: Present the rationale behind the proposed research program, emphasizing the pressing problem in cancer research that will be addressed.

Research Strategy: Describe the objectives of the research program and briefly summarize each component project and core resource.

Synergy: Describe how individual component projects provide synergistic value to the research program.

9.2.7. Research Project Abstract (Maximum of 5,000 characters per Project)

Clearly explain the question or problem to be addressed by the proposed project and the approach to its answer or solution. Address how the proposed research, if successful, will have a major impact on the field of cancer research or on the care of patients with cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. State the synergistic value that the project has to the overall research program and other projects and core resources in accomplishing the goals and objectives of the overall program.

9.2.8. Research Project Plan (Up to 25 Pages for Each Project)

Background: Present the rationale behind the proposed project, emphasizing the pressing problem in cancer research that will be addressed.

Research Strategy: Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Preliminary data that support the proposed hypothesis are encouraged but not required.

Synergy: Describe how the project provides synergistic value to the entire research program.

Biographical Sketches: A biographical sketch must be provided for each individual leading a project. Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate.

Vertebrate Animals and/or Human Subjects: If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for IRB approval or exemption and recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

Publications/References: Provide a concise and relevant list of publications/references cited for the research project.

Budget and Justification: While there will be one budget for the entire program, an individual budget and budget justification must be included for each project. A 4-year budget table with a justification of budget expenses should be sufficient. This budget should not be as detailed as the overall program budget, but rather a high level budget that allows reviewers to evaluate project expenses.

9.2.9. Core Resource Abstract (Maximum of 5,000 characters per Core Resource)

Clearly explain the question or problem to be addressed by the proposed core resource and the approach to its answer or solution. Address how the core will have a major impact on the field of cancer research or on the care of patients with cancer. Summarize how the proposed core resource creates new paradigms or challenges existing ones. State the synergistic value that the core resource has to the overall research program and other projects and core resources in accomplishing the goals and objectives of the overall program.

9.2.10. Core Resource Plan (Up to 25 Pages for Each Core Resource)

Background: Present the rationale behind the proposed core resource.

Support Strategy: Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Preliminary data demonstrating the capabilities of the core are encouraged but not required.

Synergy: Describe how the core resource provides synergistic value to the research program.

Biographical Sketches: A biographical sketch must be provided for each individual leading a core resource. Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate.

Vertebrate Animals and/or Human Subjects: If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for IRB approval or exemption and recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

Publications/References: Provide a concise and relevant list of publications/references cited for the core resource.

Budget and Justification: While there will be one budget for the entire program, an individual budget and budget justification must be included for each core. A 4-year budget table with a justification of budget expenses should be sufficient. This budget should not be as detailed as the overall program budget, but rather a high level budget that allows reviewers to evaluate core expenses.

9.2.11. Administrative Core Plan (5 Pages)

Describe the organizational and management structure that will be established to efficiently, effectively, and comprehensively manage all aspects of the research program. State how the leaders of individual projects and cores (ie, the PI and the Co-PIs) will communicate and discuss results, report progress, and resolve potential problems throughout the duration of the research program.

9.2.12. Synergy Illustration (3 Pages)

Provide a detailed narrative and diagrammatic representation of interactions among the Administrative Core, all research projects, and all core resources of the proposed research program.

9.2.13. Sustainability plan (2 Pages)

Provide a detailed narrative that discusses a sustainability plan for how the progress of the MIRA will be continued after the conclusion of the CPRIT award. For example, the MIRA may lead to follow-on funding as P01s, SPORes or multi-investigator R01s; development of a new center or

other institutional mechanisms that recognize and support a multi-investigator program; new faculty recruitment; identification of a new lead compound; the proof of principle leading to a clinical trial; or impact on public policy.

9.2.14. Vertebrate Animals and/or Human Subjects (5 Pages)

If vertebrate animals or human subjects or human biological samples will be used, please use this section to provide any additional details that may have not been covered in Research Project or Core Resource Plans sections. If no additional space is needed to provide other information, applicants should mark this section as “Not Applicable.” There is no need to duplicate information that is included in [sections 9.2.8](#) or [9.2.10](#).

9.2.15. Publications/References

Provide a concise and relevant list of publications/references cited for the application.

9.2.16. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. Reasonable budgets clearly work in favor of the applicant.

However, if there is a highly specific and defensible need to request more than the maximum amount in any year(s) of the proposed budget, include a special and clearly labeled section in the budget justification that explains the request. Poorly justified requests of this type will likely have a negative impact on the overall evaluation of the application.

In preparing the requested budget, applicants should be aware of the following:

- One budget will be submitted on behalf of the entire program and will include costs for individual projects and cores. While there will be 1 budget for the entire program, individual budget breakdowns must be included for each project and core resource as a part of the research or core resources plan. For programs that have outside institutions participating, a subcontract must be executed for that institution to receive CPRIT funds.
- 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.

- Texas law limits the amount of grant funds that may be spent on indirect costs 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, which are available at www.cprit.texas.gov. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2018 is \$200,000; CPRIT FY 2018 is from September 1, 2017, through August 31, 2018. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

9.2.17. Biographical Sketches for Key Personnel (5 Pages Each)

Up to 5 additional biographical sketches for key personnel may be provided. Each individual biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate. Biographical sketches for Project and Core Co-PIs must be submitted as part of the research project or core resource plans.

9.2.18. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project, and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and Co-PIs must be provided.

9.2.19. Institutional/Collaborator Support and/or Other Certification (15 Pages)

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 15 pages may be provided.

9.2.20. Previous Summary Statement

If the application is being resubmitted, the 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.

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

10. APPLICATION REVIEW

10.1. Full Peer Review

Applications submitted in response to the MIRA RFA will undergo a full peer review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific 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 CPRIT 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 to 703.8](#).

Applicants will be notified of peer review panel assignment prior to the peer review meeting dates.

10.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, 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 Peer Review Panel members and Scientific Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website.

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 Scientific Review Panel 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 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 prior to the opening of CARS. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

10.3. Review Criteria

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review panels will evaluate and score each project and core individually according to the primary criteria and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the**

application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.

10.3.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work in each project and core as well as the overall program as described in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study. Primary criteria include the following:

Significance and Impact of Overall Program: What is the innovative potential of the program? Does the program propose new paradigms or challenge existing ones? Does the program develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Investigators and biomedical personnel must want and need to know the results of CPRIT-funded research because such knowledge will change the ways in which they conduct their own research or approach and care for their patients. Programs that modestly extend current lines of research will not be considered for this award.

Research Plan for Research Projects: Is the proposed work presented as a self-contained research project? Does the proposed research have a clearly defined hypothesis or goal that is supported by sufficient preliminary data and/or scientific rationale? Are the methods appropriate, and are potential experimental obstacles and unexpected results discussed? Does the proposed project provide strong synergistic activities as part of a multidisciplinary collaboration? See [section 8.1](#).

Project Leader for Research Projects: Does the project leader demonstrate the required creativity, expertise, experience, and accomplishments to achieve the goals of the research project? Has the project leader devoted a sufficient amount of his or her time (percent effort) to this project?

Synergy and Collaborative Teams: Does the proposed project provide strong synergistic activities as part of a multidisciplinary collaboration? That is, is the value of this program significantly greater than the sum of its parts? If core facilities are described, are they necessary and sufficient to support the project in achieving the overall goals proposed? Has the project

assembled the best-qualified collaborative and multidisciplinary teams to achieve the proposed goals? Are the levels of effort of the key personnel appropriate as outlined in [section 8.6](#)?

Relevance of Research Projects: Does the proposed research have a high degree of relevance to reduce the burden of cancer? This will be an important criterion for evaluation of projects for CPRIT support.

Sufficiency and Capability of Core Resources: Is the proposed core resource necessary? Does it have the needed facilities and sufficient resources to support the proposed research project(s) in accomplishing the proposed goals? Does it provide strong synergistic activities as part of a multidisciplinary collaboration? Is there a mechanism for prioritizing the work of the core?

Core Resources Leader: Does the core leader demonstrate the required expertise and experience to direct the core resource in supporting the research project(s)? Has the core leader devoted a sufficient amount of his or her time (percent effort) to this resource?

Administrative Core Plan: Is the proposed organizational and management structure capable of comprehensively overseeing and coordinating all aspects and activities of the proposed research program?

Administrative Core Leader: Does the core leader demonstrate the required expertise and experience to direct the research program? Has the core leader devoted a sufficient amount of his or her time (percent effort) to this activity? Are there plans for coordination of the program and for facilitating interactions among the program components?

10.3.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed project. Secondary criteria include the following:

Research Environment: Does the team have the needed expertise, facilities, and resources to accomplish all aspects of the project? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support for the research team and the project?

Vertebrate Animals and/or Human Subjects: If vertebrate animals and/or human subjects are included in the proposed research, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

Budget: Is the budget appropriate for the proposed work?

Duration: Is the stated duration appropriate for the proposed work?

11. KEY DATES

RFA

RFA release	August 25, 2017
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Application

Online application opens	October 18, 2017, 7 AM central time
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Application due	January 31, 2018, 4 PM central time
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Application review	February 2018 to May 2018
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Award

Award notification	August 2018
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Anticipated start date	August 2018
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12. 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.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 award contract. Forms and instructions will be made available at www.cprit.texas.gov.

13. 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 demonstration of available funding.

14. CONTACT INFORMATION

14.1. 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 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

14.2. Scientific and Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT 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 – Cancer Prevention Research 18.2 Peer Review
Observation Report

Report No. 2018-05-18 ACR_CPR_18.2
Program Name: Academic Research
Panel Name: Cancer Prevention Research (CPR_18.2)

Panel Date: May 18, 2018
Report Date: June 5, 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 – Cancer Prevention Research 18.2 Peer Review Meeting. The meeting was chaired by Tom Sellers and conducted in person on May 18, 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
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Cancer Prevention Research 18.2 Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Prevention Research panel discussion:

- Nineteen (19) applications were discussed; nineteen (19) applications were not discussed;
- Participants: One (1) Panel Chair; sixteen (16) expert review panelists; and two (2) advocate reviewers;
- The panelists' discussions were limited to the evaluation criteria;
- Five (5) CSRA employees participated in the meeting. Two additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in discussions around the merits of the applications;
- Two (2) CPRIT staff members were present in the room and participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- Nineteen (19) COIs were identified prior to and/or during the meeting. Eight (8) COIs pertained to applications discussed and eleven (11) COIs pertained to applications not discussed;
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. The reviewers signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Prevention Research 18.2 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research Basic Cancer Research Peer Review Panel 1
Observation Report

Report No. 2018_05_21 ACR_BCR_18.2 Panel 1
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.2-1 (BCR-1)

Panel Date: May 21, 2018
Report Date: June 5, 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 Basic Cancer Research 18.2 Panel 1 Peer Review Meeting. The meeting was chaired by Thomas Curran and conducted in person and via teleconference on May 21, 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 panel discussions on the merits of applications; and
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Three (3) BFS independent observers participated in the Basic Cancer Research Peer Review panel meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Basic Cancer Research 18.2-1 discussion:

- Twenty-two (22) applications were discussed; thirty-six (36) applications were not discussed;
- Participants: One (1) panel chair; Seventeen (17) expert peer review panelists, and two (2) advocate peer review panelists;
- Panelists' discussions were limited to the evaluation criteria;
- Six (6) CSRA staff members participated in the meeting. Three (3) additional CSRA or contract staff participated intermittently in a logistics support role;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Two (2) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of Interest (COI):

- Sixteen (16) COIs were identified prior to and/or during the meeting. All pertained to applications not discussed.

A list of all attendees, sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.2-1 meeting 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA

Senior Partner

Business & Financial Management Solutions, LLC

June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research – Imaging Technology and Informatics 18.2
(ITI 18.2) Peer Review
Observation Report

Report No. 2018-05-24 ACR_ITI_18.2
Program Name: Academic Research
Panel Name: Imaging Technology and Informatics 18.2 (ITI_18.2)

Panel Date: May 24, 2018
Report Date: June 5, 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 – Imaging Technology and Informatics 18.2 (ITI_18.2) Peer Review Meeting. The meeting was chaired by Sanjiv Sam Gambhir and conducted in person on May 24, 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

- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Academic Research – Imaging Technology and Informatics 18.2 (ITI_18.2) Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Academic Research – Imaging Technology and Informatics 18.2 (ITI_18.2) panel discussion:

- Twenty-seven (27) applications were discussed; thirty-seven (37) applications were not discussed;
- Participants: One (1) Panel Chair; twenty-three (23) expert review panelists; and two (2) advocate reviewers;
- The panelists' discussions were limited to the evaluation criteria;
- Four (4) CSRA employees participated in the meeting. One (1) additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in discussions around the merits of the applications;
- Four (4) CPRIT staff members were present in the room and participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- Twelve (12) COIs were identified prior to and/or during the meeting. One (1) COI pertained to applications discussed and eleven (11) COIs pertained to applications not discussed;
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. The reviewers signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research – Imaging Technology and Informatics 18.2 (ITI_18.2) Peer Review Meeting 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research – Clinical /Translational Cancer Research 18.2
Peer Review
Observation Report

Report No. 2018-05-22 ACR_C/TCR_18.2
Program Name: Academic Research
Panel Name: Clinical /Translational Cancer Research 18.2 (C/TCR_18.2)

Panel Date: May 22, 2018
Report Date: July 10, 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 Clinical /Translational Cancer Research 18.2 (C/TCR_18.2) Peer Review Meeting. The meeting was chaired by Richard O'Reilly and Margaret Temporo and conducted in person and via teleconference on May 22, 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

- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Clinical /Translational Cancer Research 18.2 Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Clinical /Translational Cancer Research 18.2 panel discussion:

- Forty-seven (47) applications were discussed; thirty-nine (39) applications were not discussed;
- Participants: Two (2) Panel Chairs; twenty-nine (29) expert review panelists; and three (3) advocate reviewers;
- Panelists' discussions were limited to the evaluation criteria;
- Six (6) CSRA employees participated in the meeting. Two (2) additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in discussions around the merits of the applications;
- Three (3) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- Twenty-two (22) COIs were identified prior to and/or during the meeting. Eleven (11) COIs pertained to applications discussed and eleven (11) COIs pertained to applications not discussed; COI Garth Powis did not sign out for RP180882 on the Peer Review Certification sheet.
- Reviewers identified as having COIs on the COI certification sheets left the room and did not participate in the review of conflicted applications. The reviewers identified on the COI certification sheets signed out on the COI certification sheets when leaving the room. Garth Powis was not identified on the pre-meeting COI certification sheets provided as a COI for RP180882; however, he was listed as a COI for RP180882 on the Pre-Meeting Scores-Order of Review and did not sign out for RP180882 on the COI certification sheets.

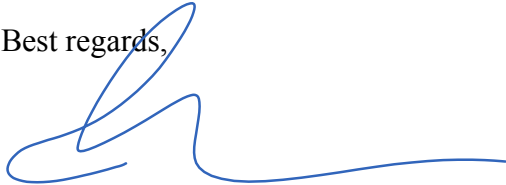
In conclusion; we observed that the activities of Clinical /Translational Cancer Research 18.2 (C/TCR_18.2) Panel were limited to the identified objectives noted earlier in this report.

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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research Basic Cancer Research Peer Review Panel 2
Observation Report

Report No. 2018_05_21 ACR_BCR_18.2 Panel 2
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.2-2 (BCR-2)

Panel Date: May 23, 2018
Report Date: June 5, 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 Basic Cancer Research 18.2 Panel 2 Peer Review Meeting. The meeting was chaired by Carol Prives and conducted in person and via teleconference on May 23, 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 panel discussions on the merits of applications; and
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Basic Cancer Research Peer Review Panel 2 meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Basic Cancer Research 18.2 Panel 2 discussion:

- Twenty-five (25) applications were discussed; twenty-two (22) applications were not discussed;
- Participants: One (1) panel chair; thirteen (13) expert peer review panelists, and two (2) advocate peer review panelists;
- Panelists' discussions were limited to the evaluation criteria.
- Four (4) CSRA employees were present in the room and participated in the meeting;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Three (3) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;

Regarding applications with a conflict of Interest (COI):

- Seventeen (17) COIs were identified prior to and/or during the meeting. Fourteen (14) pertained to applications discussed, three (3) to applications not discussed.

A list of all attendees, sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives.

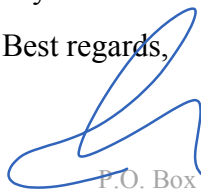
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.2 Panel 2 meeting 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Academic Research – Cancer Biology 18.2 Peer Review
Observation Report

Report No. 2018-05-25 ACR_CB_18.2
Program Name: Academic Research
Panel Name: Cancer Biology 18.2 (CB_18.2)

Panel Date: May 25, 2018
Report Date: June 5, 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 – Cancer Biology 18.2 (CB_18.2) Peer Review Meeting. The meeting was chaired by Peter Jones and conducted in person and via teleconference on May 25, 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
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Cancer Biology 18.2 (CB_18.2) Peer Review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Biology 18.2 (CB_18.2) panel discussion:

- Twenty-two (22) applications were discussed; thirty (30) applications were not discussed;
- Participants: One (1) Panel Chair; sixteen (16) expert review panelists; and two (2) advocate reviewers;
- The panelists' discussions were limited to the evaluation criteria;
- Four (4) CSRA employees were present in the room and participated in the meeting;
- CSRA staff did not participate in discussions around the merits of the applications;
- Five (5) CPRIT staff members were present in the room and participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COI):

- One (1) COIs were identified prior to and/or during the meeting, which pertained to applications discussed;
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. The reviewers signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

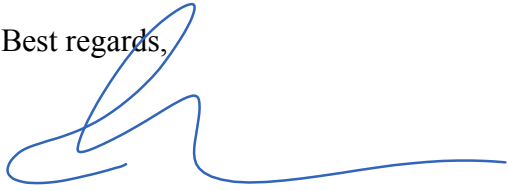
Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Biology 18.2 (CB_18.2) 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.

Best regards,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research Peer Review Observation Report

Report No. 2018-07-12_SRC_18.2
Program Name: Academic Research
Panel Name: FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC)
Panel Date: July 12, 2018
Report Date: July 17, 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 FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC). The meeting was chaired by Richard Kolodner and conducted via teleconference on July 12, 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 panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observer participated in the FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC) discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the meeting:

- Forty-one (41) applications were discussed;
- Participants: One (1) Panel Chair and five (5) 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 were no (0) COIs identified prior to or during the meeting. 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 FY 18.2 Scientific Review Council Meeting Review Panel (18.2 SRC) 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 18.2 Applications
(Academic Research Cycle 18.2 Awards Announced at August 24, 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 18.2 include *Core Facility Support Awards*, *High-Impact/High-Risk Research Awards*, and *Multi-Investigator Research Awards*. 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			
RP180813	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-AC	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-C1	Zamal Ahmed	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P1	Junjie Chen	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P2	Katharina Schlacher	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P3	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin
RP180813-P4	Banu Arun	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson; Walter Chazin

* = Not discussed

Academic Research Cycle 18.2

Application ID	Applicant/PI	Institution	Conflict Noted
RP180755	Philip Lupo	Baylor College of Medicine	Electra Paskett
RP180725	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-AC	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-C1	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-P1	Zhijian Chen	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-P2	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180725-P3	Raquibul Hannan	The University of Texas Southwestern Medical Center	Victor Engelhard
RP180785	Adrian Gee	Baylor College of Medicine	Robertson Parkman
RP180880	Kevin Dalby	The University of Texas at Austin	Garth Powis; Angelos Angelou
RP180882	Kyuson Yun	The Methodist Hospital Research Institute	Garth Powis; Howard. Hochster
RP180690	Jennifer Maynard	The University of Texas at Austin	Angelos Angelou
Applications not considered by the PIC or Oversight Committee			
RP180733*	Richard Gorlick	The University of Texas M. D. Anderson Cancer Center	Jose Conejo-Garcia
RP180733-AC*	Richard Gorlick	The University of Texas M. D. Anderson Cancer Center	J. Conejo-Garcia

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180733-C1*	David Wheeler	Baylor College of Medicine	Jose Conejo-Garcia
RP180733-P1*	Richard Gorlick	The University of Texas M. D. Anderson Cancer Center	Jose Conejo-Garcia
RP180733-P2*	Peter Houghton	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180733-P3*	Carl Allen	Baylor College of Medicine	Jose Conejo-Garcia
RP180733-P4*	C Patrick Reynolds	Texas Tech University Health Sciences Center	Jose. Conejo-Garcia
RP180754*	Alexei Tumanov	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779*	Alexander Bishop	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-AC*	Alexander Bishop	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-C1*	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-C2*	Yogesh Gupta	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-C3*	Yidong Chen	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-P1*	Katsumi Kitagawa	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180779-P2*	Alexander Bishop	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180779-P3*	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP180849*	Leonidas Bleris	The University of Texas at Dallas	Matthew Weitzman
RP180892*	Bartosz Szczesny	The University of Texas Medical Branch at Galveston	Alan Tomkinson; Walter Chazin
RP180765	Dean Edwards	Baylor College of Medicine	Geoffrey Greene
RP180680*	Hye-Chung Kum	Texas A&M University	Thomas Brandon
RP180686	Kathleen Schmeler	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180686-AC	Kathleen Schmeler	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180686-C1	Rebecca Richards-Kortum	Rice University	Electra Paskett
RP180686-C2	David Lairson	The University of Texas School of Public Health	Electra Paskett
RP180686-P1	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180686-P2	Elizabeth Chiao	Baylor College of Medicine	Electra Paskett
RP180686-P3	Ana Rodriguez	The University of Texas Medical Branch at Galveston	Electra Paskett
RP180732*	Maria Suarez-Almazor	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180732-AC*	Maria Suarez-Almazor	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-C1*	Susan Peterson	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-C2*	Lorna McNeill	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-C3*	Alma Rodriguez	The University of Texas M. D. Anderson Cancer Center	Gloria. Petersen
RP180732-P1*	Susan Peterson	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-P2*	Maria Suarez-Almazor	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP180732-P3*	Eduardo Bruera	The University of Texas M. D. Anderson Cancer Center	Gloria. Petersen
RP180732-P4*	Tina Shih	The University of Texas M. D. Anderson Cancer Center	Gloria. Petersen
RP180874*	Diane Santa Maria	The University of Texas Health Science Center at Houston	Electra Paskett
RP180815	Ruiwen Zhang	University of Houston	Ying Lu
RP180822*	Aung Naing	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-AC*	Aung Naing	The University of Texas M. D. Anderson Cancer Center	Howard Hochster

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180822-C1*	Andrew Futreal	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-C2*	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P1*	Anisha Patel	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P2*	Yinghong Wang	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P3*	Naval Daver	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P4*	Mehmet Altan	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180822-P5*	Charles Cleeland	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP180872*	Rongfu Wang	The Methodist Hospital Research Institute	Alessandro Sette;W. Martin Kast
RP180678	Kenneth Hoyt	The University of Texas at Dallas	Kurt Zinn
RP180777*	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-AC*	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-C1*	Vidya Gopalakrishnan	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180777-C2*	Katy Rezvani	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-C3*	Jason Cook	NanoHybrids, Inc.	Ross Berbeco
RP180777-P1*	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-P2*	James Bankson	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180777-P3*	Amer Najjar	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180780*	Richard Bouchard	The University of Texas M. D. Anderson Cancer Center	Ross Berbeco
RP180820*	Georgios Alexandrakis	The University of Texas at Arlington	Arion-Xenofon Chatziioannou; Anna Wu

* = Not discussed

De-Identified Overall Evaluation Scores

Multi-Investigator Research Awards

Academic Research Cycle 18.2

Application ID	Final Overall Evaluation Score
RP180778*	1.3
RP180813*	2.2
RP180712*	2.2
RP180674*	2.4
RP180725*	2.8
Fa	3.5
Fb	3.7
Fc	3.7
Fd	4.0
Fe	4.0
Ff	4.0
Fg	4.2
Fh	4.2
Fi	4.3
Fj	4.4
Fk	4.5
Fl	4.5
Fm	4.6
Fn	4.9
Fo	5.0
Fp	5.0
Fq	5.5
fr	6.5

* Recommended for award

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
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La Jolla, CA 92093-0669

**T 858 534 7804
F 858 534 7750**

July 19, 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 research grant recommendations for the Core Facility Support Awards (CFSA), High Impact/High Risk Research Awards (HIHR) and Multi-Investigator Research Awards (MIRA). The SRC met on July 12, 2018 to consider the applications recommended by the peer review panels following their meetings that were held May 18, 2018 - May 25, 2018.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$84,088,098.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, 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	ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Recommended Budget
1	RP180684	CFSA	1.1	Integrated Single Cell Genomics Core Facility	Navin	The University of Texas M. D. Anderson Cancer Center	\$5,323,453
2	RP180778	MIRA	1.3	Metabolic Enablers of Melanoma Progression	Morrison	The University of Texas Southwestern Medical Center	\$5,998,327
3	RP180785	CFSA	1.5	CARMIT (Children's Access to Regenerative Medicine in Texas)	Gee	Baylor College of Medicine	\$5,767,448*
4	RP180804	CFSA	1.9	Protein Array and Analysis Core (PAAC)	Bedford	The University of Texas M. D. Anderson Cancer Center	\$2,819,682
5	RP180755	HIHRRRA	1.9	The Early-Life Exposome and Risk of Pediatric Acute Lymphoblastic Leukemia	Lupo	Baylor College of Medicine	\$199,140
6	RP180770	CFSA	1.9	Preclinical Radiation Core Facility (PCRCF)	Story	The University of Texas Southwestern Medical Center	\$4,047,022
7	RP180700	HIHRRRA	2.0	Mechanisms of Drug Resistance in Lung Cancer	Alto	The University of Texas Southwestern Medical Center	\$200,000
8	RP180835	HIHRRRA	2.0	Targeted Proteolysis of Glucocorticoid Receptor as a Therapeutic Strategy in Antiandrogen Treatment-Resistant Prostate Cancer	Lissanu Deribe	The University of Texas M. D. Anderson Cancer Center	\$199,999
9	RP180805	CFSA	2.0	Pediatric Cancer Data Core	Xie	The University of Texas Southwestern Medical Center	\$5,863,959***
10	RP180748	CFSA	2.1	GCC Center for Comprehensive PK/PD and Formulation	Liang	Texas Southern University	\$5,550,456
11	RP180694	HIHRRRA	2.2	TREX2 Inhibitors to Treat BCR-ABL- Cancers	Hasty	The University of Texas Health Science Center at San Antonio	\$200,000
12	RP180769	HIHRRRA	2.2	A Novel Anti-BCR-ABL Approach for Leukemia Therapy	Rao	The University of Texas Health Science Center at San Antonio	\$200,000
13	RP180813	MIRA	2.2	BRCA Answers From Cancer Interactome Structures (BACIS)	Tainer	The University of Texas M. D. Anderson Cancer	\$5,969,140

						Center	
14	RP180672	CFSA	2.2	Advanced Multiparameter Cytometry and Cell Sorting Core	Beeton	Baylor College of Medicine	\$5,628,254**
15	RP180712	MIRA	2.2	Rational Combination Treatment Options to Reverse Resistance in Hormone Receptor–Positive Breast Cancer Refractory to Standard Therapy	Hunt	The University of Texas M. D. Anderson Cancer Center	\$5,992,274
16	RP180819	CFSA	2.2	Pediatric Solid Tumors Comprehensive Data Resource Core	Gorlick	The University of Texas M. D. Anderson Cancer Center	\$5,440,485***
17	RP180716	HIHRRRA	2.2	Noninvasive Diagnostic Imaging of Brain Cancer Using Hyperpolarized ¹³ C-Labeled L-Tryptophan and L-Methionine	Lumata	The University of Texas at Dallas	\$200,000
18	RP180670	CFSA	2.3	Small Animal Imaging Core Facility for Cancer Research at UT Dallas	Hoyt	The University of Texas at Dallas	\$3,892,336
19	RP180880	HIHRRRA	2.3	Targeting BRAF- and RAS-Mutant Cancers by Small Molecule–Induced Proteolysis of ERK1/2	Dalby	The University of Texas at Austin	\$200,000
20	RP180734	CFSA	2.3	UTHealth Cancer Genomics Core (UTHealth CGC)	Zhao	The University of Texas Health Science Center at Houston	\$4,814,267
21	RP180674	MIRA	2.4	Predictive Biomarkers and Novel Therapies for High-Risk Pediatric Liver Cancers	Lopez-Terrada	Baylor College of Medicine	\$5,982,208
22	RP180848	HIHRRRA	2.5	Autoimmune-Prone Mouse Models for Studying Immune-Related Adverse Events Associated With Cancer Immunotherapy	Yan	The University of Texas Southwestern Medical Center	\$200,000
23	RP180826	HIHRRRA	2.5	Integrative Analysis of Structural Variants in Cancer Genomes	Xu	The University of Texas Southwestern Medical Center	\$200,000
24	RP180690	HIHRRRA	2.6	Engineering Cancer Immunotherapeutics for Enhanced Activity in the Low pH Tumor	Maynard	The University of Texas at Austin	\$200,000

				Microenvironment			
25	RP180812	HIHRRRA	2.6	Fluorescently Labeled Somatostatin Analogs for Image-Guided Surgery in Neuroendocrine Tumors	Azhdarinia	The University of Texas Health Science Center at Houston	\$200,000
26	RP180736	HIHRRRA	2.7	Nanoparticle-Mediated Hyperthermia to Improve Chemotherapeutic Efficacy in HIPEC	Holder	The Methodist Hospital Research Institute	\$199,998
27	RP180751	HIHRRRA	2.8	Methods for Assessment and Quantification of Imperfect dsDNA Break Repair	Otwinowski	The University of Texas Southwestern Medical Center	\$200,000
28	RP180801	HIHRRRA	2.8	Targeting the Menopause Transition to Decrease the Risk for Obesity-Associated Postmenopausal Breast Cancer	Giles	Texas A&M University	\$200,000
29	RP180725	MIRA	2.8	Targeting Tumor Tissues Increases DNA Sensing to Bridge Innate and Adaptive Immunity	Fu	The University of Texas Southwestern Medical Center	\$6,000,000
30	RP180863	HIHRRRA	2.9	Chemoprevention of Colon Cancer Progression in FAP Children	Hu	University of Houston	\$200,000
31	RP180771	HIHRRRA	2.9	Small Molecule for Selective Targeting of Epithelial-Mesenchymal Transition-Induced Cancer Stem Cells	Taube	Baylor University	\$199,951
32	RP180810	HIHRRRA	2.9	Controlling the Activity of Anticancer T Cells by Inducing Replicative Senescence	Mamonkin	Baylor College of Medicine	\$200,000
33	RP180875	HIHRRRA	2.9	Cyanine-Conjugated Kinase Inhibitors (Cy-KIs) as Potential Glioblastoma Theranostics	Sitcheran	Texas A&M University System Health Science Center	\$200,000
34	RP180882	HIHRRRA	3.0	Developing a Clinically Relevant Drug Testing Platform	Yun	The Methodist Hospital Research Institute	\$199,700
35	RP180846	HIHRRRA	3.0	Molecular Opening of the Blood-Brain Barrier by Molecular	Qin	The University of Texas at Dallas	\$200,000

				Hyperthermia			
36	RP180827	HIHRRRA	3.1	Polymer Nanodiscs: Novel Lipoprotein- Mimicking Nanocarriers With High Stability and Long Circulation Time for Enhanced Anticancer Drug Delivery	Liang	Texas Tech University Health Sciences Center	\$200,000
37	RP180844	HIHRRRA	3.2	Regulating Androgen Receptor as a Corepressor by Neurofibromin (NF1)	Chang	Baylor College of Medicine	\$200,000
38	RP180873	HIHRRRA	3.2	Molecular Targeted Magnetic Resonance Reporter for Cancer Detection	Carson	Rice University	\$200,000
39	RP180862	HIHRRRA	3.3	Microfluidic Cancer Assay for Liquid Biopsies and Early Detection	Pappas	Texas Tech University	\$199,999
40	RP180851	HIHRRRA	3.4	Targeting MYCN- Driven Metabolism in Neuroblastoma	Barbieri	Baylor College of Medicine	\$200,000

*RP180785 reflects budget as reduced by the SRC. SRC recommended the removal of 2nd Prodigy Cell Processor

**RP180672 reflects recommended budget as reduced by the SRC. SRC recommended the elimination of salary support for Bioinformatician

***RP1800805 and RP180819 - The Scientific Review Council notes that Core Facility Support Award applications from UT Southwestern (RP180805) and MD Anderson (RP180819) propose separate comprehensive data cores to support pediatric cancer research in Texas. The goals of the individual applications complement each other and together represent a unique opportunity to build a statewide resource that will accelerate pediatric cancer research in Texas. To realize the full potential of the CPRIT investment in these cores, the Council recommends that prior to finalizing a funding plan for each core that the PIs and their respective institutions develop a plan that will maximize opportunities for the two cores to work together and to incorporate that plan into their core's goals and budget.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycles 10 through 12
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 Recruitment Review Panel 18.10

Observation Report

Report No. 2018-05-17 ACR_REC_18.10
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.10 (REC_18.10)

Panel Date: May 17, 2018
Report Date: June 5, 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-18.10 (REC_18.10) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on May 17, 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
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Academic Research – Recruitment Review Panel-18.10 (REC_18.10) meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Ten (10) applications were discussed; one (1) was not discussed;
- Participants: One (1) panel chair and six (6) review panelists;
- Three (3) CSRA employees participated in the meeting;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Two (2) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- Panelists' discussions were limited to the evaluation criteria.

No COIs were identified prior to or during the meeting.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research Recruitment 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.

Best regards,

A handwritten signature in blue ink, appearing to read 'I. Mara Ash', with a long horizontal flourish extending to the right.

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

Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research Peer Review Observation Report

Report No. 2018-06-21_REC_18.11
Program Name: Academic Research
Panel Name: Recruitment Review Panel - 18.11 (REC_18.11)

Panel Date: June 21, 2018
Report Date: June 21, 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 - 18.11 (REC_18.11). The meeting was chaired by Richard Kolodner and conducted via teleconference on June 21, 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

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

The independent observer noted the following during the Recruitment meeting:

- Five (5) applications were discussed; three (3) were recommended for funding, two (2) were not recommended for funding;
- Participants: One (1) Panel Chair and five (5) review panelists;
- Three (3) 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 were no (0) COIs identified prior to or during the meeting. 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



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research FY 18.12 Recruitment Review Panel-

18.12 (REC 18.12) Observation Report

Report No. **2018-07-12_REC_18.12**

Program Name: Academic Research

Panel Name: FY 18.12 Recruitment Review Panel-18.12 (REC_18.12)

Panel Date: 7/12/2018

Report Date: 7/17/2018

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 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 the third-party observer in December 2016.

Introduction

The subject of this report is the FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review. The meeting was chaired by Richard Kolodner and conducted by teleconference on July 12, 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;

July 12, 2018

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review panel meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Five (5) applications were discussed and considered in the panel review FY 18.12 Recruitment Review Panel-18.12 (REC_18.12).
- Panelists: One (1) panel chair, five (5) expert reviewers and no (0) advocate reviewers;
- Two (2) CPRIT staff members and two (2) CSRA staff employees were on the phone and participated in the meeting; there were no other CSRA staff employees who assisted with the meeting.
- CPRIT staff participation was limited to reviewing and clarifying policies and answering procedural questions;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- Panelists' discussions were limited to the evaluation criteria.

There were no COIs identified prior to and/or during the meeting.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

Conclusion

In conclusion; we observed that the activities of the FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review meeting were limited to the identified objectives noted earlier in this report.

July 12, 2018

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,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
July 17, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment Cycle 18.10-18.12 Applications
(Academic Research Recruitment Cycle 18.10-18.12 Awards Announced at August 24, 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 18.10-18.12 include *Recruitment of Rising Stars*; *Recruitment of Established Investigators*; 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			
RR180042	Dean Appling	The University of Texas at Austin	Angelos Angelou
Applications not considered by the PIC or Oversight Committee			
No conflicts reported.			

De-Identified Overall Evaluation Scores

Recruitment of Established Investigators

Academic Research Recruitment Cycles 18.10 through 18.12

Application ID	Final Overall Evaluation Score
RR180032*	1.5
RR180056*	2.0
aaa	3.4
aab	3.6
aac	4.0

* 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
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July 19, 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 May 17, 2018 (REC Cycles 18.10), June 21, 2018 (REC Cycle 18.11) and July 12, 2018 (REC Cycle 18.12) 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.

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 \$32,000,000

At the time of review, the SRC also voted to recommend the following applications: RR180059, RR180058 and RR180057. However, these three applications were withdrawn by the applicants after the SRC recommendation, but prior to the date of this letter.

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	RR180061	Chao Cheng, Ph.D.	RRS	Baylor College of Medicine	\$4,000,000	1.0
2	RR180066	Xuebing Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.2
3	RR180060	Yejing Ge, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.2
4	RR180072	Tao Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.4
5	RR180032	Peng (George) Wang, Ph.D.	REI	Baylor College of Medicine	\$6,000,000	1.5
6	RR180051	Glen P. Liszczak, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
7	RR180050	Peter Ly, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
8	RR180056	Anke Henning, Ph.D.	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.0
9	RR180067	Fuguo Jiang, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	2.0
10	RR180042	Can Cenik, Ph.D.	RFTFM	The University of Texas at Austin	\$2,000,000	2.0
11	RR180071	Sung-Man (Kenneth) Chen, M.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.4

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycles 10 through 12
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.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 Recruitment Review Panel 18.10

Observation Report

Report No. 2018-05-17 ACR_REC_18.10
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.10 (REC_18.10)

Panel Date: May 17, 2018
Report Date: June 5, 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-18.10 (REC_18.10) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on May 17, 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
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Academic Research – Recruitment Review Panel-18.10 (REC_18.10) meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Ten (10) applications were discussed; one (1) was not discussed;
- Participants: One (1) panel chair and six (6) review panelists;
- Three (3) CSRA employees participated in the meeting;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Two (2) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- Panelists' discussions were limited to the evaluation criteria.

No COIs were identified prior to or during the meeting.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research Recruitment 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.

Best regards,

A handwritten signature in blue ink, appearing to read 'I. Mara Ash', with a long horizontal flourish extending to the right.

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

Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research Peer Review Observation Report

Report No. 2018-06-21_REC_18.11
Program Name: Academic Research
Panel Name: Recruitment Review Panel - 18.11 (REC_18.11)

Panel Date: June 21, 2018
Report Date: June 21, 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 - 18.11 (REC_18.11). The meeting was chaired by Richard Kolodner and conducted via teleconference on June 21, 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

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

The independent observer noted the following during the Recruitment meeting:

- Five (5) applications were discussed; three (3) were recommended for funding, two (2) were not recommended for funding;
- Participants: One (1) Panel Chair and five (5) review panelists;
- Three (3) 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 were no (0) COIs identified prior to or during the meeting. 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



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research FY 18.12 Recruitment Review Panel-

18.12 (REC 18.12) Observation Report

Report No. **2018-07-12_REC_18.12**

Program Name: Academic Research

Panel Name: FY 18.12 Recruitment Review Panel-18.12 (REC_18.12)

Panel Date: 7/12/2018

Report Date: 7/17/2018

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 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 the third-party observer in December 2016.

Introduction

The subject of this report is the FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review. The meeting was chaired by Richard Kolodner and conducted by teleconference on July 12, 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;

July 12, 2018

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review panel meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Five (5) applications were discussed and considered in the panel review FY 18.12 Recruitment Review Panel-18.12 (REC_18.12).
- Panelists: One (1) panel chair, five (5) expert reviewers and no (0) advocate reviewers;
- Two (2) CPRIT staff members and two (2) CSRA staff employees were on the phone and participated in the meeting; there were no other CSRA staff employees who assisted with the meeting.
- CPRIT staff participation was limited to reviewing and clarifying policies and answering procedural questions;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- Panelists' discussions were limited to the evaluation criteria.

There were no COIs identified prior to and/or during the meeting.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

Conclusion

In conclusion; we observed that the activities of the FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review meeting were limited to the identified objectives noted earlier in this report.

July 12, 2018

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,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
July 17, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment Cycle 18.10-18.12 Applications
(Academic Research Recruitment Cycle 18.10-18.12 Awards Announced at August 24,
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 18.10-18.12 include *Recruitment of Rising Stars*; *Recruitment of Established Investigators*; 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			
RR180042	Dean Appling	The University of Texas at Austin	Angelos Angelou
Applications not considered by the PIC or Oversight Committee			
No conflicts reported.			

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycles 18.10 through 18.12

Application ID	Final Overall Evaluation Score
RR180059*	1.0
RR180060*	1.2
RR180066*	1.2
RR180058*	1.3
RR180072*	1.4
RR180051*	1.8
RR180050*	1.8
RR180067*	2.0
RR180042*	2.0
RR180071*	2.4
bba	3.0
bbb	3.3
bbc	3.8

RR180059 and RR180058 were withdrawn by the applicants after the Scientific Review Council meeting.

* 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
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T 858 534 7804
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July 19, 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 May 17, 2018 (REC Cycles 18.10), June 21, 2018 (REC Cycle 18.11) and July 12, 2018 (REC Cycle 18.12) 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.

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 \$32,000,000

At the time of review, the SRC also voted to recommend the following applications: RR180059, RR180058 and RR180057. However, these three applications were withdrawn by the applicants after the SRC recommendation, but prior to the date of this letter.

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	RR180061	Chao Cheng, Ph.D.	RRS	Baylor College of Medicine	\$4,000,000	1.0
2	RR180066	Xuebing Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.2
3	RR180060	Yejing Ge, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.2
4	RR180072	Tao Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.4
5	RR180032	Peng (George) Wang, Ph.D.	REI	Baylor College of Medicine	\$6,000,000	1.5
6	RR180051	Glen P. Liszczak, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
7	RR180050	Peter Ly, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
8	RR180056	Anke Henning, Ph.D.	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.0
9	RR180067	Fuguo Jiang, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	2.0
10	RR180042	Can Cenik, Ph.D.	RFTFM	The University of Texas at Austin	\$2,000,000	2.0
11	RR180071	Sung-Man (Kenneth) Chen, M.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.4

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycles 10 through 12
Recruitment of Rising Stars

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-18.1-RRS

Recruitment of Rising Stars

**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 individuals whose work has outstanding merit, who show a marked capacity for self-direction, and who demonstrate the promise for continued and enhanced contributions to the field of cancer research (“Rising Stars”). 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. Having already demonstrated extraordinary accomplishments during their initial years of independent research, Rising Stars represent a unique blend of scholastic aptitude, scientific rigor, and commitment to exploring transformational research through the development of creative ideas with high potential.

Candidates who have not historically worked in cancer research but are proposing creative hypotheses and research plans for this field are encouraged to apply. Similarly, candidates pursuing original and potentially high-impact basic science programs that have the potential to be translated toward clinical investigations or provide “proof of principle” are also encouraged to apply. It is expected that the candidate will contribute significantly to and have a major impact on the institution’s overall cancer research initiative. 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 are expected to be approximately at the career level of a late assistant/early associate professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience 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 a Rising Star 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 funds of up to \$4,000,000 (total costs) over a 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. Annual allocations of this award are at the discretion of the awardee, as long as the total award does not exceed \$4,000,000. 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 assistant or associate professor tenure track or tenured (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 Rising Stars award mechanism. Any nomination for the Recruitment of Rising Stars 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 (2,000 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 Rising Star 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 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 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.

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.

9.1.1. 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 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 demonstrated extraordinary accomplishments during his or her initial years of independent research? Does the candidate show promise of making important contributions with significant impact to basic, translational, clinical, or population-based cancer research in the future? Has the candidate demonstrated strong self-direction, motivation, and commitment for transformative cancer research?

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 it expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques?

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? 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? Will the candidate be provided with adequate professional development opportunities to grow as a leader?

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 Recruitment Review Panel 18.10

Observation Report

Report No. 2018-05-17 ACR_REC_18.10
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.10 (REC_18.10)

Panel Date: May 17, 2018
Report Date: June 5, 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-18.10 (REC_18.10) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on May 17, 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
- Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Academic Research – Recruitment Review Panel-18.10 (REC_18.10) meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Ten (10) applications were discussed; one (1) was not discussed;
- Participants: One (1) panel chair and six (6) review panelists;
- Three (3) CSRA employees participated in the meeting;
- CSRA staff did not participate in the discussions around the merits of the applications;
- Two (2) CPRIT staff members participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- Panelists' discussions were limited to the evaluation criteria.

No COIs were identified prior to or during the meeting.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research Recruitment 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.

Best regards,

A handwritten signature in blue ink, appearing to read 'I. Mara Ash', with a long horizontal flourish extending to the right.

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

Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research Peer Review Observation Report

Report No. 2018-06-21_REC_18.11
Program Name: Academic Research
Panel Name: Recruitment Review Panel - 18.11 (REC_18.11)

Panel Date: June 21, 2018
Report Date: June 21, 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 - 18.11 (REC_18.11). The meeting was chaired by Richard Kolodner and conducted via teleconference on June 21, 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

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

The independent observer noted the following during the Recruitment meeting:

- Five (5) applications were discussed; three (3) were recommended for funding, two (2) were not recommended for funding;
- Participants: One (1) Panel Chair and five (5) review panelists;
- Three (3) 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 were no (0) COIs identified prior to or during the meeting. 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



Cancer Prevention and Research Institute of Texas (CPRIT)

Academic Research FY 18.12 Recruitment Review Panel-

18.12 (REC 18.12) Observation Report

Report No. **2018-07-12_REC_18.12**

Program Name: Academic Research

Panel Name: FY 18.12 Recruitment Review Panel-18.12 (REC_18.12)

Panel Date: 7/12/2018

Report Date: 7/17/2018

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 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 the third-party observer in December 2016.

Introduction

The subject of this report is the FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review. The meeting was chaired by Richard Kolodner and conducted by teleconference on July 12, 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;

July 12, 2018

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review panel meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Five (5) applications were discussed and considered in the panel review FY 18.12 Recruitment Review Panel-18.12 (REC_18.12).
- Panelists: One (1) panel chair, five (5) expert reviewers and no (0) advocate reviewers;
- Two (2) CPRIT staff members and two (2) CSRA staff employees were on the phone and participated in the meeting; there were no other CSRA staff employees who assisted with the meeting.
- CPRIT staff participation was limited to reviewing and clarifying policies and answering procedural questions;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- Panelists' discussions were limited to the evaluation criteria.

There were no COIs identified prior to and/or during the meeting.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

Conclusion

In conclusion; we observed that the activities of the FY 18.12 Recruitment Review Panel-18.12 (REC_18.12) review meeting were limited to the identified objectives noted earlier in this report.

July 12, 2018

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,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
July 17, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment Cycle 18.10-18.12 Applications
(Academic Research Recruitment Cycle 18.10-18.12 Awards Announced at August 24, 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 18.10-18.12 include *Recruitment of Rising Stars*; *Recruitment of Established Investigators*; 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			
RR180042	Dean Appling	The University of Texas at Austin	Angelos Angelou
Applications not considered by the PIC or Oversight Committee			
No conflicts reported.			

De-Identified Overall Evaluation Scores

Recruitment of Rising Stars

Academic Research Recruitment Cycles 18.10 through 18.12

Application ID	Final Overall Evaluation Score
RR180061*	1.0
RR180057*	2.7
dda	4.0

RR180057 was withdrawn by the applicant after the Scientific Review Council meeting.

* 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

July 19, 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 May 17, 2018 (REC Cycles 18.10), June 21, 2018 (REC Cycle 18.11) and July 12, 2018 (REC Cycle 18.12) 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.

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 \$32,000,000

At the time of review, the SRC also voted to recommend the following applications: RR180059, RR180058 and RR180057. However, these three applications were withdrawn by the applicants after the SRC recommendation, but prior to the date of this letter.

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	RR180061	Chao Cheng, Ph.D.	RRS	Baylor College of Medicine	\$4,000,000	1.0
2	RR180066	Xuebing Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.2
3	RR180060	Yejing Ge, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.2
4	RR180072	Tao Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.4
5	RR180032	Peng (George) Wang, Ph.D.	REI	Baylor College of Medicine	\$6,000,000	1.5
6	RR180051	Glen P. Liszczak, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
7	RR180050	Peter Ly, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
8	RR180056	Anke Henning, Ph.D.	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.0
9	RR180067	Fuguo Jiang, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	2.0
10	RR180042	Can Cenik, Ph.D.	RFTFM	The University of Texas at Austin	\$2,000,000	2.0
11	RR180071	Sung-Man (Kenneth) Chen, M.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.4

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180670
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Cancer Biology panel 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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).

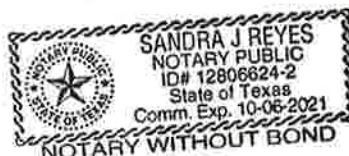
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180670		
APPLICATION TITLE	Small Animal Imaging Core Facility for Cancer Research at UT Dallas		
APPLICANT NAME:	Hoyt, Kenneth		
ORGANIZATION:	The University of Texas at Dallas		
PANEL NAME:	Cancer Biology		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	28 Feb 2018	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	13 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	09 Feb 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	23 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	13 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	09 Feb 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	18 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	17 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	16 May 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	15 May 2018	01 Jul 2018
	COI indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	25 May 2018	23 Jun 2018
	Post review statements signed	10 Jun 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180672
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Cancer Biology panel 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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."



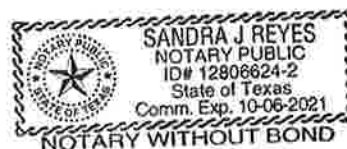
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180672		
APPLICATION TITLE	Advanced Multiparameter Cytometry and Cell Sorting Core		
APPLICANT NAME:	Beeton, Christine		
ORGANIZATION:	Baylor College of Medicine		
PANEL NAME:	Cancer Biology		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	30 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	13 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	16 Mar 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	20 Mar 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
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	Primary Reviewer 1 COI signed	13 Feb 2018	01 Jul 2018
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	Primary Reviewer 3 COI signed	20 Mar 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	18 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	17 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	22 May 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	09 Apr 2018	01 Jul 2018
	COI indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	25 May 2018	23 Jun 2018
	Post review statements signed	10 Jun 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180674
Multi-Investigator Research Awards

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 *Multi-Investigator Research Awards* Request for Applications (RFA). CPRIT received 23 applications in response to this RFA. This application was assigned to the Clinical and Translational Cancer Research panel 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."



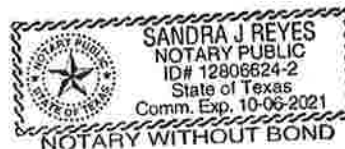
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180684
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Basic Cancer Research-2 panel 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.

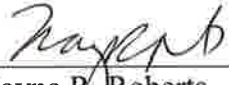
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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."



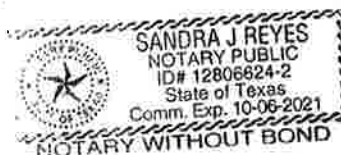
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180684		
APPLICATION TITLE	Integrated Single Cell Genomics Core Facility		
APPLICANT NAME:	Navin, Nicholas E		
ORGANIZATION:	The University of Texas M. D. Anderson Cancer Center		
PANEL NAME:	Basic Cancer Research - 2		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	26 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	09 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	01 Mar 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	22 Mar 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	19 Mar 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI Indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	09 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	01 Mar 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	22 Mar 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	19 Mar 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	27 Apr 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	18 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	16 May 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	14 May 2018	01 Jul 2018
	COI indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	23 May 2018	23 Jun 2018
	Post review statements signed	31 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180690
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Cancer Biology panel 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

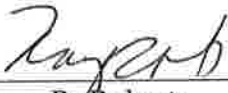
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



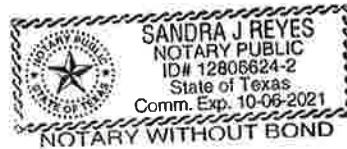
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180690		
APPLICATION TITLE	Engineering cancer immunotherapeutics for enhanced activity in the low pH tumor microenvironment		
APPLICANT NAME:	Maynard, Jennifer A		
ORGANIZATION:	The University of Texas at Austin		
PANEL NAME:	Cancer Biology		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	30 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	16 Mar 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	09 Feb 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI Indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	23 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	16 Mar 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	09 Feb 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	17 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	17 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	30 Apr 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	15 May 2018	01 Jul 2018
	COI Indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	25 May 2018	23 Jun 2018
	Post review statements signed	10 Jun 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and QC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180694
High-Impact/High-Risk Research Awards

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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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:

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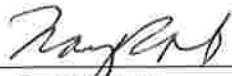
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The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



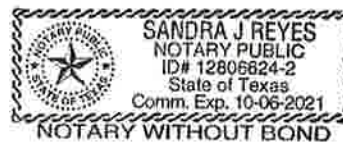
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CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018			
CYCLE:	2			
PROGRAM:	Research			
MECHANISM:	High-Impact/High-Risk Research Awards			
APPLICATION ID:	RP180694			
APPLICATION TITLE	TREX2 Inhibitors to Treat BCR-ABL-Cancers			
APPLICANT NAME:	Hasty, E. Paul			
ORGANIZATION:	The University of Texas Health Science Center at San Antonio			
PANEL NAME:	Basic Cancer Research - 2			
Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018	
	RFA published In Texas.gov eGrants	25 Aug 2017	16 Jul 2018	
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018	
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	CPRIT Application Receipt System (CARS) closed			
	Date application submitted	26 Jan 2018	01 Jul 2018	
	Method of submission	CARS	01 Jul 2018	
	Within receipt period	YES	01 Jul 2018	
	Request for extension to submit application after CARS closed	NA	01 Jul 2018	
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	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018	
	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018	
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	Applicant notified of review panel assignment			
	Primary Reviewer 1 COI signed	10 Mar 2018	01 Jul 2018	
	Primary Reviewer 2 COI signed	06 Feb 2018	01 Jul 2018	
	Primary Reviewer 3 COI signed	12 Feb 2018	01 Jul 2018	
	Primary (Advocate) Reviewer 4 COI signed	08 Feb 2018	01 Jul 2018	
	Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
Primary Reviewer 2 critique submitted		NA	01 Jul 2018	
Primary Reviewer 3 critique submitted		NA	01 Jul 2018	
Primary (Advocate) Reviewer 4 critique submitted		NA	01 Jul 2018	
COI Indicated by non-primary reviewer		NA	17 Jul 2018	
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	Primary (Advocate) Reviewer 4 COI signed	08 Feb 2018	01 Jul 2018	
	Primary Reviewer 1 critique submitted	15 May 2018	01 Jul 2018	
	Primary Reviewer 2 critique submitted	15 May 2018	01 Jul 2018	
	Primary Reviewer 3 critique submitted	18 May 2018	01 Jul 2018	
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Third Party Observer Report		17 Jul 2018	25 Jul 2018	
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	PIC Review Meeting	31 Jul 2018	31 Jul 2018	
	Recommended for grant award	YES	31 Jul 2018	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
		NA		
	COI Indicated by Oversight Committee member			
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		
Comments:		Created Date	Created By	
Comment				
No Comment				

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180700
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel 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

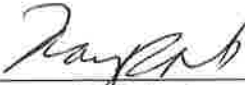
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



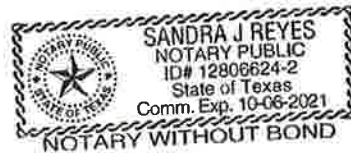
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018			
CYCLE:	2			
PROGRAM:	Research			
MECHANISM:	High-Impact/High-Risk Research Awards			
APPLICATION ID:	RP180700			
APPLICATION TITLE	Mechanisms of drug resistance in lung cancer			
APPLICANT NAME:	Alto, Neal			
ORGANIZATION:	The University of Texas Southwestern Medical Center			
PANEL NAME:	Basic Cancer Research - 2			
Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018	
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018	
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018	
		31 Jan 2018	23 Feb 2018	
	CPRIT Application Receipt System (CARS) closed			
	Date application submitted	29 Jan 2018	01 Jul 2018	
	Method of submission	CARS	01 Jul 2018	
	Within receipt period	YES	01 Jul 2018	
	Request for extension to submit application after CARS closed	NA	01 Jul 2018	
	Request for extension for late application submission accepted	NA	01 Jul 2018	
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018	
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018	
	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018	
		02 Mar 2018	23 Jun 2018	
	Applicant notified of review panel assignment			
	Primary Reviewer 1 COI signed	22 Mar 2018	01 Jul 2018	
	Primary Reviewer 2 COI signed	01 Mar 2018	01 Jul 2018	
	Primary Reviewer 3 COI signed	09 Feb 2018	01 Jul 2018	
	Primary (Advocate) Reviewer 4 COI signed	08 Feb 2018	01 Jul 2018	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018	
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018	
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018	
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018	
	COI indicated by non-primary reviewer	NA	17 Jul 2018	
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018	
	Recommended for full review	NA	01 Jul 2018	
	Applicant notified of outcome	NA	01 Jul 2018	
	Peer Review Meeting	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018
		Primary Reviewer 1 COI signed	22 Mar 2018	01 Jul 2018
Primary Reviewer 2 COI signed		01 Mar 2018	01 Jul 2018	
Primary Reviewer 3 COI signed		09 Feb 2018	01 Jul 2018	
Primary (Advocate) Reviewer 4 COI signed		08 Feb 2018	01 Jul 2018	
Primary Reviewer 1 critique submitted		16 May 2018	01 Jul 2018	
Primary Reviewer 2 critique submitted		16 May 2018	01 Jul 2018	
Primary Reviewer 3 critique submitted		01 May 2018	01 Jul 2018	
Primary (Advocate) Reviewer 4 critique submitted		17 May 2018	01 Jul 2018	
COI indicated by non-primary reviewer		NONE	01 Jul 2018	
COI recused from participation		NA	01 Jul 2018	
Discussed at Peer Review Meeting		YES	01 Jul 2018	
Peer Review Meeting		23 May 2018	23 Jun 2018	
Post review statements signed		31 May 2018	23 Jun 2018	
Third Party Observer Report		05 Jun 2018	26 Jun 2018	
Score report delivered to CSO		11 Jun 2018	23 Jun 2018	
Recommended for SRC review		YES	01 Jul 2018	
Final SRC Recommendation		COI indicated by SRC member	NONE	17 Jul 2018
		COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018	
	Third Party Observer Report	17 Jul 2018	25 Jul 2018	
	Recommended for grant award	YES	17 Jul 2018	
	SRC Chair Notification to PIC and DC	24 Jul 2018	25 Jul 2018	
	PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
COI recused from participation		NA	31 Jul 2018	
PIC Review Meeting		31 Jul 2018	31 Jul 2018	
Recommended for grant award		YES	31 Jul 2018	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
		NA		
	COI indicated by Oversight Committee member			
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		
Comments:		Created Date	Created By	
Comment				
No Comment				



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180712
Multi-Investigator Research Awards

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 *Multi-Investigator Research Awards* Request for Applications (RFA). CPRIT received 23 applications in response to this RFA. This application was assigned to the Clinical and Translational Cancer Research panel 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).

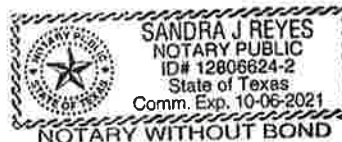
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180716
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



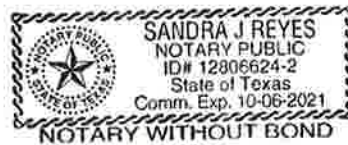
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180716		
APPLICATION TITLE:	Non-Invasive Diagnostic Imaging of Brain Cancer Using Hyperpolarized 13C-labeled L-Tryptophan and L-Methionine		
APPLICANT NAME:	Lumata, Lloyd		
ORGANIZATION:	The University of Texas at Dallas		
PANEL NAME:	Imaging Technology and Informatics		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	23 Jun 2018
	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	22 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	06 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	17 Mar 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	18 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	23 Jun 2018
Peer Review Meeting	Assigned to primary reviewers	26 Mar 2018	02 Jul 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	22 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	06 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	17 Mar 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	09 May 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	18 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	13 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	16 May 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	24 May 2018	23 Jun 2018
	Post review statements signed	24 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	02 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	18 Jul 2018
	COI recused from participation	NA	18 Jul 2018
	SRC Meeting	12 Jul 2018	25 Jul 2018
	Third Party Observer Report	17 Jul 2018	18 Jul 2018
	Recommended for grant award	YES	25 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	31 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180725
Multi-Investigator Research Awards

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 *Multi-Investigator Research Awards* Request for Applications (RFA). CPRIT received 23 applications in response to this RFA. This application was assigned to the Clinical and Translational Cancer Research panel 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).

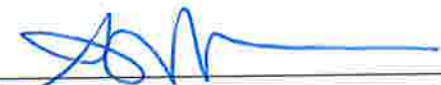
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



PI:	2018		
CELL:	2		
PROGRAM:	Research		
MECHANISM:	Multi-Investigator Research Award (Version 2)		
APPLICATION ID:	RP180725		
APPLICATION TITLE:	Targeting tumor stromal niches: CCR4 acting to bridge niche and adaptive immunity		
APPLICANT NAME:	Dr. Bing Zhu		
ORGANIZATION:	The University of Texas Southwestern Medical Center		
PANEL NAME:	Subcut and Translational Cancer Research		
Category:	Compliance Requirement	Information	Assignment Date
Pre Receipt	NA Approved by ESO	23 Aug 2017	16 Jul 2018
	NA Published in Transgenic Advertis	15 Aug 2017	16 Jul 2018
	CPRT Application Receipt System (CARS) update	18 Oct 2017	23 Jun 2018
	CPRT Application Receipt System (CARS) closed	31 Jan 2018	23 Jun 2018
	Date application submitted	11 Jan 2018	03 Jul 2018
	Method of submission	CARS	03 Jul 2018
	Within receipt period	YES	03 Jul 2018
	Request for extension to submit application after CARS closed	NA	03 Jul 2018
	Request for extension for late application submission accepted	NA	03 Jul 2018
Receipt, Referral, and Assignment	Administrative Review notification	NA	03 Jul 2018
	Notification made to CPRT / Foundation	NO	03 Jul 2018
	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
	02 Mar 2018		
	Applicant notified of review panel assignment	02 Mar 2018	03 Jul 2018
	Primary Reviewer 1 COI signed	02 Mar 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	NA	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	03 Jul 2018
	Project 1 Primary Reviewer 1 COI signed	02 Mar 2018	03 Jul 2018
	Project 1 Primary Reviewer 2 COI signed	06 Feb 2018	03 Jul 2018
	Project 1 Primary Reviewer 3 COI signed	07 Feb 2018	03 Jul 2018
	Project 1 Primary (Advocate) Reviewer 4 COI	NA	03 Jul 2018
	Project 2 Primary Reviewer 1 COI signed	12 Mar 2018	03 Jul 2018
	Project 2 Primary Reviewer 2 COI signed	07 Feb 2018	03 Jul 2018
	Project 2 Primary Reviewer 3 COI signed	09 Feb 2018	03 Jul 2018
	Project 2 Primary (Advocate) Reviewer 4 COI	NA	03 Jul 2018
	Project 3 Primary Reviewer 1 COI signed	09 Feb 2018	03 Jul 2018
	Project 3 Primary Reviewer 2 COI signed	12 Mar 2018	03 Jul 2018
	Project 3 Primary Reviewer 3 COI signed	17 Mar 2018	03 Jul 2018
	Project 3 Primary (Advocate) Reviewer 4 COI	NA	03 Jul 2018
	Admin Core Primary Reviewer 1 COI signed	12 Mar 2018	03 Jul 2018
	Admin Core Primary Reviewer 2 COI signed	06 Feb 2018	03 Jul 2018
	Admin Core Primary Reviewer 3 COI signed	NA	03 Jul 2018
	Admin Core Primary (Advocate) Reviewer 4 COI	NA	03 Jul 2018
	Core 1 Primary Reviewer 1 COI signed	17 Mar 2018	03 Jul 2018
	Core 1 Primary Reviewer 2 COI signed	08 Feb 2018	03 Jul 2018
	Core 1 Primary Reviewer 3 COI signed	NA	03 Jul 2018
	Core 1 Primary (Advocate) Reviewer 4 COI	NA	03 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	03 Jul 2018
	Primary Reviewer 2 critique submitted	NA	03 Jul 2018
	Primary Reviewer 3 critique submitted	NA	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	03 Jul 2018
	COI indicated by non-primary reviewers	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	03 Jul 2018
	Recommended for full review	NA	03 Jul 2018
	Applicant notified of outcome	NA	16 Jul 2018
Peer Review Meeting	Project 1 Reviewer 1 critique submitted	13 May 2018	03 Jul 2018
	Project 1 Reviewer 2 critique submitted	10 May 2018	03 Jul 2018
	Project 1 Reviewer 3 critique submitted	NA	03 Jul 2018
	Project 1 (Advocate) Reviewer 4 critique submitted	16 Apr 2018	03 Jul 2018
	Project 1 Primary Reviewer 1 critique submitted	13 May 2018	03 Jul 2018
	Project 1 Primary Reviewer 2 critique submitted	09 May 2018	03 Jul 2018
	Project 1 Primary Reviewer 3 critique submitted	12 May 2018	03 Jul 2018
	Project 1 Primary (Advocate) Reviewer 4 critique	NA	03 Jul 2018
	Project 2 Primary Reviewer 1 critique submitted	13 May 2018	03 Jul 2018
	Project 2 Primary Reviewer 2 critique submitted	12 May 2018	03 Jul 2018
	Project 2 Primary Reviewer 3 critique submitted	16 Apr 2018	03 Jul 2018
	Project 2 Primary (Advocate) Reviewer 4 critique	NA	03 Jul 2018
	Project 3 Primary Reviewer 1 critique submitted	16 Apr 2018	03 Jul 2018
	Project 3 Primary Reviewer 2 critique submitted	13 May 2018	03 Jul 2018
	Project 3 Primary Reviewer 3 critique submitted	07 May 2018	03 Jul 2018
	Project 3 Primary (Advocate) Reviewer 4 critique	NA	03 Jul 2018
	Admin Core Primary Reviewer 1 critique submitted	13 May 2018	03 Jul 2018
	Admin Core Primary Reviewer 2 critique submitted	10 May 2018	03 Jul 2018
	Admin Core Primary Reviewer 3 critique submitted	NA	03 Jul 2018
	Admin Core Primary (Advocate) Reviewer 4 critique	NA	03 Jul 2018
	Core 1 Primary Reviewer 1 critique submitted	15 May 2018	03 Jul 2018
	Core 1 Primary Reviewer 2 critique submitted	09 May 2018	03 Jul 2018
	Core 1 Primary Reviewer 3 critique submitted	NA	03 Jul 2018
	Core 1 Primary (Advocate) Reviewer 4 critique	NA	03 Jul 2018
	COI indicated by non-primary reviewers	Victor Engelhardt	03 Jul 2018
	COI received from participation	NA	03 Jul 2018
	Discussed at Peer Review Meeting	YES	03 Jul 2018
	Peer Review Meeting	23 May 2018	23 Jun 2018
	Peer review statements aligned	24 May 2018	23 Jun 2018
	Third Party Observer Dispute	05 Jun 2018	23 Jun 2018
	Score report delivered to CCR	13 Jun 2018	23 Jun 2018
	Recommendation for SAC review	YES	03 Jul 2018
Final SAC Recommendation	COI indicated by SAC members	NO/NA	17 Jul 2018
	COI received from participation	NA	17 Jul 2018
	SAC Meeting	27 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	17 Jul 2018
	Recommendation for grant award	YES	17 Jul 2018
	SAC Chair Recommendation to PR and OR	24 Jul 2018	17 Jul 2018
PRC Review	COI indicated by PRC members	NO/NA	21 Jul 2018
	COI received from participation	NA	21 Jul 2018
	PRC Review Meeting	21 Jul 2018	21 Jul 2018
	Recommendation for grant award	YES	21 Jul 2018
Overnight Committee Approval	COI Notification to Oversight Committee	NA	
	COI indicated by Oversight Committee members	NA	
	COI received from participation	NA	
	Notification made to CPRT / Foundation	NA	
	Presented to CPRT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comments			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180734
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Basic Cancer Research-1 panel 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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."



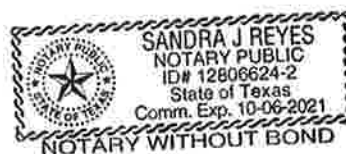
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180734		
APPLICATION TITLE	UTHealth Cancer Genomics Core (UTHealth CGC)		
APPLICANT NAME:	Zhao, Zhongming		
ORGANIZATION:	The University of Texas Health Science Center at Houston		
PANEL NAME:	Basic Cancer Research - 1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
		02 Mar 2018	02 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	12 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	05 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	08 Mar 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI Indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
	Primary Reviewer 1 COI signed	12 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	02 Jul 2018
Peer Review Meeting	Primary Reviewer 3 COI signed	05 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	08 Mar 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	13 May 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	11 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	10 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	27 Apr 2018	02 Jul 2018
	COI Indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	21 May 2018	02 Jul 2018
Final SRC Recommendation	Post review statements signed	30 May 2018	02 Jul 2018
	Third Party Observer Report	05 Jun 2018	02 Jul 2018
	Score report delivered to CSO	11 Jun 2018	02 Jul 2018
	Recommended for SRC review	YES	02 Jul 2018
	COI Indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180736
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



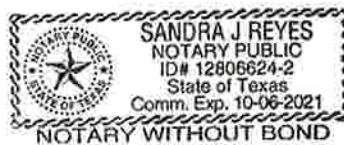
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180736		
APPLICATION TITLE	Nanoparticle-Mediated Hyperthermia to Improve Chemotherapeutic Efficacy in HIPEC		
APPLICANT NAME:	Holder, Ashley M		
ORGANIZATION:	The Methodist Hospital Research Institute		
PANEL NAME:	Imaging Technology and Informatics		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	29 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	08 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	21 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	06 Feb 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI Indicated by non-primary reviewer	NA	18 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	08 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	21 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	03 May 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	14 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	17 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	05 Apr 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	24 May 2018	23 Jun 2018
	Post review statements signed	24 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	02 Jul 2018
Final SRC Recommendation	COI Indicated by SRC member	NONE	18 Jul 2018
	COI recused from participation	NA	18 Jul 2018
	SRC Meeting	12 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	18 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI Indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180748
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Clinical and Translational Cancer Research panel 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.

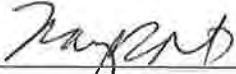
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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).

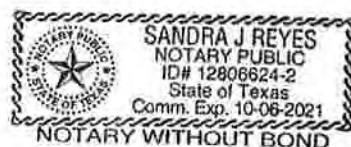
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180748		
APPLICATION TITLE	GCC Center for Comprehensive PK/PD & Formulation		
APPLICANT NAME:	Liang, Dong		
ORGANIZATION:	Texas Southern University		
PANEL NAME:	Clinical and Translational Cancer Research		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	03 Jul 2018
	Method of submission	CARS	03 Jul 2018
	Within receipt period	YES	03 Jul 2018
	Request for extension to submit application after CARS closed	NA	03 Jul 2018
	Request for extension for late application submission accepted	NA	03 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	03 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	03 Jul 2018
	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	19 Mar 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	10 Mar 2018	03 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	03 Jul 2018
	Primary Reviewer 2 critique submitted	NA	03 Jul 2018
	Primary Reviewer 3 critique submitted	NA	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	03 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	03 Jul 2018
	Recommended for full review	NA	03 Jul 2018
	Applicant notified of outcome	NA	03 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	19 Mar 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	10 Mar 2018	03 Jul 2018
	Primary Reviewer 1 critique submitted	10 May 2018	03 Jul 2018
	Primary Reviewer 2 critique submitted	15 May 2018	03 Jul 2018
	Primary Reviewer 3 critique submitted	14 May 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	27 Apr 2018	03 Jul 2018
	COI indicated by non-primary reviewer	NONE	03 Jul 2018
	COI recused from participation	NA	03 Jul 2018
	Discussed at Peer Review Meeting	YES	03 Jul 2018
	Peer Review Meeting	22 May 2018	23 Jun 2018
	Post review statements signed	31 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	19 Jul 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	03 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180751
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



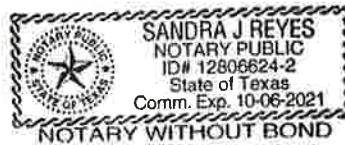
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes

Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180751		
APPLICATION TITLE:	Methods for assessment and quantification of imperfect dsDNA break repair		
APPLICANT NAME:	Otlowski, Zbyszek		
ORGANIZATION:	The University of Texas Southwestern Medical Center		
PANEL NAME:	Basic Cancer Research - 2		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	09 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	09 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	19 Mar 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	09 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	09 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	19 Mar 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	15 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	01 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	19 May 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	07 May 2018	01 Jul 2018
	COI indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	23 May 2018	23 Jun 2018
	Post review statements signed	31 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and CIC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180755
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Cancer Prevention Research panel 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

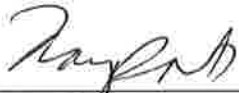
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



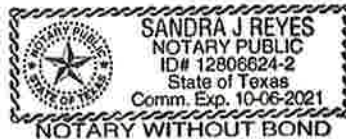
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 13:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180755		
APPLICATION TITLE:	The Early-Life Exposome and Risk of Pediatric Acute Lymphoblastic Leukemia		
APPLICANT NAME:	Lupo, Philip J		
ORGANIZATION:	Baylor College of Medicine		
PANEL NAME:	Cancer Prevention Research		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	12 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	07 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	14 Feb 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	12 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	07 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	14 Feb 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	06 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	06 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	07 May 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	06 May 2018	01 Jul 2018
	COI indicated by non-primary reviewer	Electra Paskett	01 Jul 2018
	COI recused from participation	YES	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	18 May 2018	23 Jun 2018
	Post review statements signed	30 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	01 Jul 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date:	Created By:
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180769
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel 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:

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- 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

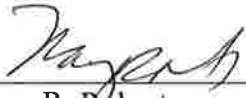
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



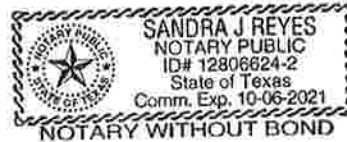
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:24 PM

APPLICATION REVIEW			
FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180769		
APPLICATION TITLE	A novel anti-BCR-ABL approach for leukemia therapy.		
APPLICANT NAME:	Rao, Hai		
ORGANIZATION:	The University of Texas Health Science Center at San Antonio		
PANEL NAME:	Basic Cancer Research - 2		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	25 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	15 Mar 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	19 Mar 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	08 Feb 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
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	Primary Reviewer 2 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	19 Mar 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	08 Feb 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	15 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	16 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	16 May 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	17 May 2018	01 Jul 2018
	COI indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	23 May 2018	23 Jun 2018
	Post review statements signed	31 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180770
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Imaging Technology and Informatics panel 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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).

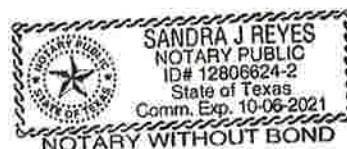
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180770		
APPLICATION TITLE	Pre-clinical Radiation Core Facility (PCRCF)		
APPLICANT NAME:	Story, Michael D		
ORGANIZATION:	The University of Texas Southwestern Medical Center		
PANEL NAME:	Imaging Technology and Informatics		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	07 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	06 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	06 Feb 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	18 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	07 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	06 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	11 May 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	15 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	13 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	09 Apr 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	24 May 2018	23 Jun 2018
	Post review statements signed	24 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	02 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	18 Jul 2018
	COI recused from participation	NA	18 Jul 2018
	SRC Meeting	12 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	18 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180771
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel 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

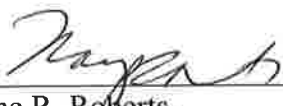
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



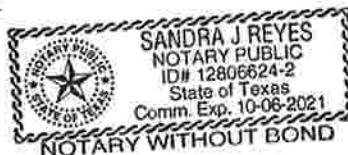
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180771		
APPLICATION TITLE:	Small molecule for selective targeting of epithelial-mesenchymal transition-induced cancer stem cells		
APPLICANT NAME:	Taube, Joe		
ORGANIZATION:	Baylor University		
PANEL NAME:	Clinical and Translational Cancer Research		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	30 Jan 2018	03 Jul 2018
	Method of submission	CARS	03 Jul 2018
	Within receipt period	YES	03 Jul 2018
	Request for extension to submit application after CARS closed	NA	03 Jul 2018
	Request for extension for late application submission accepted	NA	03 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	28 Feb 2018	03 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	03 Jul 2018
	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	12 Mar 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	09 Mar 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	16 Mar 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	10 Mar 2018	03 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	03 Jul 2018
	Primary Reviewer 2 critique submitted	NA	03 Jul 2018
	Primary Reviewer 3 critique submitted	NA	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	03 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	03 Jul 2018
	Recommended for full review	NA	03 Jul 2018
	Applicant notified of outcome	NA	03 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	12 Mar 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	09 Mar 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	16 Mar 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	10 Mar 2018	03 Jul 2018
	Primary Reviewer 1 critique submitted	11 May 2018	03 Jul 2018
	Primary Reviewer 2 critique submitted	11 Apr 2018	03 Jul 2018
	Primary Reviewer 3 critique submitted	13 May 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	27 Apr 2018	03 Jul 2018
	COI indicated by non-primary reviewer	NONE	03 Jul 2018
	COI recused from participation	NA	03 Jul 2018
	Discussed at Peer Review Meeting	YES	03 Jul 2018
	Peer Review Meeting	22 May 2018	23 Jun 2018
	Post review statements signed	31 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	19 Jul 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	03 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180778
Multi-Investigator Research Awards

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 *Multi-Investigator Research Awards Request for Applications (RFA)*. CPRIT received 23 applications in response to this RFA. This application was assigned to the Cancer Biology panel 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).

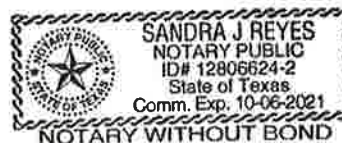
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



APP: 2018		
TYPE: J		
PROGRAM: Research		
MECHANISM: Multi-Institution Research Awards (Version 2)		
APPLICATION ID: 1816078		
APPLICATION TITLE: Mechanisms studies of melanoma progression		
APPLICANT NAME: Morrison, Sean S		
ORGANIZATION: The University of Texas Southwestern Medical Center		
PANEL NAME: Cancer Biology		
Category: Compliance Requirements	Not indicated	Not indicated
First Review: N/A Approved by COS	21 Aug 2017	16 Jul 2018
	N/A published on Texas.gov eGrants	25 Aug 2017
	CPRT Application Receipt System (CARS) opened	18 Oct 2017
		23 Jun 2018
	CPRT Application Receipt System (CARS) closed	31 Jan 2018
	CPRT Application submitted	30 Jan 2018
	Method of submission: CARS	01 Jul 2018
	Within receipt period: YES	01 Jul 2018
	Request for extension to submit application after CARS closed: NA	01 Jul 2018
	Request for extension for late application submission accepted: NA	01 Jul 2018
Receipt, Referral, and Assignment: Administrative review notification: NA		02 Jul 2018
	Notification made to CPRT / Foundation: NA	02 Jul 2018
	Assigned to primary reviewers: 23 May 2018	23 Jun 2018
	Applicant notified of review panel assignment: 02 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed: 13 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed: 12 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed: NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed: 07 Feb 2018	01 Jul 2018
	Project 1 Primary Reviewer 1 COI signed: 13 Feb 2018	01 Jul 2018
	Project 1 Primary Reviewer 2 COI signed: 06 Feb 2018	01 Jul 2018
	Project 1 Primary Reviewer 3 COI signed: 06 Feb 2018	01 Jul 2018
	Project 1 Primary (Advocate) Reviewer 4 COI signed: NA	01 Jul 2018
	Project 2 Primary Reviewer 1 COI signed: 12 Feb 2018	01 Jul 2018
	Project 2 Primary Reviewer 2 COI signed: 06 Feb 2018	01 Jul 2018
	Project 2 Primary Reviewer 3 COI signed: 06 Feb 2018	01 Jul 2018
	Project 2 Primary (Advocate) Reviewer 4 COI signed: NA	01 Jul 2018
	Project 3 Primary Reviewer 1 COI signed: 26 Feb 2018	01 Jul 2018
	Project 3 Primary Reviewer 2 COI signed: 08 Mar 2018	01 Jul 2018
	Project 3 Primary Reviewer 3 COI signed: 12 Feb 2018	01 Jul 2018
	Project 3 Primary (Advocate) Reviewer 4 COI signed: NA	01 Jul 2018
	Admin Core Primary Reviewer 1 COI signed: 17 Feb 2018	01 Jul 2018
	Admin Core Primary Reviewer 2 COI signed: 11 Feb 2018	01 Jul 2018
	Admin Core Primary Reviewer 3 COI signed: NA	01 Jul 2018
	Admin Core Primary (Advocate) Reviewer 4 COI signed: NA	01 Jul 2018
	Core 1 Primary Reviewer 1 COI signed: 11 Feb 2018	01 Jul 2018
	Core 1 Primary Reviewer 2 COI signed: 12 Feb 2018	01 Jul 2018
	Core 1 Primary Reviewer 3 COI signed: NA	01 Jul 2018
	Core 1 Primary (Advocate) Reviewer 4 COI signed: NA	01 Jul 2018
Preliminary Evaluation: Primary Reviewer 1 critique submitted: NA		01 Jul 2018
	Primary Reviewer 2 critique submitted: NA	01 Jul 2018
	Primary Reviewer 3 critique submitted: NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted: NA	01 Jul 2018
	COI indicated by non-primary reviewer: NA	17 Jul 2018
	Preliminary Evaluation score summary sent to chair: NA	01 Jul 2018
	Recommendation for full review: NA	01 Jul 2018
Peer Review Meeting: Applicant notified of outcome: NA		01 Jul 2018
	Primary Reviewer 1 critique submitted: 18 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted: 17 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted: NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted: 07 Apr 2018	01 Jul 2018
	Project 1 Primary Reviewer 1 critique submitted: 17 May 2018	01 Jul 2018
	Project 1 Primary Reviewer 2 critique submitted: 14 May 2018	01 Jul 2018
	Project 1 Primary Reviewer 3 critique submitted: 17 May 2018	01 Jul 2018
	Project 1 Primary (Advocate) Reviewer 4 critique submitted: NA	01 Jul 2018
	Project 2 Primary Reviewer 1 critique submitted: 17 May 2018	01 Jul 2018
	Project 2 Primary Reviewer 2 critique submitted: 14 May 2018	01 Jul 2018
	Project 2 Primary Reviewer 3 critique submitted: 14 May 2018	01 Jul 2018
	Project 2 Primary (Advocate) Reviewer 4 critique submitted: NA	01 Jul 2018
	Project 3 Primary Reviewer 1 critique submitted: 14 May 2018	01 Jul 2018
	Project 3 Primary Reviewer 2 critique submitted: 18 May 2018	01 Jul 2018
	Project 3 Primary Reviewer 3 critique submitted: 17 May 2018	01 Jul 2018
	Project 3 Primary (Advocate) Reviewer 4 critique submitted: NA	01 Jul 2018
	Admin Core Primary Reviewer 1 critique submitted: 17 May 2018	01 Jul 2018
	Admin Core Primary Reviewer 2 critique submitted: 17 May 2018	01 Jul 2018
	Admin Core Primary Reviewer 3 critique submitted: NA	01 Jul 2018
	Admin Core Primary (Advocate) Reviewer 4 critique submitted: NA	01 Jul 2018
	Core 1 Primary Reviewer 1 critique submitted: 17 May 2018	01 Jul 2018
	Core 1 Primary Reviewer 2 critique submitted: 17 May 2018	01 Jul 2018
	Core 1 Primary Reviewer 3 critique submitted: NA	01 Jul 2018
	Core 1 Primary (Advocate) Reviewer 4 critique submitted: NA	01 Jul 2018
	COI indicated by non-primary reviewer: NONE	01 Jul 2018
	COI received from participation: NA	01 Jul 2018
	Discussed at Peer Review Meeting: YES	01 Jul 2018
	Peer Review Meeting: 25 May 2018	23 Jun 2018
	First review statements signed: 18 Jun 2018	23 Jun 2018
	Third Party Observer Report: 25 Jun 2018	23 Jun 2018
	Score report delivered to CRO: 11 Jun 2018	23 Jun 2018
	Recommendation for full review: YES	01 Jul 2018
	COI indicated by CRO member: NONE	17 Jul 2018
	COI received from participation: NA	17 Jul 2018
	CRC Meeting: 13 Jul 2018	17 Jul 2018
	Third Party Observer Report: 17 Jul 2018	23 Jun 2018
	Recommendation for grant award: YES	23 Jun 2018
	ARC Chair Notification to PIR and SC: 24 Jul 2018	23 Jun 2018
ARC Review: COI indicated by ARC member: NONE		23 Jun 2018
	COI received from participation: NA	23 Jun 2018
	ARC Review Meeting: 31 Jul 2018	23 Jun 2018
	Recommendation for grant award: YES	23 Jun 2018
Overnight Committee Approval: CRO Notification to Overnight Committee: NA		
	COI indicated by Overnight Committee member: NA	
	COI received from participation: NA	
	Notification made to CPRT / Foundation: NA	
	Presented to CPRT Oversight Committee: NA	
	Award approved by Oversight Committee: NA	
	Advances to Advance Team member: NA	
	Advance authority approved by Oversight Committee: NA	
Comments:	Created By:	Created By:
Comments:		
No Comments:		

CPRT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180785
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Clinical and Translational Cancer Research panel 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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).

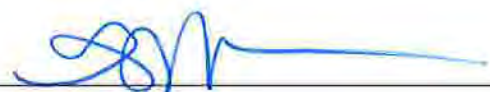
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



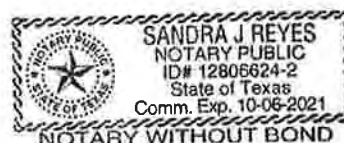
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180785		
APPLICATION TITLE:	CARMIT (Children's Access to Regenerative Medicine in Texas)		
APPLICANT NAME:	Gee, Adrian P		
ORGANIZATION:	Baylor College of Medicine		
PANEL NAME:	Clinical and Translational Cancer Research		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	30 Jan 2018	03 Jul 2018
	Method of submission	CARS	03 Jul 2018
	Within receipt period	YES	03 Jul 2018
	Request for extension to submit application after CARS closed	NA	03 Jul 2018
	Request for extension for late application submission accepted	NA	03 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	03 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	03 Jul 2018
	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	12 Feb 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	12 Feb 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	10 Mar 2018	03 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	03 Jul 2018
	Primary Reviewer 2 critique submitted	NA	03 Jul 2018
	Primary Reviewer 3 critique submitted	NA	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	03 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	03 Jul 2018
	Recommended for full review	NA	03 Jul 2018
	Applicant notified of outcome	NA	03 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	12 Feb 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	12 Feb 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	10 Mar 2018	03 Jul 2018
	Primary Reviewer 1 critique submitted	19 May 2018	03 Jul 2018
	Primary Reviewer 2 critique submitted	13 May 2018	03 Jul 2018
	Primary Reviewer 3 critique submitted	21 May 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	29 Apr 2018	03 Jul 2018
Final SRC Recommendation	COI indicated by non-primary reviewer	Robertson Parkman	03 Jul 2018
	COI recused from participation	YES	03 Jul 2018
	Discussed at Peer Review Meeting	YES	03 Jul 2018
	Peer Review Meeting	22 May 2018	23 Jun 2018
	Post review statements signed	31 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	19 Jul 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	03 Jul 2018
	COI Indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
PIC Review	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180801
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards Request for Applications (RFA)*. CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Cancer Biology panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



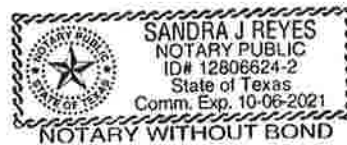
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180801		
APPLICATION TITLE	Targeting the menopause transition to decrease the risk for obesity-associated postmenopausal breast cancer.		
APPLICANT NAME:	Giles, Erin D		
ORGANIZATION:	Texas A&M University		
PANEL NAME:	Cancer Biology		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	07 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	13 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	23 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	07 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	13 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	17 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	17 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	20 May 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	07 Apr 2018	01 Jul 2018
	COI indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	25 May 2018	23 Jun 2018
	Post review statements signed	10 Jun 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180804
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Basic Cancer Research-2 panel 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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).

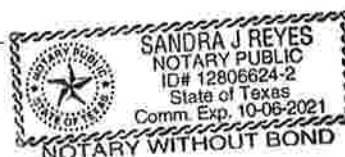
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180804		
APPLICATION TITLE	Protein Array and Analysis Core (PAAC)		
APPLICANT NAME:	Bedford, Mark T		
ORGANIZATION:	The University of Texas M. D. Anderson Cancer Center		
PANEL NAME:	Basic Cancer Research - 2		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	30 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	09 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	13 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	19 Mar 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	03 Apr 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	09 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	13 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	19 Mar 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	16 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	19 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	16 May 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	15 May 2018	01 Jul 2018
	COI indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	23 May 2018	23 Jun 2018
	Post review statements signed	31 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180805
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Imaging Technology and Informatics panel 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
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- 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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."



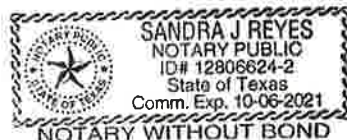
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180805		
APPLICATION TITLE	Pediatric Cancer Data Core		
APPLICANT NAME:	Xie, Yang		
ORGANIZATION:	The University of Texas Southwestern Medical Center		
PANEL NAME:	Imaging Technology and Informatics		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	08 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	17 Mar 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	18 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	08 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	17 Mar 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	11 May 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	08 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	16 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	17 May 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	24 May 2018	23 Jun 2018
	Post review statements signed	24 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	02 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	DONE	18 Jul 2018
	COI recused from participation	NA	18 Jul 2018
	SRC Meeting	12 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	18 Jul 2018
	SRC Chair Notification to PIC and QC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180810
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards Request for Applications* (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



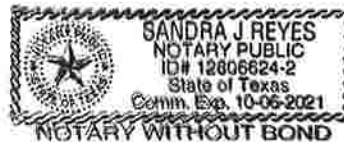
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180810		
APPLICATION TITLE	Controlling the Activity of Anti-Cancer T Cells by Inducing Replicative Senescence		
APPLICANT NAME:	Mamenkin, Maksim		
ORGANIZATION:	Baylor College of Medicine		
PANEL NAME:	Clinical and Translational Cancer Research		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	03 Jul 2018
	Method of submission	CARS	03 Jul 2018
	Within receipt period	YES	03 Jul 2018
	Request for extension to submit application after CARS closed	NA	03 Jul 2018
	Request for extension for late application submission accepted	NA	03 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	03 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	03 Jul 2018
	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	12 Feb 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	13 Feb 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	03 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	03 Jul 2018
	Primary Reviewer 2 critique submitted	NA	03 Jul 2018
	Primary Reviewer 3 critique submitted	NA	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	03 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	03 Jul 2018
	Recommended for full review	NA	03 Jul 2018
	Applicant notified of outcome	NA	03 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	12 Feb 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	13 Feb 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	03 Jul 2018
	Primary Reviewer 1 critique submitted	21 May 2018	03 Jul 2018
	Primary Reviewer 2 critique submitted	02 May 2018	03 Jul 2018
	Primary Reviewer 3 critique submitted	13 May 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	18 Apr 2018	03 Jul 2018
	COI indicated by non-primary reviewer	NONE	03 Jul 2018
	COI recused from participation	NA	03 Jul 2018
	Discussed at Peer Review Meeting	YES	03 Jul 2018
	Peer Review Meeting	22 May 2018	23 Jun 2018
	Post review statements signed	31 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	19 Jul 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	03 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180812
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



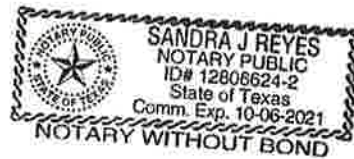
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180812		
APPLICATION TITLE:	Fluorescently labeled somatostatin analogs for image-guided surgery in neuroendocrine tumors		
APPLICANT NAME:	Azhdarinia, Ali		
ORGANIZATION:	The University of Texas Health Science Center at Houston		
PANEL NAME:	Imaging Technology and Informatics		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	07 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	12 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	17 Mar 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	18 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	07 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	12 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	17 Mar 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	07 May 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	16 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	16 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	16 May 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	24 May 2018	23 Jun 2018
	Post review statements signed	24 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	02 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	18 Jul 2018
	COI recused from participation	NA	18 Jul 2018
	SRC Meeting	12 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	18 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180813
Multi-Investigator Research Awards

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 *Multi-Investigator Research Awards* Request for Applications (RFA). CPRIT received 23 applications in response to this RFA. This application was assigned to the Basic Cancer Research-2 panel 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.

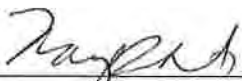
CPRIT staff and CPRIT's third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT's grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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.

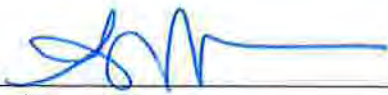
This statement is true."



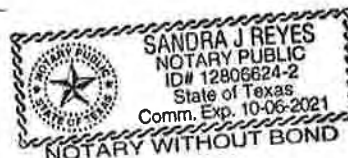
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180819
Core Facility Support Awards

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 *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 27 applications in response to this RFA. This application was assigned to the Basic Cancer Research-1 panel 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

The PIC reviewed this application on July 31, 2018, and recommended it to the Oversight Committee. At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 8%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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."



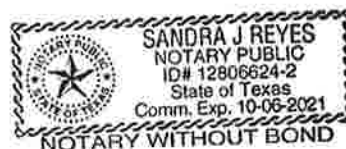
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:24 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	Core Facilities Support Awards		
APPLICATION ID:	RP180819		
APPLICATION TITLE	Pediatric Solid Tumors Comprehensive Data Resource Core		
APPLICANT NAME:	Gorlick, Richard		
ORGANIZATION:	The University of Texas M. D. Anderson Cancer Center		
PANEL NAME:	Basic Cancer Research - 1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	29 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
		02 Mar 2018	02 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	12 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	20 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	13 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	08 Mar 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
	Primary Reviewer 1 COI signed	12 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	20 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	13 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	08 Mar 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	13 May 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	15 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	15 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	30 Apr 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	21 May 2018	02 Jul 2018
	Post review statements signed	30 May 2018	02 Jul 2018
	Third Party Observer Report	05 Jun 2018	02 Jul 2018
	Score report delivered to CSO	11 Jun 2018	02 Jul 2018
	Recommended for SRC review	YES	02 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180826
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel 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

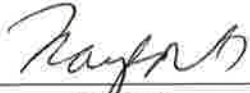
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



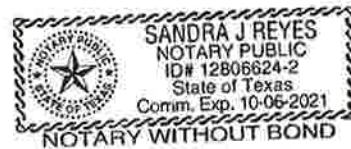
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:25 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180826		
APPLICATION TITLE	Integrative Analysis of Structural Variants in Cancer Genomes		
APPLICANT NAME:	Xu, Jian		
ORGANIZATION:	The University of Texas Southwestern Medical Center		
PANEL NAME:	Basic Cancer Research - 1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	30 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
		02 Mar 2018	02 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	12 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	20 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	05 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
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	Primary Reviewer 2 COI signed	20 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	05 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	13 May 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	13 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	17 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	16 Apr 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	21 May 2018	02 Jul 2018
	Post review statements signed	30 May 2018	02 Jul 2018
	Third Party Observer Report	05 Jun 2018	02 Jul 2018
	Score report delivered to CSO	11 Jun 2018	02 Jul 2018
	Recommended for SRC review	YES	02 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180827
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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:

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- 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



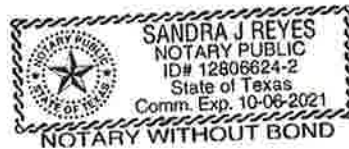
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

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the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:25 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180827		
APPLICATION TITLE:	Polymer Nanodiscs: Novel Lipoprotein-Mimicking Nanocarriers with High Stability and Long Circulation Time for Enhanced Anticancer Drug Deliv		
APPLICANT NAME:	Liang, Hongjun		
ORGANIZATION:	Texas Tech University Health Sciences Center		
PANEL NAME:	Imaging Technology and Informatics		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed	31 Jan 2018	23 Feb 2018
	Date application submitted	31 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment	02 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	09 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	12 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	06 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	06 Feb 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	18 Jul 2018
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	Primary Reviewer 3 COI signed	06 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 1 critique submitted	17 May 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	16 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	19 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	23 Apr 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	24 May 2018	23 Jun 2018
	Post review statements signed	24 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
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	Recommended for SRC review	YES	02 Jul 2018
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	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
	COI indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180835
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Cancer Biology panel 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:

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- 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



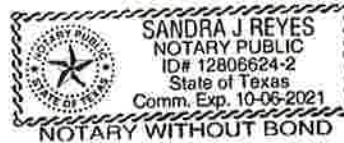
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:25 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180835		
APPLICATION TITLE	Targeted Proteolysis of Glucocorticoid Receptor as a Therapeutic Strategy in Anti- Androgen Treatment Resistant Prostate Cancer		
APPLICANT NAME:	Lissanu Deribe, Yonathan		
ORGANIZATION:	The University of Texas M. D. Anderson Cancer Center		
PANEL NAME:	Cancer Biology		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	26 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	12 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	09 Feb 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	23 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	06 Feb 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	12 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	09 Feb 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	13 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	30 Apr 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	15 May 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	15 May 2018	01 Jul 2018
	COI indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	25 May 2018	23 Jun 2018
	Post review statements signed	10 Jun 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180844
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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).

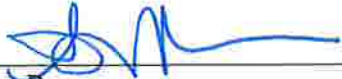
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



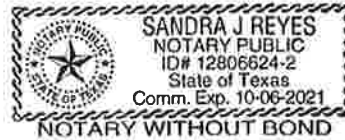
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:25 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180844		
APPLICATION TITLE:	Regulating androgen receptor as a co-repressor by neurofibromin (NF1)		
APPLICANT NAME:	Chang, Eric C		
ORGANIZATION:	Baylor College of Medicine		
PANEL NAME:	Basic Cancer Research - 1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	30 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
		02 Mar 2018	02 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	10 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	20 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
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	Primary Reviewer 3 COI signed	20 Mar 2018	02 Jul 2018
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	Primary Reviewer 1 critique submitted	24 Apr 2018	02 Jul 2018
	Primary Reviewer 2 critique submitted	14 Apr 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	15 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	16 Apr 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	21 May 2018	02 Jul 2018
	Post review statements signed	30 May 2018	02 Jul 2018
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	Score report delivered to CSO	11 Jun 2018	02 Jul 2018
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Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OG	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180846
High-Impact/High-Risk Research Awards

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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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:

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I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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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).

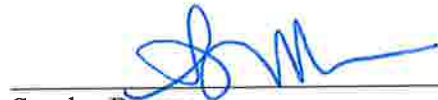
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



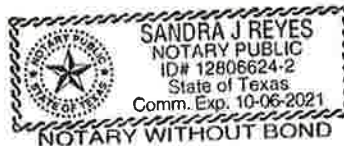
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:25 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180846		
APPLICATION TITLE:	Molecular Opening of the Blood-Brain Barrier by Molecular Hyperthermia		
APPLICANT NAME:	Qin, Zhenpeng		
ORGANIZATION:	The University of Texas at Dallas		
PANEL NAME:	Basic Cancer Research - 1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
		02 Mar 2018	02 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	20 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
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	Primary Reviewer 3 critique submitted	13 May 2018	02 Jul 2018
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	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	21 May 2018	02 Jul 2018
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	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
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	COI indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180848
High-Impact/High-Risk Research Awards

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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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:

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An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:25 PM

FY:	2018			
CYCLE:	2			
PROGRAM:	Research			
MECHANISM:	High-Impact/High-Risk Research Awards			
APPLICATION ID:	RP180848			
APPLICATION TITLE	Autoimmune-prone mouse models for studying immune-related adverse events associated with cancer immunotherapy			
APPLICANT NAME:	Yan, Nan			
ORGANIZATION:	The University of Texas Southwestern Medical Center			
PANEL NAME:	Clinical and Translational Cancer Research			
Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018	
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018	
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018	
		31 Jan 2018	23 Feb 2018	
	CPRIT Application Receipt System (CARS) closed			
	Date application submitted	30 Jan 2018	03 Jul 2018	
	Method of submission	CARS	03 Jul 2018	
	Within receipt period	YES	03 Jul 2018	
	Request for extension to submit application after CARS closed	NA	03 Jul 2018	
	Request for extension for late application submission accepted	NA	03 Jul 2018	
Receipt, Referral, and Assignment	Administrative review notification	NA	03 Jul 2018	
	Donation(s) made to CPRIT / foundation	NO	03 Jul 2018	
	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018	
		02 Mar 2018	23 Jun 2018	
	Applicant notified of review panel assignment			
	Primary Reviewer 1 COI signed	06 Feb 2018	03 Jul 2018	
	Primary Reviewer 2 COI signed	12 Feb 2018	03 Jul 2018	
	Primary Reviewer 3 COI signed	12 Feb 2018	03 Jul 2018	
	Primary (Advocate) Reviewer 4 COI signed	10 Mar 2018	03 Jul 2018	
	Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	03 Jul 2018
Primary Reviewer 2 critique submitted		NA	03 Jul 2018	
Primary Reviewer 3 critique submitted		NA	03 Jul 2018	
Primary (Advocate) Reviewer 4 critique submitted		NA	03 Jul 2018	
COI Indicated by non-primary reviewer		NA	17 Jul 2018	
Preliminary Evaluation score summary sent to Chair		NA	03 Jul 2018	
Recommended for full review		NA	03 Jul 2018	
Applicant notified of outcome		NA	03 Jul 2018	
Peer Review Meeting		Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
		Primary Reviewer 1 COI signed	06 Feb 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	12 Feb 2018	03 Jul 2018	
	Primary Reviewer 3 COI signed	12 Feb 2018	03 Jul 2018	
	Primary (Advocate) Reviewer 4 COI signed	10 Mar 2018	03 Jul 2018	
	Primary Reviewer 1 critique submitted	02 May 2018	03 Jul 2018	
	Primary Reviewer 2 critique submitted	14 May 2018	03 Jul 2018	
	Primary Reviewer 3 critique submitted	07 May 2018	03 Jul 2018	
	Primary (Advocate) Reviewer 4 critique submitted	29 Apr 2018	03 Jul 2018	
	COI indicated by non-primary reviewer	NONE	03 Jul 2018	
	COI recused from participation	NA	03 Jul 2018	
	Discussed at Peer Review Meeting	YES	03 Jul 2018	
	Peer Review Meeting	22 May 2018	23 Jun 2018	
	Post review statements signed	31 May 2018	23 Jun 2018	
	Third Party Observer Report	05 Jun 2018	19 Jul 2018	
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018	
	Recommended for SRC review	YES	03 Jul 2018	
	Final SRC Recommendation	COI Indicated by SRC member	NONE	17 Jul 2018
		COI recused from participation	NA	17 Jul 2018
SRC Meeting		12 Jul 2018	17 Jul 2018	
Third Party Observer Report		17 Jul 2018	25 Jul 2018	
Recommended for grant award		YES	17 Jul 2018	
SRC Chair Notification to PIC and OC		24 Jul 2018	25 Jul 2018	
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018	
	COI recused from participation	NA	31 Jul 2018	
	PIC Review Meeting	31 Jul 2018	31 Jul 2018	
	Recommended for grant award	YES	31 Jul 2018	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
		NA		
	COI Indicated by Oversight Committee member			
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		
Comments:				
Comment		Created Date	Created By	
No Comment				

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180851
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards Request for Applications* (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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).

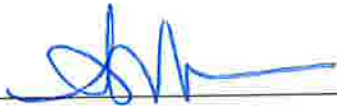
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



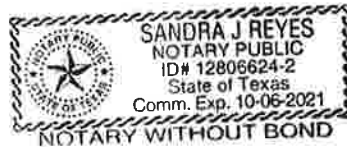
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:25 PM

FY:	2018			
CYCLE:	2			
PROGRAM:	Research			
MECHANISM:	High-Impact/High-Risk Research Awards			
APPLICATION ID:	RP180851			
APPLICATION TITLE:	Targeting MYCN-driven metabolism in neuroblastoma.			
APPLICANT NAME:	Barbieri, Eveline			
ORGANIZATION:	Baylor College of Medicine			
PANEL NAME:	Basic Cancer Research - 1			
Category	Compliance Requirement	Information	Attestation Date	A
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018	C
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018	C
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018	L
		31 Jan 2018	23 Feb 2018	L
	CPRIT Application Receipt System (CARS) closed			
	Date application submitted	31 Jan 2018	02 Jul 2018	F
	Method of submission	CARS	02 Jul 2018	F
	Within receipt period	YES	02 Jul 2018	F
	Request for extension to submit application after CARS closed	NA	02 Jul 2018	F
	Request for extension for late application submission accepted	NA	02 Jul 2018	F
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018	F
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018	F
	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018	F
		02 Mar 2018	02 Jul 2018	F
	Applicant notified of review panel assignment			
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018	F
	Primary Reviewer 2 COI signed	12 Feb 2018	02 Jul 2018	F
	Primary Reviewer 3 COI signed	20 Mar 2018	02 Jul 2018	F
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	02 Jul 2018	F
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018	F
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018	F
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018	F
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018	F
	COI indicated by non-primary reviewer	NA	17 Jul 2018	F
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018	F
	Recommended for full review	NA	02 Jul 2018	F
	Applicant notified of outcome	NA	02 Jul 2018	F
Peer Review Meeting	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018	F
	Primary Reviewer 1 COI signed	06 Feb 2018	02 Jul 2018	F
	Primary Reviewer 2 COI signed	12 Feb 2018	02 Jul 2018	F
	Primary Reviewer 3 COI signed	20 Mar 2018	02 Jul 2018	F
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	02 Jul 2018	F
	Primary Reviewer 1 critique submitted	11 May 2018	02 Jul 2018	F
	Primary Reviewer 2 critique submitted	13 May 2018	02 Jul 2018	F
	Primary Reviewer 3 critique submitted	14 May 2018	02 Jul 2018	F
	Primary (Advocate) Reviewer 4 critique submitted	16 Apr 2018	02 Jul 2018	F
	COI indicated by non-primary reviewer	NONE	02 Jul 2018	F
	COI recused from participation	NA	02 Jul 2018	F
	Discussed at Peer Review Meeting	YES	02 Jul 2018	F
	Peer Review Meeting	21 May 2018	02 Jul 2018	F
	Post review statements signed	30 May 2018	02 Jul 2018	F
	Third Party Observer Report	05 Jun 2018	02 Jul 2018	F
	Score report delivered to CSO	11 Jun 2018	02 Jul 2018	F
	Recommended for SRC review	YES	02 Jul 2018	F
Final SRC Recommendation	COI indicated by SRC member	NA	17 Jul 2018	F
	COI recused from participation	NA	17 Jul 2018	F
	SRC Meeting	12 Jul 2018	17 Jul 2018	F
	Third Party Observer Report	17 Jul 2018	25 Jul 2018	F
	Recommended for grant award	YES	17 Jul 2018	F
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018	F
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018	F
	COI recused from participation	NA	31 Jul 2018	F
	PIC Review Meeting	31 Jul 2018	31 Jul 2018	F
	Recommended for grant award	YES	31 Jul 2018	F
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
		NA		
	COI indicated by Oversight Committee member			
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		
Comments:		Created Date	Created By	
Comment				
No Comment				

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180862
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel 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

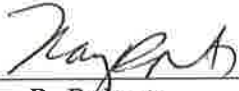
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



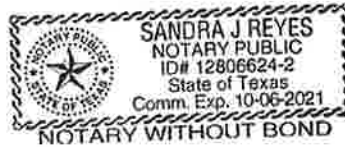
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:25 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180862		
APPLICATION TITLE	Microfluidic Cancer Assay For Liquid Biopsies and Early Detection		
APPLICANT NAME:	Pappas, Dimitri		
ORGANIZATION:	Texas Tech University		
PANEL NAME:	Basic Cancer Research - 1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	30 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
		02 Mar 2018	02 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	12 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	09 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	11 Mar 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	07 Feb 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
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	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
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	Primary Reviewer 2 critique submitted	14 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	13 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	01 May 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	21 May 2018	02 Jul 2018
	Post review statements signed	30 May 2018	02 Jul 2018
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	COI recused from participation	NA	17 Jul 2018
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	Third Party Observer Report	17 Jul 2018	25 Jul 2018
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PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
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	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180863
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards Request for Applications* (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Cancer Prevention Research panel 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:

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- 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


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An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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."



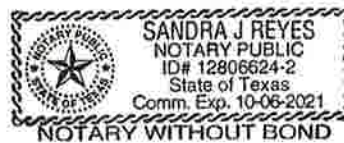
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:25 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180863		
APPLICATION TITLE:	Chemoprevention of Colon Cancer Progression in FAP Children		
APPLICANT NAME:	Hu, Ming		
ORGANIZATION:	University of Houston		
PANEL NAME:	Cancer Prevention Research		
Category:	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	01 Jul 2018
	Method of submission	CARS	01 Jul 2018
	Within receipt period	YES	01 Jul 2018
	Request for extension to submit application after CARS closed	NA	01 Jul 2018
	Request for extension for late application submission accepted	NA	01 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	01 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	01 Jul 2018
	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	08 Mar 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	12 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	06 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	14 Feb 2018	01 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	01 Jul 2018
	Primary Reviewer 2 critique submitted	NA	01 Jul 2018
	Primary Reviewer 3 critique submitted	NA	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	01 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	01 Jul 2018
	Recommended for full review	NA	01 Jul 2018
	Applicant notified of outcome	NA	01 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	08 Mar 2018	01 Jul 2018
	Primary Reviewer 2 COI signed	12 Feb 2018	01 Jul 2018
	Primary Reviewer 3 COI signed	06 Feb 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	14 Feb 2018	01 Jul 2018
	Primary Reviewer 1 critique submitted	02 May 2018	01 Jul 2018
	Primary Reviewer 2 critique submitted	18 May 2018	01 Jul 2018
	Primary Reviewer 3 critique submitted	20 Apr 2018	01 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	06 May 2018	01 Jul 2018
	COI indicated by non-primary reviewer	NONE	01 Jul 2018
	COI recused from participation	NA	01 Jul 2018
	Discussed at Peer Review Meeting	YES	01 Jul 2018
	Peer Review Meeting	18 May 2018	23 Jun 2018
	Post review statements signed	30 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	01 Jul 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	01 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180873
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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).

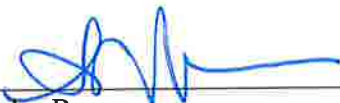
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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

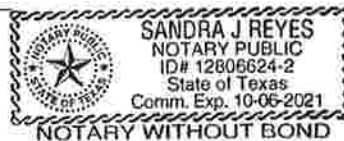


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:26 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180873		
APPLICATION TITLE:	Molecular Targeted Magnetic Resonance Reporter for Cancer Detection		
APPLICANT NAME:	Carson, Daniel D		
ORGANIZATION:	Rice University		
PANEL NAME:	Imaging Technology and Informatics		
Category:	Compliance Requirement	Information	Attestation Date
Pre-Receipt:	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	26 Mar 2018	23 Jun 2018
		02 Mar 2018	23 Jun 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	08 Feb 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	12 Mar 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	08 Feb 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	06 Feb 2018	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	18 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	02 Jul 2018
	Recommended for full review	NA	02 Jul 2018
	Applicant notified of outcome	NA	02 Jul 2018
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	Primary Reviewer 2 critique submitted	16 May 2018	02 Jul 2018
	Primary Reviewer 3 critique submitted	01 May 2018	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	30 Apr 2018	02 Jul 2018
	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	24 May 2018	23 Jun 2018
	Post review statements signed	24 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	02 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	18 Jul 2018
	COI recused from participation	NA	18 Jul 2018
	SRC Meeting	12 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	18 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180875
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel 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

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:26 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180875		
APPLICATION TITLE	Cyanine-conjugated Kinase Inhibitors (Cy-Kis) as Potential Glioblastoma Theranostics		
APPLICANT NAME:	Sitcheran, Raquel		
ORGANIZATION:	Texas A&M University System Health Science Center		
PANEL NAME:	Basic Cancer Research - 1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
		31 Jan 2018	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	31 Jan 2018	02 Jul 2018
	Method of submission	CARS	02 Jul 2018
	Within receipt period	YES	02 Jul 2018
	Request for extension to submit application after CARS closed	NA	02 Jul 2018
	Request for extension for late application submission accepted	NA	02 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	02 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	02 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	02 Jul 2018
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	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	13 Mar 2018	02 Jul 2018
	Primary Reviewer 2 COI signed	06 Feb 2018	02 Jul 2018
	Primary Reviewer 3 COI signed	11 Mar 2018	02 Jul 2018
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	Primary Reviewer 1 critique submitted	NA	02 Jul 2018
Preliminary Evaluation	Primary Reviewer 2 critique submitted	NA	02 Jul 2018
	Primary Reviewer 3 critique submitted	NA	02 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	02 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
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	COI indicated by non-primary reviewer	NONE	02 Jul 2018
	COI recused from participation	NA	02 Jul 2018
	Discussed at Peer Review Meeting	YES	02 Jul 2018
	Peer Review Meeting	21 May 2018	02 Jul 2018
Final SRC Recommendation	Post review statements signed	30 May 2018	02 Jul 2018
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Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
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	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180880
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel 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:

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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

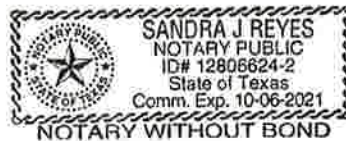
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.

Sandra Reyes

Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:26 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Research		
MECHANISM:	High-Impact/High-Risk Research Awards		
APPLICATION ID:	RP180880		
APPLICATION TITLE:	Targeting BRAF and RAS Mutant Cancers by Small Molecule-Induced Proteolysis of ERK1/2		
APPLICANT NAME:	Dalby, Kevin N		
ORGANIZATION:	The University of Texas at Austin		
PANEL NAME:	Clinical and Translational Cancer Research		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018
	CPRIT Application Receipt System (CARS) closed	31 Jan 2018	23 Feb 2018
	Date application submitted	31 Jan 2018	03 Jul 2018
	Method of submission	CARS	03 Jul 2018
	Within receipt period	YES	03 Jul 2018
	Request for extension to submit application after CARS closed	NA	03 Jul 2018
	Request for extension for late application submission accepted	NA	03 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	03 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	03 Jul 2018
	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
	Applicant notified of review panel assignment	02 Mar 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	07 Feb 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	09 Feb 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	06 Feb 2018	03 Jul 2018
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	03 Jul 2018
	Primary Reviewer 2 critique submitted	NA	03 Jul 2018
	Primary Reviewer 3 critique submitted	NA	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	NA	03 Jul 2018
	COI indicated by non-primary reviewer	NA	17 Jul 2018
	Preliminary Evaluation score summary sent to Chair	NA	03 Jul 2018
	Recommended for full review	NA	03 Jul 2018
	Applicant notified of outcome	NA	03 Jul 2018
Peer Review Meeting	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
	Primary Reviewer 1 COI signed	07 Feb 2018	03 Jul 2018
	Primary Reviewer 2 COI signed	09 Feb 2018	03 Jul 2018
	Primary Reviewer 3 COI signed	12 Feb 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 COI signed	06 Feb 2018	03 Jul 2018
	Primary Reviewer 1 critique submitted	12 May 2018	03 Jul 2018
	Primary Reviewer 2 critique submitted	15 May 2018	03 Jul 2018
	Primary Reviewer 3 critique submitted	12 May 2018	03 Jul 2018
	Primary (Advocate) Reviewer 4 critique submitted	29 Apr 2018	03 Jul 2018
	COI indicated by non-primary reviewer	Garth Powis	03 Jul 2018
	COI recused from participation	YES	03 Jul 2018
	Discussed at Peer Review Meeting	YES	03 Jul 2018
	Peer Review Meeting	22 May 2018	23 Jun 2018
	Post review statements signed	31 May 2018	23 Jun 2018
	Third Party Observer Report	05 Jun 2018	19 Jul 2018
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018
	Recommended for SRC review	YES	03 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	17 Jul 2018
	COI recused from participation	NA	17 Jul 2018
	SRC Meeting	12 Jul 2018	17 Jul 2018
	Third Party Observer Report	17 Jul 2018	25 Jul 2018
	Recommended for grant award	YES	17 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180882
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications in response to this RFA, including four applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel 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


I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.


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).

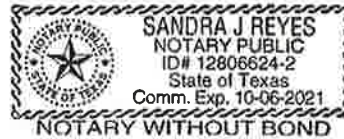
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 31 Jul 2018 14:26 PM

FY:	2018			
CYCLE:	2			
PROGRAM:	Research			
MECHANISM:	High-Impact/High-Risk Research Awards			
APPLICATION ID:	RP180882			
APPLICATION TITLE	Developing a clinically relevant drug testing platform			
APPLICANT NAME:	Yun, Kyuson			
ORGANIZATION:	The Methodist Hospital Research Institute			
PANEL NAME:	Clinical and Translational Cancer Research			
Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	23 Aug 2017	16 Jul 2018	
	RFA published in Texas.gov eGrants	25 Aug 2017	16 Jul 2018	
	CPRIT Application Receipt System (CARS) opened	18 Oct 2017	23 Feb 2018	
		31 Jan 2018	23 Feb 2018	
	CPRIT Application Receipt System (CARS) closed			
	Date application submitted	31 Jan 2018	03 Jul 2018	
	Method of submission	CARS	03 Jul 2018	
	Within receipt period	YES	03 Jul 2018	
	Request for extension to submit application after CARS closed	NA	03 Jul 2018	
	Request for extension for late application submission accepted	NA	03 Jul 2018	
Receipt, Referral, and Assignment	Administrative review notification	NA	03 Jul 2018	
	Donation(s) made to CPRIT / foundation	NO	03 Jul 2018	
	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018	
		02 Mar 2018	23 Jun 2018	
	Applicant notified of review panel assignment			
	Primary Reviewer 1 COI signed	12 Mar 2018	03 Jul 2018	
	Primary Reviewer 2 COI signed	06 Feb 2018	03 Jul 2018	
	Primary Reviewer 3 COI signed	08 Mar 2018	03 Jul 2018	
	Primary (Advocate) Reviewer 4 COI signed	10 Mar 2018	03 Jul 2018	
	Primary Reviewer 1 critique submitted	NA	03 Jul 2018	
Preliminary Evaluation	Primary Reviewer 2 critique submitted	NA	03 Jul 2018	
	Primary Reviewer 3 critique submitted	NA	03 Jul 2018	
	Primary (Advocate) Reviewer 4 critique submitted	NA	03 Jul 2018	
	COI indicated by non-primary reviewer	NA	17 Jul 2018	
	Preliminary Evaluation score summary sent to Chair	NA	03 Jul 2018	
	Recommended for full review	NA	03 Jul 2018	
	Applicant notified of outcome	NA	03 Jul 2018	
	Peer Review Meeting	Assigned to primary reviewers	02 Apr 2018	23 Jun 2018
		Primary Reviewer 1 COI signed	12 Mar 2018	03 Jul 2018
		Primary Reviewer 2 COI signed	06 Feb 2018	03 Jul 2018
Primary Reviewer 3 COI signed		08 Mar 2018	03 Jul 2018	
Primary (Advocate) Reviewer 4 COI signed		10 Mar 2018	03 Jul 2018	
Primary Reviewer 1 critique submitted		12 May 2018	03 Jul 2018	
Primary Reviewer 2 critique submitted		14 May 2018	03 Jul 2018	
Primary Reviewer 3 critique submitted		13 May 2018	03 Jul 2018	
Primary (Advocate) Reviewer 4 critique submitted		29 Apr 2018	03 Jul 2018	
COI indicated by non-primary reviewer		Howard Hochster, Garth Powis	03 Jul 2018	
Final SRC Recommendation	COI recused from participation	YES	03 Jul 2018	
	Discussed at Peer Review Meeting	YES	03 Jul 2018	
	Peer Review Meeting	22 May 2018	23 Jun 2018	
	Post review statements signed	31 May 2018	23 Jun 2018	
	Third Party Observer Report	05 Jun 2018	19 Jul 2018	
	Score report delivered to CSO	11 Jun 2018	23 Jun 2018	
	Recommended for SRC review	YES	03 Jul 2018	
	COI indicated by SRC member	NONE	17 Jul 2018	
	COI recused from participation	NA	17 Jul 2018	
	SRC Meeting	12 Jul 2018	17 Jul 2018	
PIC Review	Third Party Observer Report	17 Jul 2018	25 Jul 2018	
	Recommended for grant award	YES	17 Jul 2018	
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018	
	COI indicated by PIC member	NONE	31 Jul 2018	
Oversight Committee Approval	COI recused from participation	NA	31 Jul 2018	
	PIC Review Meeting	31 Jul 2018	31 Jul 2018	
	Recommended for grant award	YES	31 Jul 2018	
	CEO Notification to Oversight Committee	NA		
Comments:		NA		
	COI Indicated by Oversight Committee member			
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		
Comment		Created Date	Created By	
No Comment				

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180032
Recruitment of Established Investigators
Nomination of Peng (George) Wang, 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 18.10 through 18.12 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

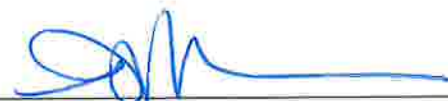
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached 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).

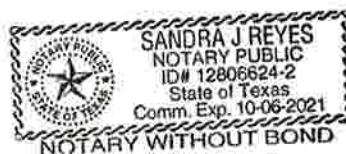
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018		
CYCLE:	1		
PROGRAM:	Recruitment		
MECHANISM:	Recruitment of Established Investigators		
APPLICATION ID:	RR180032		
APPLICATION TITLE	Established Investigator: Peng George Wang, Ph.D.		
APPLICANT NAME:	Kuspa, Adam		
ORGANIZATION:	Baylor College of Medicine		
PANEL NAME:	Recruitment FY18 Cycle 10		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018
	CPRIT Application Receipt Cycle opened	21 Mar 2017	04 Jun 2018
	CPRIT Application Receipt Cycle closed	20 Apr 2018	04 Jun 2018
	Date application submitted	20 Apr 2018	04 Jun 2018
	Method of submission	CARS	04 Jun 2018
	Within receipt period	YES	04 Jun 2018
Receipt, Referral, and Assignment	Administrative review notification	27 Apr 2018	04 Jun 2018
	Donation(s) made to CPRIT / foundation	NO	04 Jun 2018
	Assigned to primary reviewers	04 May 2018	04 Jun 2018
	Applicant notified of review panel assignment	NA	26 Jun 2018
	Primary Reviewer 1 COI signed	26 Apr 2018	04 Jun 2018
	Primary Reviewer 2 COI signed	01 May 2018	04 Jun 2018
	Peer Review Meeting	15 May 2018	04 Jun 2018
Peer Review Meeting	Primary Reviewer 2 critique submitted	15 May 2018	04 Jun 2018
	COI indicated by non-primary reviewer	NONE	04 Jun 2018
	COI recused from participation	NA	04 Jun 2018
	Discussed at Peer Review Meeting	YES	04 Jun 2018
	Peer Review Meeting	17 May 2018	04 Jun 2018
	Post review statements signed	30 May 2018	04 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
Final SRC Recommendation	Score report delivered to CSO	25 May 2018	04 Jun 2018
	Recommended for SRC review	YES	04 Jun 2018
	COI indicated by SRC member	NONE	04 Jun 2018
	COI recused from participation	NA	04 Jun 2018
	SRC Meeting	17 May 2018	04 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Recommended for grant award	YES	04 Jun 2018
PIC Review	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
	Candidate not accepted position prior to SRC date	YES	26 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
		NA	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
Advance authority approved by Oversight Committee		NA	
Comments:			
Comment			Created Date Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180042
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Can Cenik, 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 15 applications for cycles 18.10 through 18.12 in response to this RFA, including four applications that were withdrawn. 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

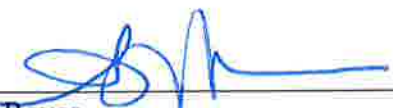
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached 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).

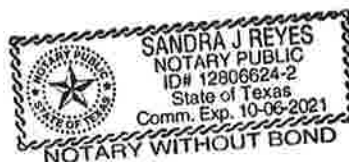
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018		
CYCLE:	1		
PROGRAM:	Recruitment		
MECHANISM:	Recruitment of First-Time, Tenure-Track Faculty Members		
APPLICATION ID:	RR180042		
APPLICATION TITLE	Recruitment of First-Time, Tenure-Track Faculty Member - Dr. Can Cenik		
APPLICANT NAME:	Appling, Dean		
ORGANIZATION:	The University of Texas at Austin		
PANEL NAME:	Recruitment FY18 Cycle 10		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018
	CPRIT Application Receipt Cycle opened	21 Mar 2017	04 Jun 2018
	CPRIT Application Receipt Cycle closed	20 Apr 2018	04 Jun 2018
	Date application submitted	19 Apr 2018	04 Jun 2018
	Method of submission	CARS	04 Jun 2018
	Within receipt period	YES	04 Jun 2018
Receipt, Referral, and Assignment	Administrative review notification	27 Apr 2018	04 Jun 2018
	Donation(s) made to CPRIT / foundation	NO	04 Jun 2018
	Assigned to primary reviewers	04 May 2018	04 Jun 2018
	Applicant notified of review panel assignment	NA	26 Jun 2018
	Primary Reviewer 1 COI signed	26 Apr 2018	04 Jun 2018
	Primary Reviewer 2 COI signed	02 May 2018	04 Jun 2018
Peer Review Meeting	Primary Reviewer 1 critique submitted	14 May 2018	04 Jun 2018
	Primary Reviewer 2 critique submitted	16 May 2018	04 Jun 2018
	COI indicated by non-primary reviewer	NONE	04 Jun 2018
	COI recused from participation	NA	04 Jun 2018
	Discussed at Peer Review Meeting	YES	04 Jun 2018
	Peer Review Meeting	17 May 2018	04 Jun 2018
	Post review statements signed	30 May 2018	04 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	25 May 2018	04 Jun 2018
	Recommended for SRC review	YES	04 Jun 2018
Final SRC Recommendation	COI indicated by SRC member	NONE	04 Jun 2018
	COI recused from participation	NA	04 Jun 2018
	SRC Meeting	17 May 2018	04 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Recommended for grant award	YES	04 Jun 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	26 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
		NA	
Oversight Committee Approval	CEO Notification to Oversight Committee		
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
		NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180050
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Peter Ly, 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 15 applications for cycles 18.10 through 18.12 in response to this RFA, including four applications that were withdrawn. 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."

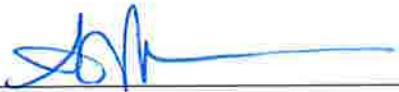


Wayne R. Roberts,

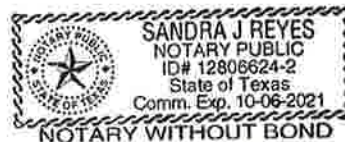
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018		
CYCLE:	1		
PROGRAM:	Recruitment		
MECHANISM:	Recruitment of First-Time, Tenure-Track Faculty Members		
APPLICATION ID:	RR180050		
APPLICATION TITLE	Nomination of Peter Ly, Ph.D. for a CPRIT First-Time, Tenure-Track Faculty Member Award		
APPLICANT NAME:	Thiele, Dwain L		
ORGANIZATION:	The University of Texas Southwestern Medical Center		
PANEL NAME:	Recruitment FY18 Cycle 10		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018
	CPRIT Application Receipt Cycle opened	21 Mar 2017	04 Jun 2018
	CPRIT Application Receipt Cycle closed	20 Apr 2018	04 Jun 2018
	Date application submitted	11 Apr 2018	07 Jun 2018
	Method of submission	CARS	07 Jun 2018
	Within receipt period	YES	07 Jun 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	07 Jun 2018
	Donation(s) made to CPRIT / foundation	NO	07 Jun 2018
	Assigned to primary reviewers	04 May 2018	04 Jun 2018
	Applicant notified of review panel assignment	NA	26 Jun 2018
	Primary Reviewer 1 COI signed	02 May 2018	07 Jun 2018
	Primary Reviewer 2 COI signed	26 Apr 2018	07 Jun 2018
	Primary Reviewer 1 critique submitted	16 May 2018	07 Jun 2018
Peer Review Meeting	Primary Reviewer 2 critique submitted	14 May 2018	07 Jun 2018
	COI indicated by non-primary reviewer	NONE	07 Jun 2018
	COI recused from participation	NA	07 Jun 2018
	Discussed at Peer Review Meeting	YES	07 Jun 2018
	Peer Review Meeting	17 May 2018	04 Jun 2018
	Post review statements signed	30 May 2018	04 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Score report delivered to CSO	25 May 2018	04 Jun 2018
	Recommended for SRC review	YES	07 Jun 2018
	Final SRC Recommendation	COI indicated by SRC member	NONE
COI recused from participation		NA	07 Jun 2018
SRC Meeting		17 May 2018	04 Jun 2018
Third Party Observer Report		05 Jun 2018	26 Jun 2018
Recommended for grant award		YES	07 Jun 2018
SRC Chair Notification to PIC and OC		24 Jul 2018	25 Jul 2018
PIC Review	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	26 Jul 2018
	COI Indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval		NA	
	CEO Notification to Oversight Committee		
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
		NA	
	Presented to CPRIT Oversight Committee		
		NA	
	Award approved by Oversight Committee	NA	
Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA	
Comments:	Created Date		Created By
Comment			
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180051
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Glen P. Liszczak, 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 15 applications for cycles 18.10 through 18.12 in response to this RFA, including four applications that were withdrawn. 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.

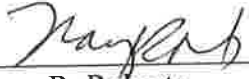
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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).

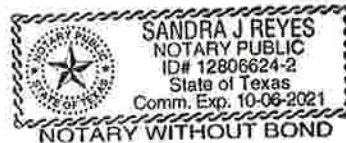
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018		
CYCLE:	1		
PROGRAM:	Recruitment		
MECHANISM:	Recruitment of First-Time, Tenure-Track Faculty Members		
APPLICATION ID:	RR180051		
APPLICATION TITLE	Nomination of Glen P. Liszczak, Ph.D. for a CPRIT Recruitment of First-Time Tenure-Track Faculty Members Award		
APPLICANT NAME:	Thiele, Dwain L		
ORGANIZATION:	The University of Texas Southwestern Medical Center		
PANEL NAME:	Recruitment FY18 Cycle 10		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018
	CPRIT Application Receipt Cycle opened	21 Mar 2017	04 Jun 2018
	CPRIT Application Receipt Cycle closed	20 Apr 2018	04 Jun 2018
	Date application submitted	20 Apr 2018	07 Jun 2018
	Method of submission	CARS	07 Jun 2018
	Within receipt period	YES	07 Jun 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	07 Jun 2018
	Donation(s) made to CPRIT / foundation	NO	07 Jun 2018
	Assigned to primary reviewers	04 May 2018	04 Jun 2018
	Applicant notified of review panel assignment	NA	26 Jun 2018
	Primary Reviewer 1 COI signed	02 May 2018	07 Jun 2018
	Primary Reviewer 2 COI signed	27 Apr 2018	07 Jun 2018
	Primary Reviewer 1 critique submitted	15 May 2018	07 Jun 2018
Peer Review Meeting	Primary Reviewer 2 critique submitted	14 May 2018	07 Jun 2018
	COI indicated by non-primary reviewer	NONE	07 Jun 2018
	COI recused from participation	NA	07 Jun 2018
	Discussed at Peer Review Meeting	YES	07 Jun 2018
	Peer Review Meeting	17 May 2018	04 Jun 2018
	Post review statements signed	30 May 2018	04 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
Final SRC Recommendation	Score report delivered to CSO	25 May 2018	04 Jun 2018
	Recommended for SRC review	YES	07 Jun 2018
	COI indicated by SRC member	NONE	07 Jun 2018
	COI recused from participation	NA	07 Jun 2018
	SRC Meeting	17 May 2018	04 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Recommended for grant award	YES	07 Jun 2018
PIC Review	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	26 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
		NA	
Oversight Committee Approval	CEO Notification to Oversight Committee		
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
		NA	
	Presented to CPRIT Oversight Committee		
		NA	
	Award approved by Oversight Committee		
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180056
Recruitment of Established Investigators
Nomination of Anke Henning, 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 18.10 through 18.12 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

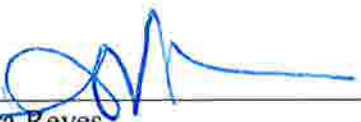
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached 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).

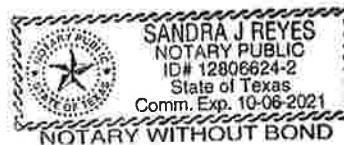
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018		
CYCLE:	1		
PROGRAM:	Recruitment		
MECHANISM:	Recruitment of Established Investigators		
APPLICATION ID:	RR180056		
APPLICATION TITLE	Nomination of Anke Henning, Ph.D. for a CPRIT Recruitment of Established Investigators Award		
APPLICANT NAME:	Thiele, Dwain L		
ORGANIZATION:	The University of Texas Southwestern Medical Center		
PANEL NAME:	Recruitment FY18 Cycle 10		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018
	CPRIT Application Receipt Cycle opened	21 Mar 2017	04 Jun 2018
	CPRIT Application Receipt Cycle closed	20 Apr 2018	04 Jun 2018
	Date application submitted	16 Apr 2018	07 Jun 2018
	Method of submission	CARS	07 Jun 2018
	Within receipt period	YES	07 Jun 2018
Receipt, Referral, and Assignment	Administrative review notification	27 Apr 2018	07 Jun 2018
	Donation(s) made to CPRIT / foundation	NO	07 Jun 2018
	Assigned to primary reviewers	04 May 2018	04 Jun 2018
	Applicant notified of review panel assignment	NA	26 Jun 2018
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	Peer Review Meeting	15 May 2018	07 Jun 2018
Peer Review Meeting	Primary Reviewer 1 critique submitted	15 May 2018	07 Jun 2018
	Primary Reviewer 2 critique submitted	15 May 2018	07 Jun 2018
	COI indicated by non-primary reviewer	NONE	07 Jun 2018
	COI recused from participation	NA	07 Jun 2018
	Discussed at Peer Review Meeting	YES	07 Jun 2018
	Peer Review Meeting	17 May 2018	04 Jun 2018
	Post review statements signed	30 May 2018	04 Jun 2018
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	COI indicated by SRC member	NONE	07 Jun 2018
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PIC Review	Recommended for grant award	YES	07 Jun 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
	Candidate not accepted position prior to SRC date	YES	26 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval		NA	
	CEO Notification to Oversight Committee		
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180060
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Yejing Ge, 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 15 applications for cycles 18.10 through 18.12 in response to this RFA, including four applications that were withdrawn. 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:

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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).

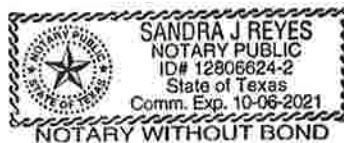
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018		
CYCLE:	1		
PROGRAM:	Recruitment		
MECHANISM:	Recruitment of First-Time, Tenure-Track Faculty Members		
APPLICATION ID:	RR180060		
APPLICATION TITLE	Recruitment of First-Time, Tenure-Track Faculty Members- Yejing Ge		
APPLICANT NAME:	Draetta, Gulio		
ORGANIZATION:	The University of Texas M. D. Anderson Cancer Center		
PANEL NAME:	Recruitment FY18 Cycle 10		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018
	CPRIT Application Receipt Cycle opened	21 Mar 2017	04 Jun 2018
	CPRIT Application Receipt Cycle closed	20 Apr 2018	04 Jun 2018
	Date application submitted	20 Apr 2018	07 Jun 2018
	Method of submission	CARS	07 Jun 2018
	Within receipt period	YES	07 Jun 2018
Receipt, Referral, and Assignment	Administrative review notification	27 Apr 2018	07 Jun 2018
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	Primary Reviewer 2 COI signed	26 Apr 2018	07 Jun 2018
	Primary Reviewer 1 critique submitted	11 May 2018	07 Jun 2018
Peer Review Meeting	Primary Reviewer 2 critique submitted	14 May 2018	07 Jun 2018
	COI indicated by non-primary reviewer	NONE	07 Jun 2018
	COI recused from participation	NA	07 Jun 2018
	Discussed at Peer Review Meeting	YES	07 Jun 2018
	Peer Review Meeting	17 May 2018	04 Jun 2018
	Post review statements signed	30 May 2018	04 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
Final SRC Recommendation	Score report delivered to CSO	25 May 2018	04 Jun 2018
	Recommended for SRC review	YES	07 Jun 2018
	COI indicated by SRC member	NONE	07 Jun 2018
	COI recused from participation	NA	07 Jun 2018
	SRC Meeting	17 May 2018	04 Jun 2018
	Third Party Observer Report	05 Jun 2018	26 Jun 2018
	Recommended for grant award	YES	07 Jun 2018
PIC Review	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	26 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
Oversight Committee Approval	Recommended for grant award	YES	31 Jul 2018
		NA	
	CEO Notification to Oversight Committee		
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
Advance authority approved by Oversight Committee	NA		
Comments:	Created Date		Created By
Comment			
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180061
Recruitment of Rising Stars
Nomination of Chao Cheng, 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 Rising Stars* Request for Applications (RFA). CPRIT received three applications for cycles 18.10 through 18.12 in response to this RFA, including one application that was withdrawn. 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.

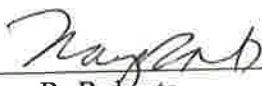
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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

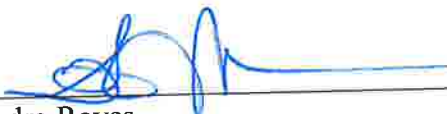
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached 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).

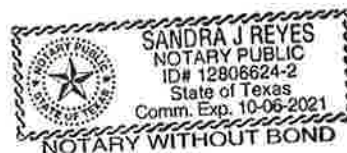
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018		
CYCLE:	1		
PROGRAM:	Recruitment		
MECHANISM:	Recruitment of Rising Stars		
APPLICATION ID:	RR180061		
APPLICATION TITLE	Rising Star Recruit: Chao Cheng		
APPLICANT NAME:	Kuspa, Adam		
ORGANIZATION:	Baylor College of Medicine		
PANEL NAME:	Recruitment FY18 Cycle 11		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018
	CPRIT Application Receipt Cycle opened	23 Apr 2018	26 Jun 2018
	CPRIT Application Receipt Cycle closed	21 May 2018	26 Jun 2018
	Date application submitted	21 May 2018	16 Jul 2018
	Method of submission	CARS	16 Jul 2018
	Within receipt period	YES	16 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	16 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	16 Jul 2018
	Assigned to primary reviewers	04 Jun 2018	26 Jun 2018
	Applicant notified of review panel assignment	NA	26 Jun 2018
	Primary Reviewer 1 COI signed	26 May 2018	16 Jul 2018
	Primary Reviewer 2 COI signed	30 May 2018	16 Jul 2018
Peer Review Meeting	Primary Reviewer 1 critique submitted	09 Jun 2018	16 Jul 2018
	Primary Reviewer 2 critique submitted	19 Jun 2018	16 Jul 2018
	COI indicated by non-primary reviewer	NONE	16 Jul 2018
	COI recused from participation	NA	16 Jul 2018
	Discussed at Peer Review Meeting	YES	16 Jul 2018
	Peer Review Meeting	21 Jun 2018	26 Jun 2018
	Post review statements signed	21 Jun 2018	16 Jul 2018
	Third Party Observer Report	21 Jun 2018	26 Jun 2018
	Score report delivered to CSO	03 Jul 2018	16 Jul 2018
	Recommended for SRC review	YES	16 Jul 2018
Final SRC Recommendation	COI indicated by SRC member	NA	16 Jul 2018
	COI recused from participation	NA	16 Jul 2018
	SRC Meeting	21 Jun 2018	26 Jun 2018
	Third Party Observer Report	21 Jun 2018	26 Jun 2018
	Recommended for grant award	YES	16 Jul 2018
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
PIC Review	Candidate not accepted position prior to SRC date	YES	26 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
		NA	
Oversight Committee Approval	CEO Notification to Oversight Committee		
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
		NA	
	Presented to CPRIT Oversight Committee		
		NA	
	Award approved by Oversight Committee		
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180066
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Xuebing Wu, 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 15 applications for cycles 18.10 through 18.12 in response to this RFA, including four applications that were withdrawn. 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).

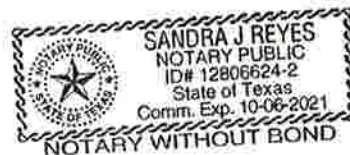
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 18th day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018			
CYCLE:	1			
PROGRAM:	Recruitment			
MECHANISM:	Recruitment of First-Time, Tenure-Track Faculty Members			
APPLICATION ID:	RR180066			
APPLICATION TITLE	First Time, Tenure-Track: Xuebing Wu			
APPLICANT NAME:	Kuspa, Adam			
ORGANIZATION:	Baylor College of Medicine			
PANEL NAME:	Recruitment FY18 Cycle 11			
Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018	
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018	
	CPRIT Application Receipt Cycle opened	23 Apr 2018	26 Jun 2018	
	CPRIT Application Receipt Cycle closed	21 May 2018	26 Jun 2018	
	Date application submitted	21 May 2018	16 Jul 2018	
	Method of submission	CARS	16 Jul 2018	
	Within receipt period	YES	16 Jul 2018	
	Receipt, Referral, and Assignment	Administrative review notification	NA	16 Jul 2018
Donation(s) made to CPRIT / foundation		NO	16 Jul 2018	
Assigned to primary reviewers		04 Jun 2018	26 Jun 2018	
Applicant notified of review panel assignment		NA	26 Jun 2018	
Primary Reviewer 1 COI signed		03 Jun 2018	16 Jul 2018	
Primary Reviewer 2 COI signed		26 May 2018	16 Jul 2018	
Peer Review Meeting		Primary Reviewer 1 critique submitted	17 Jun 2018	16 Jul 2018
		Primary Reviewer 2 critique submitted	09 Jun 2018	16 Jul 2018
	COI indicated by non-primary reviewer	NONE	16 Jul 2018	
	COI recused from participation	NA	16 Jul 2018	
	Discussed at Peer Review Meeting	YES	16 Jul 2018	
	Peer Review Meeting	21 Jun 2018	26 Jun 2018	
	Post review statements signed	21 Jun 2018	16 Jul 2018	
	Third Party Observer Report	21 Jun 2018	26 Jun 2018	
Final SRC Recommendation	Score report delivered to CSO	03 Jul 2018	16 Jul 2018	
	Recommended for SRC review	YES	16 Jul 2018	
	COI indicated by SRC member	NA	16 Jul 2018	
	COI recused from participation	NA	16 Jul 2018	
	SRC Meeting	21 Jun 2018	26 Jun 2018	
	Third Party Observer Report	21 Jun 2018	26 Jun 2018	
	Recommended for grant award	YES	16 Jul 2018	
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018	
PIC Review	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	26 Jul 2018	
	COI indicated by PIC member	NONE	31 Jul 2018	
	COI recused from participation	NA	31 Jul 2018	
	PIC Review Meeting	31 Jul 2018	31 Jul 2018	
	Recommended for grant award	YES	31 Jul 2018	
Oversight Committee Approval		NA		
	CEO Notification to Oversight Committee			
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		
Comments:				
Comment		Created Date	Created By	
No Comment				

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180067
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Fuguo Jiang, 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 15 applications for cycles 18.10 through 18.12 in response to this RFA, including four applications that were withdrawn. 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).

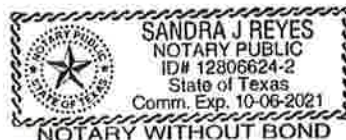
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018		
CYCLE:	1		
PROGRAM:	Recruitment		
MECHANISM:	Recruitment of First-Time, Tenure-Track Faculty Members		
APPLICATION ID:	RR180067		
APPLICATION TITLE	Recruitment of First-Time, Tenure-Track Faculty Members-Fuguo Jiang		
APPLICANT NAME:	Draetta, Gulio		
ORGANIZATION:	The University of Texas M. D. Anderson Cancer Center		
PANEL NAME:	Recruitment FY18 Cycle 11		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018
	CPRIT Application Receipt Cycle opened	23 Apr 2018	26 Jun 2018
	CPRIT Application Receipt Cycle closed	21 May 2018	26 Jun 2018
	Date application submitted	21 May 2018	16 Jul 2018
	Method of submission	CARS	16 Jul 2018
	Within receipt period	YES	16 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	16 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	16 Jul 2018
	Assigned to primary reviewers	04 Jun 2018	26 Jun 2018
	Applicant notified of review panel assignment	NA	26 Jun 2018
	Primary Reviewer 1 COI signed	29 May 2018	16 Jul 2018
	Primary Reviewer 2 COI signed	03 Jun 2018	16 Jul 2018
	Primary Reviewer 1 critique submitted	06 Jun 2018	16 Jul 2018
Peer Review Meeting	Primary Reviewer 2 critique submitted	19 Jun 2018	16 Jul 2018
	COI indicated by non-primary reviewer	NONE	16 Jul 2018
	COI recused from participation	NA	16 Jul 2018
	Discussed at Peer Review Meeting	YES	16 Jul 2018
	Peer Review Meeting	21 Jun 2018	26 Jun 2018
	Post review statements signed	21 Jun 2018	16 Jul 2018
	Third Party Observer Report	21 Jun 2018	26 Jun 2018
Final SRC Recommendation	Score report delivered to CSO	03 Jul 2018	16 Jul 2018
	Recommended for SRC review	YES	16 Jul 2018
	COI indicated by SRC member	NA	16 Jul 2018
	COI recused from participation	NA	16 Jul 2018
	SRC Meeting	21 Jun 2018	26 Jun 2018
	Third Party Observer Report	21 Jun 2018	26 Jun 2018
	Recommended for grant award	YES	16 Jul 2018
PIC Review	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	26 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
		NA	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
Advance authority approved by Oversight Committee	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180071
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Sung-Man (Kenneth) Chen, 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 15 applications for cycles 18.10 through 18.12 in response to this RFA, including four applications that were withdrawn. 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.

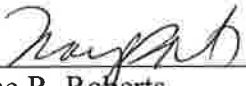
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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

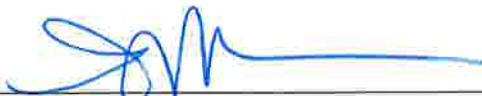
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached 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).

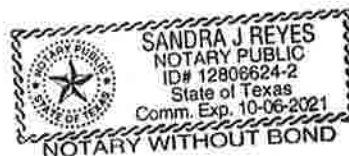
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018			
CYCLE:	1			
PROGRAM:	Recruitment			
MECHANISM:	Recruitment of First-Time, Tenure-Track Faculty Members			
APPLICATION ID:	RR180071			
APPLICATION TITLE	Nomination of Kenneth Sung-Man Chen, M.D. for a CPRIT First-Time Tenure-Track Faculty Member Award			
APPLICANT NAME:	Thiele, Dwain L			
ORGANIZATION:	The University of Texas Southwestern Medical Center			
PANEL NAME:	Recruitment FY18 Cycle 12			
Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018	
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018	
	CPRIT Application Receipt Cycle opened	22 May 2017	18 Jul 2018	
	CPRIT Application Receipt Cycle closed	20 Jun 2018	18 Jul 2018	
	Date application submitted	18 Jun 2018	18 Jul 2018	
	Method of submission	CARS	18 Jul 2018	
	Within receipt period	YES	18 Jul 2018	
	Receipt, Referral, and Assignment	Administrative review notification	NA	18 Jul 2018
Donation(s) made to CPRIT / foundation		NO	18 Jul 2018	
Assigned to primary reviewers		29 Jun 2018	18 Jul 2018	
Applicant notified of review panel assignment		NA	18 Jul 2018	
Primary Reviewer 1 COI signed		25 Jun 2018	18 Jul 2018	
Primary Reviewer 2 COI signed		26 Jun 2018	18 Jul 2018	
Peer Review Meeting		Primary Reviewer 1 critique submitted	05 Jul 2018	18 Jul 2018
		Primary Reviewer 2 critlque submitted	10 Jul 2018	18 Jul 2018
	COI indicated by non-primary reviewer	NONE	18 Jul 2018	
	COI recused from participation	NA	18 Jul 2018	
	Discussed at Peer Review Meeting	YES	18 Jul 2018	
	Peer Review Meeting	12 Jul 2018	18 Jul 2018	
	Post review statements signed	13 Jul 2018	18 Jul 2018	
	Third Party Observer Report	17 Jul 2018	20 Jul 2018	
	Score report delivered to CSO	18 Jul 2018	18 Jul 2018	
	Recommended for SRC review	YES	18 Jul 2018	
Final SRC Recommendation	COI indicated by SRC member	NONE	18 Jul 2018	
	COI recused from participation	NA	18 Jul 2018	
	SRC Meeting	12 Jul 2018	18 Jul 2018	
	Third Party Observer Report	17 Jul 2018	20 Jul 2018	
	Recommended for grant award	YES	18 Jul 2018	
	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018	
PIC Review	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	26 Jul 2018	
	COI indicated by PIC member	NONE	31 Jul 2018	
	COI recused from participation	NA	31 Jul 2018	
	PIC Review Meeting	31 Jul 2018	31 Jul 2018	
	Recommended for grant award	YES	31 Jul 2018	
Oversight Committee Approval		NA		
	CEO Notification to Oversight Committee			
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
		NA		
	Presented to CPRIT Oversight Committee			
		NA		
	Award approved by Oversight Committee			
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		
Comments:		Created Date	Created By	
Comment				
No Comment				

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180072
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Tao Wu, 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 15 applications for cycles 18.10 through 18.12 in response to this RFA, including four applications that were withdrawn. 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."



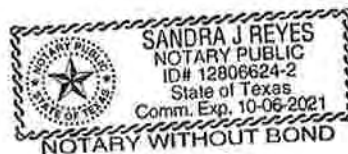
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 31 Jul 2018 14:35 PM

FY:	2018		
CYCLE:	1		
PROGRAM:	Recruitment		
MECHANISM:	Recruitment of First-Time, Tenure-Track Faculty Members		
APPLICATION ID:	RR180072		
APPLICATION TITLE	First Time Tenure Track: Tao Wu, Ph.D.		
APPLICANT NAME:	Kuspa, Adam		
ORGANIZATION:	Baylor College of Medicine		
PANEL NAME:	Recruitment FY18 Cycle 12		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	15 Jun 2017	04 Apr 2018
	RFA published in Texas.gov eGrants	14 Jun 2017	04 Apr 2018
	CPRIT Application Receipt Cycle opened	22 May 2017	18 Jul 2018
	CPRIT Application Receipt Cycle closed	20 Jun 2018	18 Jul 2018
	Date application submitted	20 Jun 2018	18 Jul 2018
	Method of submission	CARS	18 Jul 2018
	Within receipt period	YES	18 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	18 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	18 Jul 2018
	Assigned to primary reviewers	29 Jun 2018	18 Jul 2018
	Applicant notified of review panel assignment	NA	18 Jul 2018
	Primary Reviewer 1 COI signed	26 Jun 2018	18 Jul 2018
	Primary Reviewer 2 COI signed	05 Jul 2018	18 Jul 2018
	Peer Review Meeting	Primary Reviewer 1 critique submitted	03 Jul 2018
Peer Review Meeting	Primary Reviewer 2 critique submitted	11 Jul 2018	18 Jul 2018
	COI indicated by non-primary reviewer	NONE	18 Jul 2018
	COI recused from participation	NA	18 Jul 2018
	Discussed at Peer Review Meeting	YES	18 Jul 2018
	Peer Review Meeting	12 Jul 2018	18 Jul 2018
	Post review statements signed	13 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	20 Jul 2018
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	COI indicated by SRC member	NONE	18 Jul 2018
	COI recused from participation	NA	18 Jul 2018
	SRC Meeting	12 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	20 Jul 2018
	Recommended for grant award	YES	18 Jul 2018
PIC Review	SRC Chair Notification to PIC and OC	24 Jul 2018	25 Jul 2018
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	26 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
		NA	
Oversight Committee Approval	CEO Notification to Oversight Committee		
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
		NA	
	Presented to CPRIT Oversight Committee		
		NA	
	Award approved by Oversight Committee		
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

Prevention Program Priorities Addressed by Recommended Awards August 15, 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	
<p>\$8,787,554 6 projects</p> <ul style="list-style-type: none"> PP180018 – UTSW (breast) (\$1,349,700) PP180080 – UTHSC SA (HPV) (\$1,010,690) PP180082 – Centro San Vicente (liver) (\$1,349,700) PP180086 – UTHSC H (liver) (\$1,159,751) PP180091 – UTSW (liver) (\$2,592,731) PP180092 – UTHSC SA (tobacco) (\$1,324,982) 	<p>\$9,308,958 6 projects</p> <ul style="list-style-type: none"> PP180012 – UTMB (HPV) (\$1,344,926) PP180018 – UTSW (breast) (1,349,700) PP180077 -- UTMIDACC (tobacco) (\$1,346,919) PP180082 – Centro San Vicente (liver) (\$1,349,700) PP180086 – UTHSC H (liver) (\$1,159,751) PP180089-- UTHSC H (HPV) (\$1,598,468) PP180091 – UTSW (liver) (\$2,592,731) PP180092 – UTHSC SA (tobacco) (\$1,324,982) 	<p>\$14,322,379 10 projects</p> <ul style="list-style-type: none"> PP180012 – UTMB (HPV) (\$1,344,926) PP180018 – UTSW (breast) (\$1,349,700) PP180026 – TTUHSC El Paso (healthy living) (\$1,244,512) PP180077 -- UTMIDACC (tobacco) (\$1,346,919) PP180080 – UTHSC SA (HPV) (\$1,010,690) PP180082 – Centro San Vicente (liver) (\$1,349,700) PP180086 – UTHSC H (liver) (\$1,159,751) PP180089-- UTHSC H (HPV) (\$1,598,468) PP180091 – UTSW (liver) (\$2,592,731) PP180092 – UTHSC SA (tobacco) (\$1,324,982) 	

Note: Grant awards are listed under each program priority addressed and the full amount of the award is included to calculate the total amount dedicated to the priority. Some grant awards address more than one program priority and will be double counted.

MEMORANDUM

TO: CPRIT OVERSIGHT COMMITTEE
FROM: REBECCA GARCIA, PH.D., CHIEF PREVENTION AND COMMUNICATIONS OFFICER
SUBJECT: PREVENTION GRANT RECOMMENDATIONS – FY 2018 CYCLE 2
DATE: AUGUST 15, 2018

Summary and Recommendation:

The Program Integration Committee (PIC) has completed its review and recommends awarding 10 projects for FY 2018 Cycle 2 totaling \$14,322,379. The grant recommendations are presented in three (3) slates. The PRC recommends reducing the budgets of all projects by 10.02% to assure that sufficient funds are available to support all recommended applications.

Number	Grant Type	Amount
2	<i>Tobacco Control and Lung Cancer Screening</i>	\$2,671,901
2	<i>Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations</i>	\$4,191,199
6	<i>Evidence-Based Cancer Prevention Services</i>	\$7,459,279

Background:

FY 2018 Cycle 2 (18.2)

CPRIT released three RFAs in November 2017 for the second review cycle of FY 2018. Thirty-one (31) prevention applications requesting \$51,031,896 were received by the February 21, 2018 deadline. Peer review was conducted May 22-25, 2018 and the programmatic review by the Prevention Review Council was conducted July 6, 2018. The Program Integration Committee met July 31, 2018.

Dissemination FY 2018 Cycle 4 (18.4)

CPRIT received one application this quarter for the Dissemination of CPRIT-Funded Cancer Control Interventions mechanism. The PRC reviewed the application on July 20, 2018 but did not recommend the project for funding.

Program Priorities Addressed

All the recommended applications address one or more of the Prevention Program priorities. Some applications address more than one priority. See the attached chart for additional detail.

<u>Number of Applications Addressing Priorities</u>		
6	Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence	\$ 8,787,554
6	Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence	\$ 9,308,958
10	Prioritize underserved populations	\$14,322,379

Prevention Program Slates

Tobacco Control and Lung Cancer Screening

Mechanism: This award mechanism seeks to fund programs on tobacco prevention and cessation, as well as screening for early detection of lung cancer. Through release of this RFA, CPRIT's goal is to stimulate more programs across the state, thereby providing greater access for underserved populations and reducing the incidence and mortality rates of tobacco-related cancers. This RFA seeks to promote and deliver evidence-based programming designed to significantly increase tobacco cessation among adults and/or prevent tobacco use by youth.

Recommended projects (2): \$2,671,901

Nine (9) applications were submitted in this mechanism. Two (2) tobacco control and lung cancer screening projects are recommended.

Project Descriptions

PP180077	Increasing Access to Smoking Cessation and Smoke Free Home Services for Low-Income Pregnant Women in Northeast Texas	Blalock, Janice A	The University of Texas M. D. Anderson Cancer Center	2.6	\$1,346,919
CPRIT Priorities addressed: Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations					

The proposed program will address barriers to treatment receipt by establishing system-wide assessment of tobacco use in clinical settings that serve low-income pregnant women, and proactive automatic referral of pregnant smokers and pregnancy-related quitters to intensive evidence-based telephone counseling services, a smartphone smoking cessation and relapse prevention app, and a minimal intensity smoke free homes intervention. The project will work in 12 Women, Infant and Children (WIC) and Federally Qualified Health Center (FQHC) clinics in 7 Northeast Texas counties to implement an evidence-based system intervention to establish an assessment of tobacco use and smoking in the home, and automatic proactive referral to program services. Intensive, telephone counseling will be based on a motivational, behavioral and pregnancy-focused health education intervention, which was associated with high rates of

prenatal abstinence (39%) in a study trial. Counseling will be delivered by bachelor level tobacco treatment specialists in the MD Anderson Tobacco Treatment Program.

PP180092	Tobacco Services for Primary Care & Cancer Patients at UT Health San Antonio	Ramirez, Amelie G	The University of Texas Health Science Center at San Antonio	2.6	\$1,324,982
CPRIT Priorities addressed: 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					

The project proposes to introduce systems change to add a tobacco counseling and cessation service protocol and record-keeping into patients' routine care. The systems change will enhance the integration of tobacco screening and treatment into electronic health record systems by including routine referral to the UT Health San Antonio regionally tailored smartphone text and social messaging cessation services for more than 4,000 tobacco-using patients receiving services from UT Health San Antonio Primary Care Center (PCC) providers and oncologists at the Mays Cancer Center.

These cessation services—based on the team's effective Quitxt text-messaging quit-smoking service reported in a peer-reviewed publication last year—will provide messaging designed to increase readiness for patients who are not ready to quit promptly, and to assist cessation for those who are ready to quit. The project will also train primary care and cancer care team members to implement the new protocols to provide counseling and referral to the smartphone messaging cessation service, prescribe as-needed smoking cessation medication, and conduct follow-up to provide tailored support. In addition to providing tobacco cessation services during the proposed grant interval, the project proposes to establish a model for innovation in tobacco service delivery that can be readily adopted by other provider systems across Texas.

Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

Mechanism:

This award mechanism seeks to support the coordination and expansion of evidence-based services to prevent cancer in underserved populations who do not have adequate access to cancer prevention interventions and health care, bringing together networks of public health and community partners to carry out programs tailored for their communities. Projects should identify cancers that cause the most burden in the community and use evidence-based models shown to work in similar communities to prevent and control these cancers. Currently funded CPRIT projects should propose to expand their programs to include additional types of prevention clinical services and/or an expansion of current clinical services into additional counties. In either case, the expansion must include delivery of services to nonmetropolitan and medically underserved counties in the state.

Award: Maximum of \$3M; Maximum duration of 36 months.

Recommended projects (2): \$4,191,199

Nine (9) applications were submitted in this mechanism. Two (2) expansion of cancer prevention services to rural and medically underserved populations projects are recommended.

Project Descriptions

PP180091	STOP-HCC Expansion Grant	Jain, Mamta	The University of Texas Southwestern Medical Center	1.9	\$2,592,731
CPRIT Priorities addressed: 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					

Through their current program which includes 9 North Texas counties, The University of Texas Southwestern Medical Center (UTSWMC) increased screening of baby boomers (BBs) for hepatitis C virus (HCV) using a multi-faceted intervention including: patient and provider education; electronic medical record redesign with alerts for eligibility; performance monitoring and feedback, patient navigation; and treatment/cure of HCV in Dallas County and South Texas. This project will expand to four large federally qualified health centers in South Texas, as well as expanding BB screening to El Paso in a community-based healthcare system with greater than 300 HCC cases over the last 5 years. In Dallas County, the project will use a population-based mailed outreach program to engage unscreened BBs with HCV screening, modeled after an effective colon cancer and hepatocellular carcinoma (HCC) screening program. For all locations, UTSW is developing navigation for patients with chronic HCV to curative HCV therapy, either by a hepatologist or by primary care clinicians with specialist support. The project involves primary care practices located in 18 counties in West Texas, North Texas and South Texas, representing $\geq 25\%$ of all new HCC cases in Texas.

PP180089	Adolescent Vaccination Program (AVP): Expanding a Successful Clinic-based Multicomponent HPV Vaccination Program to the San Antonio Area	Vernon, Sally W	The University of Texas Health Science Center at Houston	2.8	\$1,598,468
CPRIT Priorities addressed: Prioritize underserved populations					

The goal of this project is to assess the feasibility and effect of expanding the CPRIT funded Adolescent Vaccination Program (AVP), a successful multi-level human papillomavirus (HPV) vaccination program, to another clinical network in Texas. The Adolescent Vaccination Program (AVP) is comprised of a suite of recommended evidence-based strategies: immunization champions, provider assessment and feedback, provider reminders, provider continuing education, patient reminder and recall systems, and patient (parent) education. The project proposes to expand the AVP to a geographic area not well served by other similar CPRIT projects, commencing with the Children's Hospital of San Antonio Primary Care (CHPC) clinical network.

Evidence-Based Cancer Prevention Services

Mechanism: This mechanism funds projects that provide the delivery of evidence-based prevention services (e.g., screening, survivorship services). The maximum grant award is up to \$1.5 million for up to three years. Continuation/expansions as well as new project proposals may be submitted.

Recommended projects (6): \$7,459,279

Thirteen (13) applications were submitted in this mechanism. Six (6) evidence-based cancer prevention services projects are recommended. In addition, three (3) of the applications, PP180012, PP180018 and PP180026 were submitted in cycle 18.1 but no action was taken due to budgetary constraints; they are recommended for funding in this cycle.

Project Descriptions

PP180086	Liver Cancer Prevention among those with Experiences of Homelessness	Schick, Vanessa R	The University of Texas Health Science Center at Houston	2.3	\$1,159,751
CPRIT Priorities addressed: Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations					

Relative to the national prevalence rate of 1.6-2.1%, studies have found hepatitis C virus (HCV) prevalence rates among the homeless range from 22-69% and hepatitis B virus (HBV) rates ranging from 23-40%. UTHSC Houston will partner with the largest permanent supportive housing (PSH) provider in Texas, New Hope Housing (NHH) which has eight sites housing over 1200 persons, and a medical organization, Healthcare for the Homeless (HHH), a federally-qualified health center (FQHC) focused on delivering healthcare to individuals experiencing homelessness, including those in PSH. The project will provide education and risk reduction information to NHH residents, test for HBV and HCV onsite, provide immediate results for HCV and make arrangements to deliver HBV results a week later. An algorithm will determine further steps with all patients receiving the medically indicated treatment. In addition to providing screening, vaccination and treatment to those in PSH, the project will distribute risk reduction materials at organizations serving those with experiences of homelessness.

PP180082	West Texas HCV Screening and Linkage to Care Program	Gallegos, Patricia	Centro San Vicente	2.4	\$1,349,700
CPRIT Priorities addressed: 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					

The West Texas HCV Screening and Linkage to Care program provides a comprehensive HCV and HBV screening and linkage to care program to residents living in El Paso, Culberson, Presidio and Brewster counties. Hepatitis C virus (HCV) screenings will be offered to patients based on USPSTF recommendations. Services will include comprehensive patient navigation services, insurance application assistance, medication assistance, scheduling with HCV specialist, and reminder calls and/or text messages for appointments, including linkage and referrals to Centro San Vicente's Hepatitis C Treatment Clinic. Community health workers (CHW) will also provide community outreach and education as well to promote new testing sites among selected El Paso communities as well as in the rural counties of West Texas. This program also offers professional education services to meet the needs of community-based physicians and frontline workers at primary care settings. Additionally, the project will help to strengthen clinical systems by: 1. Integrating testing and screening services into clinic flow; 2. Enhancing electronic medical records systems; 3. Enhancing policies and systems to accommodate routing screenings.

PP180080	HPV Vaccination in a Pediatric Minority-Based Community Oncology Network	Grimes, Allison	The University of Texas Health Science Center at San Antonio	1.6	\$1,010,690
CPRIT Priorities addressed: Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations					

Compared to the U.S. general population, childhood cancer survivors (CCS) experience significantly higher rates of HPV-related malignancies (40% more in females and 150% more in males). Despite these increased risks, CCS have very low HPV vaccination rates. In South Texas, the majority of children with cancer receive their treatment at the South Texas Pediatric Minority Underserved NCI Community Oncology Research Program (STPMU NCORP). This network operates as a consortium of five regional pediatric institutions: UTHSCSA, Methodist Children's Hospital (San Antonio), Dell Children's Hospital (Austin), Driscoll Children's Hospital (Corpus Christi), and Texas Tech University Health Sciences Center El Paso (currently in process of joining the STMU NCORP). The catchment area for STPMU NCORP encompasses 113 counties. Collectively the STPMU NCORP institutions follow approximately 1,486 pediatric cancer survivors across the state, approximately 1,279 of whom will be age-eligible for the HPV vaccine during the project period. The project goal is to increase HPV vaccination rates among eligible CCS who are actively followed within STPMU NCORP. The project proposes to accomplish this goal by: 1) delivering an evidence-based HPV provider and staff continuing education program focused on the unique risks and needs of childhood cancer survivors; 2) implementing practice-level changes to build an HPV vaccine-friendly culture and allow monitoring of HPV vaccine eligibility status and 3) offering on-site delivery of the HPV vaccine to eligible childhood cancer survivors at these clinics.

PP180012	Vaccinating medically underserved women against HPV	Berenson, Abbey B	The University of Texas Medical Branch at Galveston	2.7	\$1,344,926
CPRIT Priorities addressed: Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations					

A medical records review indicates that an average of only 18 percent of eligible young women receiving care at the University of Texas Medical Branch's gynecology clinics in McAllen and Galveston, Texas (Hidalgo and Galveston Counties) have received even 1 dose of the vaccine. The project proposes to increase the number of young women vaccinated against HPV by including patient navigation services, vaccination at no cost to the patient, patient tracking, reminder methods, and provider education. Vaccine-eligible young women who receive care at 2 UTMB clinics will be approached and counseled by a patient navigator (PN). To further extend outreach, the program will work with various community stakeholder groups to educate community leaders of the availability of the vaccine for their constituents. The provider education component will focus on increasing physician recommendation of this vaccine and vaccination rates throughout the community. The project goals are to educate at least 400 providers, counsel more than 2,000 patients and ensure that over 1,300 women initiate the vaccine and over 1,000 complete it.

PP180018	BSPAN4: Optimizing Spatial Access to High-Quality Breast Screening & Patient Navigation for Rural Underserved Women across North Texas	Lee, Simon Craddock	The University of Texas Southwestern Medical Center	2.5	\$1,349,700
CPRIT Priorities addressed: 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					

The project will serve 35 North Texas counties that are either full or partial Medically Underserved Areas. Previous Breast Screening & Patient Navigation (BSPAN) projects have successfully targeted screen-eligible women residing in rural and medically underserved counties. Demand for preventive breast cancer services currently outpaces local access and provider capacity in these regions. BSPAN has sustained a cancer prevention network for community-based care to link under- and uninsured women to local providers, none of whom would be capable of providing the clinical services without access to the BCCS reimbursement that BSPAN makes possible.

The intent of this competitive renewal is to: (1) extend the BSPAN program for comprehensive mammography and appropriate follow-up to 35 North Texas rural and underserved counties and (2) increase access to breast cancer screening services across this region using quantitative geospatial analytics to optimize program reach and visibility for residents and participating providers. A comprehensive analysis of spatial accessibility across the region will assess the presence of breast cancer screening and diagnostic facilities and actual use of these facilities among women.

PP180026	Pasos Para Prevenir Cancer: Obesity-related Cancer Prevention in El Paso	Salinas, Jennifer J	Texas Tech University Health Sciences Center at El Paso	2.0	\$1,244,512
CPRIT Priorities addressed: Prioritize underserved populations					

Obesity-related cancers (esophageal, colon, pancreatic, breast, uterine, kidney and thyroid) account for approximately 36% of expected new cancer cases in El Paso County. The overall goal of the study is to deliver a sustainable multilevel community-based cancer awareness and obesity prevention program.

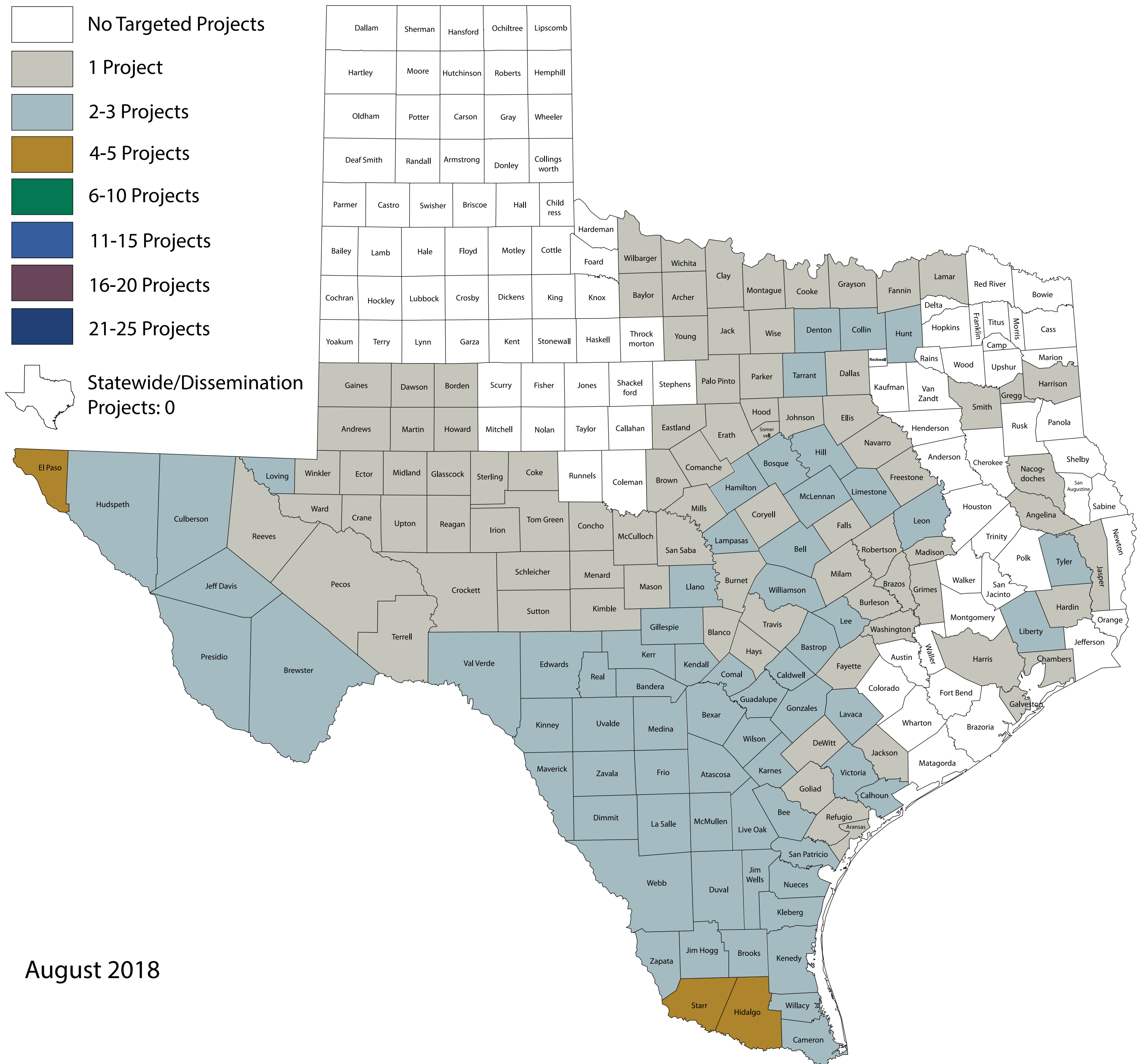
The proposed project will use a community organization partnership across El Paso County to:

- 1) Deliver a promotora-led education and outreach on obesity prevention, physical activity and nutrition.
- 2) Provide navigation to low or no-cost physical activity and nutrition resources using our newly-created website.
- 3) Deliver obesity counseling training to physicians, nurses and other healthcare workers through CME/CEU workshops.
- 4) Implement an obesity prevention curriculum for residents, medical students, and nursing students at Texas Tech University Health Sciences Center El Paso.
- 5) Create a sustainable infrastructure for long-term obesity-related cancer prevention through coalition building, work-based challenges and a website to provide resources and information on how to increase physical activity and improve nutrition.

Prevention Program Priorities Addressed by Recommended Awards August 15, 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
<p>\$8,787,554 6 projects</p> <ul style="list-style-type: none"> PP180018 – UTSW (breast) (\$1,349,700) PP180080 – UTHSC SA (HPV) (\$1,010,690) PP180082 – Centro San Vicente (liver) (\$1,349,700) PP180086 – UTHSC H (liver) (\$1,159,751) PP180091 – UTSW (liver) (\$2,592,731) PP180092 – UTHSC SA (tobacco) (\$1,324,982) 		<p>\$9,308,958 6 projects</p> <ul style="list-style-type: none"> PP180012 – UTMB (HPV) (\$1,344,926) PP180018 – UTSW (breast) (1,349,700) PP180077 -- UTMDACC (tobacco) (\$1,346,919) PP180082 – Centro San Vicente (liver) (\$1,349,700) PP180091 – UTSW (liver) (\$2,592,731) PP180092 – UTHSC SA (tobacco) (\$1,324,982) 	
		<p>\$14,322,379 10 projects</p> <ul style="list-style-type: none"> PP180012 – UTMB (HPV) (\$1,344,926) PP180018 – UTSW (breast) (\$1,349,700) PP180026 – TTUHSC El Paso (healthy living) (\$1,244,512) PP180077 -- UTMDACC (tobacco) (\$1,346,919) PP180080 – UTHSC SA (HPV) (\$1,010,690) PP180082 – Centro San Vicente (liver) (\$1,349,700) PP180086 – UTHSC H (liver) (\$1,159,751) PP180089– UTHSC H (HPV) (\$1,598,468) PP180091 – UTSW (liver) (\$2,592,731) PP180092 – UTHSC SA (tobacco) (\$1,324,982) 	

Note: Grant awards are listed under each program priority addressed and the full amount of the award is included to calculate the total amount dedicated to priority. Some grant awards address more than one program priority and will be double counted.

Counties of Residence of Populations Served by 10 Recommended Prevention Projects

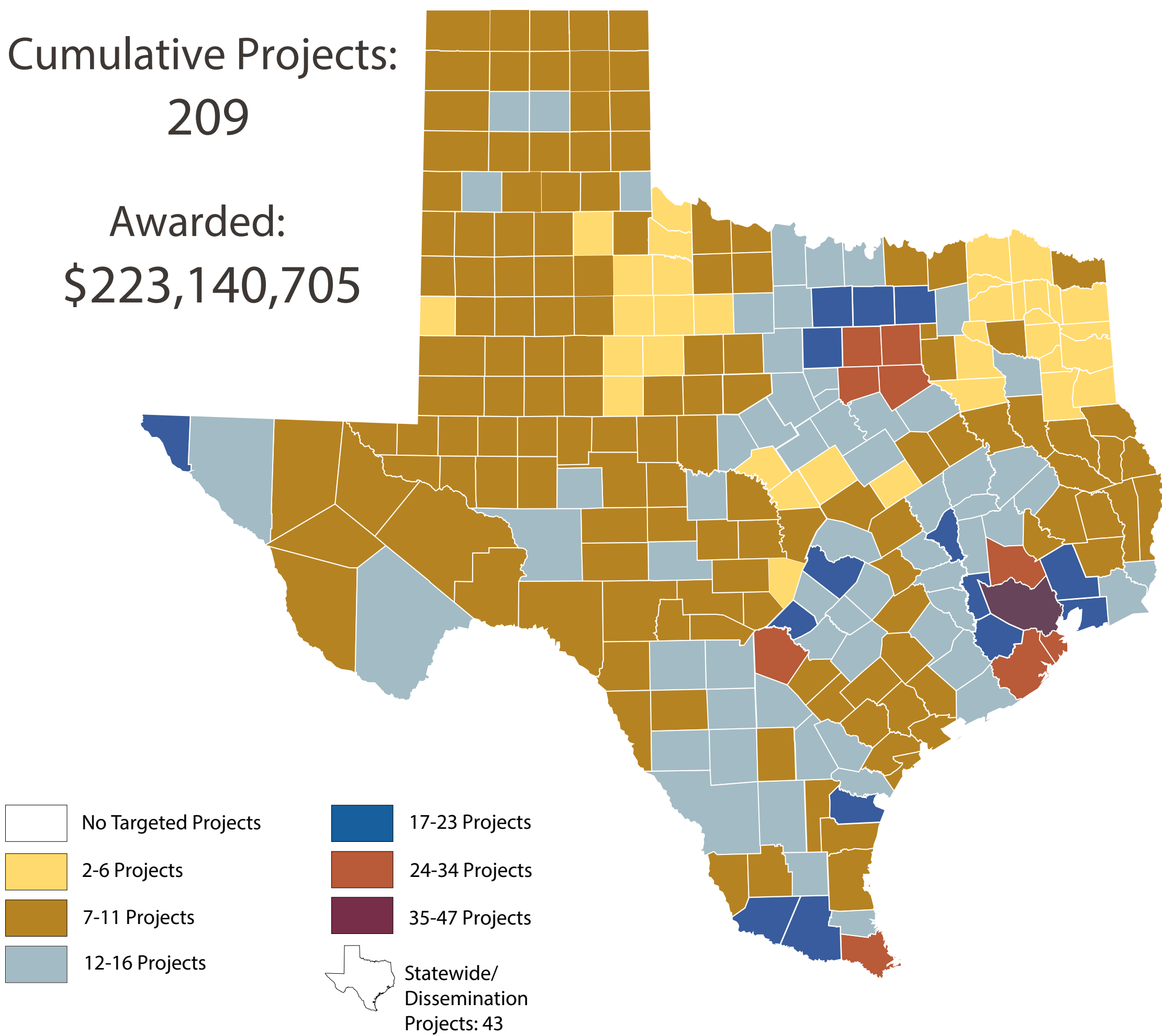


Prevention

COUNTIES OF RESIDENCE OF PEOPLE SERVED BY CPRIT PREVENTION PROJECTS + 10 Recommended Projects

Cumulative Projects:
209

Awarded:
\$223,140,705



August 2018

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 applicants on the attached list of submitted proposals responded to CPRIT requests for applications (RFA) released for the second review cycle of FY2018.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are provided for each grant application. The proposed budget reduction of 10.02% for all recommended projects assures that sufficient funds are available to support all recommended Prevention grants for this cycle. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for the remainder of fiscal year 2018 is \$14,322,579. These recommended projects total \$14,322,379.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,

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

Application ID	Application Title	PD	Organization	Score	Rank Order	recommended budget
PP180080	EBP HPV Vaccination in a Pediatric Minority-Based Community Oncology Network	Grimes, Allison	The University of Texas Health Science Center at San Antonio	1.6	1	\$1,010,690
PP180091	EPS STOP-HCC Expansion Grant	Jain, Mamta	The University of Texas Southwestern Medical Center	1.9	2	\$2,592,731
PP180026	EBP Pasos Para Prevenir Cancer: Obesity-related Cancer Prevention in El Paso	Salinas, Jennifer J	Texas Tech University Health Sciences Center at El Paso	2.0	3	\$1,244,512
PP180086	EBP Liver Cancer Prevention among those with Experiences of Homelessness	Schick, Vanessa R	The University of Texas Health Science Center at Houston	2.3	4	\$1,159,751
PP180082	EBP West Texas HCV Screening and Linkage to Care Program	Gallegos, Patricia	Centro San Vicente	2.4	5	\$1,349,700
PP180018	EBP BSPAN4: Optimizing Spatial Access to High-Quality Breast Screening & Patient Navigation for Rural Underserved Women across North Texas	Lee, Simon Craddock	The University of Texas Southwestern Medical Center	2.5	6	\$1,349,700
PP180077	TCL Increasing Access to Smoking Cessation and Smoke Free Home Services for Low-Income Pregnant Women in Northeast Texas	Blalock, Janice A	The University of Texas M. D. Anderson Cancer Center	2.6	7	\$1,346,919
PP180092	TCL Tobacco Services for Primary Care & Cancer Patients at UT Health San Antonio	Ramirez, Amelie G	The University of Texas Health Science Center at San Antonio	2.6	8	\$1,324,982
PP180012	EBP Vaccinating medically underserved women against HPV	Berenson, Abbey B	The University of Texas Medical Branch at Galveston	2.7	9	\$1,344,926
PP180089	EPS Adolescent Vaccination Program (AVP): Expanding a Successful Clinic-based Multicomponent HPV Vaccination Program to the San Antonio Area	Vernon, Sally W	The University of Texas Health Science Center at Houston	2.8	10	\$1,598,468

Prevention



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 1
Evidence-Based Cancer Prevention Services

Some sections of this packet have been updated for the August 15, 2018, Oversight Committee meeting.

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-18.1-EBP

Evidence-Based Cancer Prevention Services

**Please also refer to the Instructions for Applicants document,
which will be posted on June 22, 2017**

Application Receipt Opening Date: June 22, 2017
Application Receipt Closing Date: September 21, 2017

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 9/1/17 Application receipt deadline was extended to September 21, 2017, thus all references to previous deadline date were modified.

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 **Evidence-Based Cancer Prevention Services (EBP)** award mechanism seeks to fund programs that greatly challenge the status quo in cancer prevention and control services. The proposed program should be designed to reach and serve as many people as possible. Partnerships with other organizations that can support and leverage resources are strongly encouraged. A coordinated submission of a collaborative partnership program in which all partners have a substantial role in the proposed project is preferred.

2.2. Project Objectives

CPRIT seeks to fund projects that will do the following:

- Address multiple components of the cancer prevention and control continuum (eg, provision of screening and navigation services in conjunction with outreach and education of the priority population as well as health care provider education);
- Offer effective and efficient systems of delivery of prevention services based on the existing body of knowledge about and evidence for cancer prevention in ways that far exceed current performance in a given service area;
- Offer systems and/or policy changes that are sustainable over time;
- Provide tailored, culturally appropriate outreach and accurate information on early detection and prevention to the public and health care professionals that results in a health impact that can be measured; and
- Deliver evidence-based survivorship services aimed at reducing the morbidity associated with cancer diagnosis and treatment.

2.3. Award Description

The Evidence-Based Cancer Prevention Services RFA solicits applications for projects up to 36 months in duration that will deliver evidence-based services in cancer prevention and control. In addition to other primary prevention and screening/early detection services, CPRIT considers counseling services (eg, tobacco cessation, survivorship, exercise, and nutrition) when done on a one-on-one basis or in small groups as clinical services.

This mechanism will fund case management/patient navigation if it is paired with the delivery of a clinical service (eg, human papillomavirus [HPV] vaccination/screening). Applicants offering screening services must ensure that there is access to treatment services for patients with cancers that are detected as a result of the program and must describe access to treatment services in their application. In the case of screening for hepatitis C, applicants must provide navigation to ensure access to viral treatments and must describe the process for ensuring access to treatment services.

CPRIT's services grants are intended to fund prevention interventions that have a demonstrated evidence base and are culturally appropriate for the priority population.

CPRIT recognizes that evidence-based services have been developed but not implemented or tested in all populations or service settings. In such cases, other forms of evidence (eg, preliminary evaluation or pilot project data) that the proposed service is appropriate for the population and has a high likelihood of success must be provided. The applicant must fully describe the base of evidence and any plans to adapt and evaluate the implementation of the program for the specific audience or situation.

Comprehensive projects are required. Comprehensive projects include a continuum of services and systems and/or policy changes and comprise all or some of the following: Public and/or professional education and training, patient support of behavior modification, outreach, delivery of clinical services, follow-up navigation, and system and/or policy enhancements and improvements.

This RFA encourages traditional and nontraditional partnerships as well as leveraging of existing resources and dollars from other sources. The applicant should coordinate and describe a collaborative partnership program in which all partners have a substantial role in the proposed

project. Letters of commitment describing their role in the partnership are required from all partners.

CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area) in the provision of evidence-based services, changes in provider practice, systems changes, and cost-effectiveness. Applicants must demonstrate how these outcomes will ultimately impact incidence, mortality, morbidity, or quality of life.

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

- **Projects focusing solely on systems and/or policy change or solely on education and/or outreach** that do not include the delivery of services.
- **Projects focusing solely on case management/patient navigation services.** Case management/patient navigation services must be paired with the delivery of a clinical service. Furthermore, while navigation to the point of treatment of cancer is required when cancer is discovered through a CPRIT-funded project, applications seeking funds to provide coordination of care while an individual is in treatment are not allowed under this RFA.
- **Projects focusing on tobacco prevention and/or cessation for any age or computerized tomography screening for lung cancer for ages 55 to 77** should apply under CPRIT's Tobacco Control and Lung Cancer Screening RFA.
- **Projects involving prevention/intervention research.** Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at <http://www.cprit.texas.gov>).
- **Resources for the treatment of cancer or viral treatment for hepatitis.**

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 Populations: The age of the priority population and frequency of screening plans for provision of clinical services 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. For clinical services in particular, CPRIT should be the payer of last resort, and CPRIT funds should be used ONLY if individuals do not qualify for any other programs.

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.

Geographic and Population Priority: For applications submitted in response to this announcement, at the programmatic level of review conducted by Prevention Review Council (see [section 5.1](#)), priority will be given to projects that target geographic regions of the state and population subgroups that are not adequately covered by the current CPRIT Prevention project portfolio (see <http://www.cprit.texas.gov/prevention/resources-for-cancer-prevention-and-control> and <http://www.cprit.texas.gov/funded-grants>).

2.5. Specific Areas of Emphasis

CPRIT has identified the following areas of emphasis for this cycle of awards.

<u>Primary Prevention</u>
HPV Vaccination
<ul style="list-style-type: none">• Increasing access to, delivery of, and completion of the HPV vaccine regimen to males

and females through evidence-based intervention efforts in all areas of the state. ¹
Liver Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates for hepatocellular cancer by increasing the provision of vaccination and screening for hepatitis B virus (HBV) and screening for hepatitis C virus (HCV).
<ul style="list-style-type: none"> Screening for HBV infection and HCV infection in populations at high risk of infection and 1-time screening for HCV infection in adults born between 1945 and 1965.
<ul style="list-style-type: none"> Increasing screening rates in Public Health Region (PHR) 8, 10, and 11. Incidence rates are highest in PHR 8 and 11 while mortality rates are highest in PHR 10 and 11.²
<u>Secondary Prevention - Screening and Early Detection Services</u>
Colorectal Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates of colorectal cancer in racial/ethnic populations. Blacks have the highest incidence and mortality rates, followed by non-Hispanic whites and Hispanics.²
<ul style="list-style-type: none"> Increasing screening/detection rates in PHR 2, 4, and 5, where the highest rates of cancer incidence and mortality are found. Decreasing incidence and mortality rates in nonmetropolitan counties. Incidence and mortality rates are higher in nonmetropolitan counties compared with metropolitan counties.²
Breast Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates of breast cancer in racial/ethnic populations. The mortality rate is significantly higher in blacks than in other populations.²
<ul style="list-style-type: none"> Increasing screening/detection rates in medically underserved areas of the state.
Cervical Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates of cervical cancer in racial/ethnic populations. Hispanics have the highest incidence rates while blacks have the highest mortality rates.²
<ul style="list-style-type: none"> Increasing screening/detection rates for women in PHR 2, 4, 8, and 11. Incidence is highest in Texas-Mexico border counties (PHR 8 and 11) as well as PHR 2. The

mortality rate is highest in PHR 2, 4, and 11. ²
<u>Tertiary Prevention – Survivorship Services</u>
<ul style="list-style-type: none"> • Preventing secondary cancers and recurrence of cancer through evidence-based interventions.
<ul style="list-style-type: none"> • Improving quality of life of cancer survivors by managing the after effects of cancer, including the use of survivorship care plans.

2.6. Outcome Metrics

The applicant is required to describe final outcome measures for the project. Interim or output measures that are associated with the final outcome measures should be identified and will serve as a measure of program effectiveness and public health impact. Applicants are required to clearly describe their assessment and evaluation methodology. **Baseline data for each measure proposed are required.** In addition, applicants should describe how funds from the CPRIT grant will improve outcomes over baseline. If the applicant is not providing baseline data for a measure, the applicant must provide a well-justified explanation and describe clear plans and method(s) of measurement to collect the data necessary to establish a baseline. Applicants are required to fully describe any planned systems or policy changes or improvements.

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:
 - Summary page, including narrative on project progress (required);
 - Services, other than clinical services, provided to the public/professionals;
 - Actions taken by people/professionals as a result of education or training;
 - Clinical services provided (county of residence of client is required); and
 - Precursors and cancers detected.
- Annual and final progress report sections include, but are not limited to the following:

- Key accomplishments, **including qualitative analysis of policy change and/or lasting systems change;**
- Progress toward goals and outcome objectives, including percentage increase over baseline in provision of age- and risk-appropriate comprehensive preventive services to eligible individuals in a defined service area; for example:
 - Percentage increase over baseline in number of people served;
 - Percentage increase over baseline in number of education and navigation services provided;
 - Percentage increase over baseline in cancers and precancers detected, if applicable;
 - Percentage increase in early-stage cancer diagnoses in a defined service area, if applicable.
- Materials produced and publications; and
- 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 evaluation of the project must be headed by a professional who has demonstrated expertise in the field and who resides in Texas during the time that the project is conducted.
- The applicant may submit more than 1 application, but each application must be for distinctly different services without overlap in the services provided. Applicants who do not meet this criterion will have all applications administratively withdrawn without peer review.

- If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.
- If the applicant or a partner is an existing DSHS contractor, CPRIT funds may not be used as a match, and the application must explain how this grant complements or leverages existing state and federal funds. DSHS contractors who also receive CPRIT funds must be in compliance with and fulfill all contractual obligations within CPRIT. CPRIT and DSHS reserve the right to discuss the contractual standing of any contractor receiving funds from both entities.
- 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 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.
- 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.
- 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. Continuation/Expansion Policy

- For the FY18.1 application receipt cycle, instead of a separate Competitive Continuation/Expansion RFA, an opportunity to apply for a continuation/expansion

award is included with each eligible award mechanism. Therefore, a grant recipient that has previously been awarded grant funding from CPRIT may submit an application under this mechanism to be considered for a continuation/expansion grant. The eligibility criteria described in [section 2.7](#) also apply to continuation/expansion applications. Before submitting an application for this award, applicants must consult with the Prevention Program Office (see [section 7.2](#)) to determine whether it is appropriate for their organization to seek continuation/expansion funding at this time.

- Continuation/Expansion grants are intended to fund continuation or expansion of currently or previously funded projects that have demonstrated exemplary success, as evidenced by progress reports and project evaluations, and desire to further enhance their impact on priority populations. Detailed descriptions of **results, barriers, outcomes, and impact of the currently or previously funded project are required** (see outline of Continuation/Expansion Summary, [section 4.4.10.1](#)).
- Proposed continuation/expansion projects should NOT be new projects but should closely follow the intent and core elements of the currently or previously funded project. Established infrastructure/processes and fully described prior project results are required. Improvements and expansion (eg, new geographic area, additional services, new populations) are strongly encouraged but will require justification. Expansion of current projects into geographic areas not well served by the CPRIT portfolio (see maps at <http://www.cprit.texas.gov/prevention/cprit-portfolio-maps/>), especially rural areas or subpopulations of urban areas that are not currently being served, will receive priority consideration.
- CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area). It is expected that baselines will have already been established and that continued improvement over baseline is demonstrated in the current application. However, in the case of a proposed expansion where no baseline data exist for the priority population, the applicant must present clear plans and describe method(s) of measurement used to collect the data necessary to establish a baseline. Applicants must demonstrate how these outcomes will ultimately impact cancer incidence, mortality, morbidity, or quality of life.

- CPRIT also expects that applications for continuation **will not** require startup time, that applicants can demonstrate that they have overcome barriers encountered, and that applicants have identified **lasting systems changes** that improve results, efficiency, and sustainability. Leveraging of resources and plans for dissemination are expected and should be well described.

2.10. Funding Information

Applicants may request any amount of funding up to a maximum of \$1.5 million in total funding over a maximum of 36 months for new or continuation/expansion projects. Grant funds may be used to pay for clinical services, navigation services, salary and benefits, project supplies, equipment, costs for outreach and education of populations, 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 proportional to the number of individuals receiving programs and services, and a significant proportion of funds is expected to be used for program delivery as opposed to program development. 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

RFA

RFA release June 8, 2017

Application

Online application opens June 22, 2017, 7 AM central time

Application due September 21, 2017, 4 PM central time

Application review December 2017

Award

Award notification February 2018

Anticipated start date March 2018

Applicants will be notified of peer review panel assignment prior to the peer review meeting dates.

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 June 22, 2017, and must be submitted by 4 PM central time on September 21, 2017. 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 recommended abstract format is as follows (use headings as outlined below):

- **Need:** Include a description of need in the specific service area. Include rates of incidence, mortality, and screening in the service area compared to overall Texas rates. Describe barriers, plans to overcome these barriers, and the priority population to be served.
- **Overall Project Strategy:** Describe the project and how it will address the identified need. Clearly explain what the project is and what it will specifically do, including the services to be provided and the process/system for delivery of services and outreach to the priority population.
- **Specific Goals:** State specifically the overall goals of the proposed project; include the estimated overall numbers of people (public and/or professionals) reached and people (public and/or professionals) served.
- **Innovation:** Describe the creative components of the proposed project and how it differs from current programs or services being provided.
- **Significance and Impact:** Explain how the proposed project, if successful, will have a unique and major impact on cancer prevention and control for the population proposed to be served 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 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives. See [Appendix B](#) for instructions on writing outcome goals and objectives.

A baseline and method(s) of measurement are required for each objective. Provide both raw numbers and percent changes for the baseline and target. If a baseline has not 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, 2, 3, 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: Briefly present the rationale behind the proposed service, emphasizing the critical barriers to current service delivery that will be addressed. Identify the evidence-based service to be implemented for the priority population. If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data for the priority population and target service area are required where applicable. Reviewers will be aware of national and state statistics, and these should be used only to compare rates for the proposed service area. Describe the geographic region of the state that the project will serve; maps are appreciated.

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 B](#) for instructions on writing goals and objectives.

Components of the Project: Clearly describe the need, delivery method, and evidence base (provide references) for the services as well as anticipated results. Be explicit about the base of evidence and any necessary adaptations for the proposed project. Describe why this project is nonduplicative, creative, or unique. If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary. Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline and the ability to reach the priority population. Applicants must also clearly describe plans to ensure access to treatment services should cancer be detected.

Evaluation Strategy: A strong commitment to evaluation of the project is required. Describe the impact on outcome measures and interim output measures as outlined in [section 2.6](#). Describe the plan for outcome and output measurements, including data collection and management methods, data analyses, and anticipated results. Evaluation and reporting of results should be headed by a professional who has demonstrated expertise in the field. 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 involve that professional during grant application preparation to 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 track record and success in providing programs and services. Describe the role and qualifications of the key collaborators/partners in the project. Include information on the organization's financial stability and viability. To ensure access to preventive services and reporting of services outcomes, applicants should demonstrate that they have provider partnerships and agreements (via memoranda of understanding) or commitments (via letters of commitment) in place.

Integration and Capacity Building: CPRIT funds projects that target the unmet needs not sufficiently covered by other funding sources, and full maintenance of the project may not be feasible. This is especially the case when the project involves the delivery of clinical services. Educational and other less costly interventions may be more readily sustained. Full maintenance of a project, the ability of the grantee's setting or community to continue to deliver the health

benefits of the intervention as funded, is not required; however, efforts toward maintenance should be described.

It is expected that steps toward integration and capacity building for components of the project will be taken and plans for such be fully described in the application. *Integration* is defined as the extent the evidence-based intervention is integrated within the culture of the grantee's setting or community through policies and practice. The applicant should develop and describe a plan for systems changes that are sustainable over time (improve results, provider practice, efficiency, cost-effectiveness) as well as describe entities that could continue and integrate components of the project after CPRIT support ends. *Capacity building* is any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee's setting or community to continue the delivery of some or all components of the evidence-based intervention.

Elements of integration and capacity building may include, but are not limited to, the following:

- Developing ownership, administrative networks, and formal engagements with stakeholders;
- Developing processes for each practice/location to incorporate services into its structure beyond project funding;
- Identifying and training of diverse resources (human, financial, material, and technological);
- Implementing policies to improve effectiveness and efficiency (including cost-effectiveness) of systems.

Dissemination and Scalability (Expansion): Dissemination of project results and outcomes, including barriers encountered and successes achieved, is critical to building the evidence base for cancer prevention and control efforts in the state. Dissemination methods may include, but are not limited to, presentations, publications, abstract submissions, and professional journal articles, etc.

Describe how the project lends itself to dissemination to or application by other communities and/or organizations in the state or expansion in the same communities.

4.4.5. People Reached (Indirect Contact)

Provide the estimated overall number of people (members of the public and professionals) to be reached by the funded project. The applicant is required to itemize separately the types of indirect noninteractive education and outreach activities, with estimates, that led to the calculation of the overall estimates provided. Refer to [Appendix A](#) for definitions.

4.4.6. Number of Services Delivered (Direct Contact)

Provide the estimated overall number of services directly delivered to members of the public and to professionals by the funded project. Each service should be counted, regardless of the number of services one person receives. The applicant is required to itemize separately the education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimate provided. Refer to [Appendix A](#) for definitions.

4.4.7. Number of Unique People Served (Direct Contact)

Provide the estimated overall number of unique members of the public and professionals served by the funded project. One person may receive multiple services but should only be counted once here. Refer to [Appendix A](#) for definitions.

4.4.8. 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 services.

4.4.9. 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.

4.4.10. Continuation/Expansion Application Documents

If the project proposed is being submitted for a continuation/expansion grant, the additional document described in [section 4.4.10.1](#) is required.

4.4.10.1 Continuation/Expansion Summary (3 pages)

Upload a summary that outlines the progress made with the most recently funded CPRIT award and outlines the proposed use of continuation/expansion funding and the resulting value for Texas. Applicants must describe and demonstrate how appropriate/adequate progress has been made on the most recently funded award to warrant further funding.

Please note that a different set of reviewers from those assigned to the previously funded application may evaluate this application. Applicants should make it easy for reviewers to compare the most recently funded project with the proposed continuation/expansion project.

Describe how the project has evolved from the original project. In the description include the following:

- Describe the evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- List approved goals and objectives of the most recently funded grant.
- For each objective, provide the following information:
 - Milestones/target dates and target metrics
 - Actual completion dates and metrics
- For the most recently funded project, describe major activities; significant results, including major findings, developments or conclusions (both positive and negative); and key outcomes. If the project has not yet ended, provide projections for completion dates and final metrics. Include a discussion of objectives not fully met. Explain any barriers encountered and strategies used to overcome these.
- Describe steps taken toward integration and capacity building for components of the projects. Fully describe planned systems or policy improvements and enhancements.
- Describe how project results were disseminated or plans for future dissemination of results.

4.4.11. 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.

4.4.12. 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, services delivery, 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 2.10](#) will be administratively withdrawn.

- **Average Cost of Services:** The average cost of services will be automatically calculated from the total cost of the project divided by the total number of services (refer to [Appendix A](#)). A significant proportion of funds is expected to be used for program delivery as opposed to program development and organizational infrastructure.
- **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.
- **Services Costs:**
 - CPRIT reimburses for services using Medicare reimbursement rates. Describe the source of funding for all services where CPRIT funds are not requested.
 - CPRIT does not allow recovery of costs related to tests that have not been recommended by the USPSTF. In several cases (eg, breast self-exams, clinical breast exams, PSA tests), the Task Force has concluded there is not enough

evidence available to draw reliable conclusions about the additional benefits and harms of these tests. (See <https://www.uspreventiveservicestaskforce.org/>)

- **Other Expenses:**

- **Incentives:** Use of incentives or positive rewards to change or elicit behavior is allowed; however, incentives may only be used based on strong evidence of their effectiveness for the purpose and in the priority population identified by the applicant. CPRIT will not fund cash incentives. The maximum dollar value allowed for an incentive per person, per activity or session, is \$25.
- **Costs Not Related to Cancer Prevention and Control:** CPRIT does not allow recovery of any costs for services not related to cancer (eg, health physicals, HIV testing).

- **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](#).

4.4.13. 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.

4.4.14. 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.

The evaluation professional must provide a biographical sketch.

Up to 3 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 2 pages and should 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.

4.4.15. 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, clinical services, recruitment to screening).

4.4.16. Letters of Commitment (10 pages)

Applicants should provide 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 using a 2-stage peer review process: (1) evaluation of applications by peer review panels and (2) prioritization of grant applications by the Prevention Review Council. In the first stage, applications will be evaluated by an independent review panel using the criteria listed below. In the second stage, applications judged to be meritorious by review panels will be evaluated by the Prevention Review Council and recommended for funding based on comparisons with applications from all of the review panels and programmatic priorities. Programmatic considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service. The scores are only 1 factor considered during programmatic review. At the programmatic level of review, priority will be given to proposed projects that target geographic regions of the state or population subgroups that are not well represented in the current CPRIT Prevention project portfolio.

Applications approved by 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 to 703.8](#).

Each stage of application review is conducted confidentially, and all CPRIT Peer Review Panel members, 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.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer Review Panel members are listed by panel on CPRIT's website. **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

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, identified below. Review panels consisting of experts in the field and advocates will evaluate and score each primary criterion and subsequently assign an overall score that reflects an overall assessment of the application. The overall evaluation score will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application and responsiveness to the RFA priorities.

5.2.1. Primary Evaluation Criteria

Impact and Innovation

- Do the proposed services address an important problem or need in cancer prevention and control? Do the proposed project strategies support desired outcomes in cancer incidence, morbidity, and/or mortality? Does the proposed project demonstrate creativity, ingenuity, resourcefulness, or imagination? Does it take evidence-based interventions and apply them in innovative ways to explore new partnerships, new audiences, or improvements to systems? For continuation/expansion projects, does the proposed project build on its initial results (baseline)? Does it go beyond the initial project to address what the applicant has learned or explore new partnerships, new audiences, or improvements to systems?
- Does the program address adaptation, if applicable, of the evidence-based intervention to the priority population? Is the base of evidence clearly explained and referenced?
- Does the program address known gaps in prevention services and avoid duplication of effort?
- If applicable, have collaborative partners demonstrated that the collaborative effort will provide a greater impact on cancer prevention and control than the applicant organization's effort separately?
- Will the project reach and serve an appropriate number of people based on the budget allocated to providing services and the cost of providing services?

Project Strategy and Feasibility

- Does the proposed project provide services specified in the RFA?

- Are the overall program approach, strategy, and design clearly described and supported by established theory and practice? Are the proposed objectives and activities feasible within the duration of the award? Has the applicant convincingly demonstrated the short- and long-term impacts of the project?
- Are possible barriers addressed and approaches for overcoming them proposed?
- Are the priority population and culturally appropriate methods to reach the priority population clearly described?
- If applicable, does the application demonstrate the availability of resources and expertise to provide case management, including followup for abnormal results and access to treatment?
- Does the program leverage partners and resources to maximize the reach of the services proposed? Does the program leverage and complement other state, federal, and nonprofit grants?

Outcomes Evaluation

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed outcome measures appropriate for the services provided, and are the expected changes clinically significant?
- Does the application provide a clear and appropriate plan for data collection and management and data analyses?
- Are clear baseline data provided for the priority population, or are clear plans included to collect baseline data?
- If an evidence-based intervention is being adapted in a population where it has not been implemented or tested, are plans for evaluation of barriers, effectiveness, and fidelity to the model described?
- Is the qualitative analysis of planned policy or system changes described?

Organizational Qualifications and Capabilities

- Do the organization and its collaborators/partners demonstrate the ability to provide the proposed preventive services? Does the described role of each collaborating organization

make it clear that each organization adds value to the project and is committed to working together to implement the project?

- Have the appropriate personnel been recruited to implement, evaluate, and complete the project?
- Is the organization structurally and financially stable and viable?

Integration and Capacity Building

- Does the applicant describe steps that will be taken and components of the project that will be integrated into the organization through policies and practices?
- Does the applicant describe a plan for systems changes that are sustainable over time; eg, improve results, provider practice, efficiency, cost-effectiveness?
- Does the applicant describe steps that the applicant organization or other entities will take or components of the project that will remain (eg, trained personnel, identification of alternative resources, building internal assets) to continue the delivery of some or all components of the evidence-based intervention once CPRIT funding ends?

5.2.2. Secondary Evaluation Criteria

Budget

- Is the budget appropriate and reasonable for the scope and services of the proposed work?
- Is the cost per person served appropriate and reasonable?
- Is the proportion of the funds allocated for direct services reasonable?
- Is the project a good investment of Texas public funds?

Dissemination and Scalability

- Are plans for dissemination of the project's results and outcomes, including barriers encountered and successes achieved, clearly described?
- Some programs may have unique resources and may not lend themselves to replication by others. If applicable, does the applicant describe a plan for scalability/expansion of all or some components of the project by others in the state?

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 (posted on June 22, 2017), 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/>
- Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. <http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf>

9. REFERENCES

1. <http://www.cdc.gov/hpv/parents/questions-answers.html>
2. Texas Cancer Registry, Cancer Epidemiology and Surveillance Branch, Texas Department of State Health Services. <http://www.dshs.state.tx.us/tcr/default.shtm>

APPENDIX A: KEY TERMS

- **Activities:** A listing of the “who, what, when, where, and how” for each objective that will be accomplished
- **Capacity Building:** Any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee’s setting or community to continue the delivery of some or all components of the evidence-based intervention
- **Clinical Services:** Number of clinical services such as screenings, diagnostic tests, vaccinations, counseling sessions, or other evidence-based preventive services delivered by a health care practitioner in an office, clinic, or health care system. Other examples include genetic testing or assessments, physical rehabilitation, tobacco cessation counseling or nicotine replacement therapy, case management, primary prevention clinical assessments, and family history screening.
- **Education Services:** Number of evidence-based, culturally appropriate cancer prevention and control education and outreach services delivered to the public and to health care professionals. Examples include education or training sessions (group or individual), focus groups, and knowledge assessments.
- **Evidence-Based Program:** A program that is validated by some form of documented research or applied evidence. CPRIT’s website provides links to resources for evidence-based strategies, programs, and clinical recommendations for cancer prevention and control. To access this information, visit <http://www.cprit.texas.gov/prevention/resources-for-cancer-prevention-and-control>
- **Goals:** Broad statements of general purpose to guide planning. Outcome goals should be few in number and focus on aspects of highest importance to the project. ([Appendix B](#))
- **Integration:** The extent the evidence-based intervention is integrated within the culture of the grantee’s setting or community through policies and practice
- **Navigation Services:** Number of unique activities/services that offer assistance to help overcome health care system barriers in a timely and informative manner and facilitate cancer screening and diagnosis to improve health care access and outcomes (Examples

include patient reminders, transportation assistance, and appointment scheduling assistance.)

- **Number of Services (Direct Contact):** Number of services delivered directly to members of the public and/or professionals—direct, interactive public or professional education, outreach, training, navigation service, or clinical service, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults. Note that one individual may receive multiple services.
- **Objectives:** Specific, **measurable**, actionable, realistic, and timely projections for outcomes; example: “Increase screening service provision in X population from Y% to Z% by 20xx.” Baseline data for the priority population must be included as part of each objective. ([Appendix B](#))
- **People Reached (Indirect Contact):** Number of members of the public and/or professionals reached via indirect noninteractive public or professional education and outreach activities, such as mass media efforts, brochure distribution, public service announcements, newsletters, and journals (This category includes individuals who would be reached through activities that are directly funded by CPRIT as well as individuals who would be reached through activities that occur as a direct consequence of the CPRIT-funded project’s leveraging of other resources/funding to implement the CPRIT-funded project).
- **People Served (Direct Contact):** Number of members of the public and/or professionals served via direct, interactive public or professional education, outreach, training, navigation service, or clinical service. This category includes individuals who would be served through activities that are directly funded by CPRIT as well as individuals who would be served through activities that occur as a direct consequence of the CPRIT-funded project’s leveraging of other resources/funding to implement the CPRIT-funded project.

APPENDIX B: 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 only (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 measures participant changes resulting from a specific program, using these factors:
 - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
 - Attitudes – feeling about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetable 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 outcome 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 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. 2017-12-11- PREV
Program Name: Prevention
Panel Name: FY18.1 Prevention Panel 1 (PP-1)

Panel Date: December 11-12, 2017
Report Date: December 12, 2017

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 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 Peer Review Meeting - Panel 1 peer review of applications for FY18 funding. The meeting was chaired by Ross Brownson and held at the Marriott Suites Medical/Market Center in Dallas, Texas on December 11-12, 2017.

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 by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The peer review panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Prevention peer review meeting held in-person. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the peer review meeting:

- Seventeen applications were discussed during the Prevention peer review meeting to score applications for funding;
- Participants: twelve reviewers participated during the two-day meeting, including the Panel Chairperson; two advocate reviewers; and nine review panelists. One reviewer participated via teleconference; one reviewer participated only on the first day of the panel.
- One additional participant (Dr. Stephen Wyatt, Prevention Review Council Chairman) participated via teleconference;
- Two CPRIT staff members and four CSRA employees participated in the meeting either in person or via teleconference. We confirmed with CSRA that one additional CSRA staff member was present on the premises in an information technology support capacity.
- Four other attendees participated during the meeting, including two oversight committee members and two contractors who participated in technical or logistics support roles;
- 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;
- The panelists' discussions were limited to the application evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Three applications with six COIs were identified prior to the meeting; one application had four COIs.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted application;
- All reviewers with a conflict of interest signed out on the COI log when leaving the room.

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 Peer Review Meeting 18.1 – Panel 1 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,

A handwritten signature in cursive script that reads "Paul Morris".

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

December 12, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-12-13- PREV
Program Name: Prevention
Panel Name: FY18.1 Prevention Panel 2 (PP-2)

Panel Date: December 13-14, 2017
Report Date: December 14, 2017

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 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 Peer Review Meeting - Panel 2 peer review of applications for FY18 funding. The meeting was chaired by Nancy Lee and held at the Marriott Suites Medical/Market Center in Dallas, Texas on December 13-14, 2017.

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 by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The peer review panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Prevention peer review meeting held in-person. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the peer review meeting:

- Sixteen applications were discussed during the Prevention peer review meeting to score applications for funding;
- Participants: eleven reviewers participated during the two-day meeting, including the Panel Chairperson; two advocate reviewers; and eight review panelists.
- One additional participant (Dr. Stephen Wyatt, Prevention Review Council Chairman) participated via teleconference;
- Two CPRIT staff members and four CSRA employees participated in the meeting either in person or via teleconference.
- Three other attendees were present during the meeting, including one oversight committee member who attended briefly during day two and two contractors who participated in technical or logistics support roles;
- 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;
- The panelists' discussions were limited to the application evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Five applications with six COIs were identified prior to the meeting; only four applications with COIs were discussed; one application discussed had two COIs.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted application;
- All reviewers with a conflict of interest signed out on the COI log when leaving the room.

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 Peer Review Meeting 18.1 – Panel 2 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,

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

December 14, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2018-01-18 PRC_18.1
Program Name: Prevention
Panel Name: Prevention Review Council 18.1 (PRC_18.1)

Panel Date: January 18, 2018
Report Date: January 18, 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 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 Review Council 18.1 meeting. The meeting was held via teleconference on January 18, 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 by Prevention Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Prevention Review Council discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

The BFS independent observers participated in the Prevention Review Council meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Prevention Review Council meeting:

- Twelve applications were discussed to score the applications for recommendations;
- One additional application from Dissemination Intervention Panel 18.2 was discussed to score the application for recommendation;
- Participants: three Prevention Review Council members participated in the meeting;
- Two CPRIT staff members 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;
- The 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.

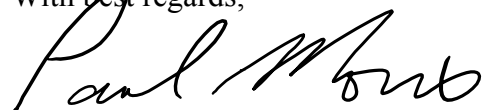
Conclusion

In conclusion; we observed that the activities of Prevention Review Council 18.1 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,



Paul Morris, CPA, CIA

Vice President, Compliance and Advisory Services
Business and Financial Management Solutions, LLC
January 18, 2018

cc: Vince Burgess, Chief Compliance Officer



Cancer Prevention and Research Institute of Texas (CPRIT)
FY 18.2 Prevention Council Programmatic Review
Observation Report

Report No. 2018-07-06_18.2_PRV_PRC
Program Name: Prevention
Panel Name: FY18.2 Prevention Review Council Programmatic Review

Panel Date: July 6, 2018
Report Date: July 9, 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 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 FY18.2 Prevention Review Council Programmatic Review. The meeting was chaired by Stephen Wyatt and conducted by teleconference on July 6, 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;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Prevention peer review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Thirteen (13) applications were discussed;
- Panelists: One (1) panel chair, two (2) expert reviewers and zero (0) advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria;
- One (1) CSRA staff employee was present on the phone;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- One (1) CPRIT staff member was present on the phone;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;

Regarding applications with a conflict of interest (COIs):

- Zero (0) COIs were identified prior to and/or during the meeting.

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.

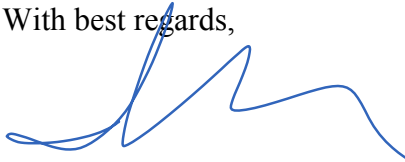
Conclusion

In conclusion; we observed that the activities of the FY18.2 Prevention Review Council Programmatic Review panel 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Prevention 18.1 Applications
(Prevention 18.1 Awards Announced at February 21, 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 18.1 include *Evidence-Based Cancer Prevention Services* and *Tobacco Control and Lung Cancer Screening*. 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			
PP180040	Mark Hernandez	Community Care Collaborative	David Momrow;Frank Bright;Michael Eriksen;Marcus Plescia
PP180044	Walter Calmbach	The University of Texas Health Science Center at San Antonio	Michael Eriksen
PP180061	Adriana Valdes	Cancer and Chronic Disease Consortium	Ross Brownson
PP180024	Kathleen Schmeler	The University of Texas M. D. Anderson Cancer Center	Robin Vanderpool
PP180033	Theresa Byrd	Texas Tech University Health Sciences Center	Heather Brandt
PP180034	Theodora Ross	The University of Texas Southwestern Medical Center	Jamie Studts
PP180043*	Harrys Torres	The University of Texas M. D. Anderson Cancer Center	Robin Vanderpool
PP180060	Tina Megdal	Legacy Community Health Services	Heather Brandt;Robin Vanderpool

* = Not discussed

Prevention Cycle 18.1

De-Identified Overall Evaluation Scores

Evidence Based Cancer Prevention Services

Prevention Cycle 18.1

As allowed in 25 T.A.C. § 703.6(d)(1), the PRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

Application ID	Final Overall Evaluation Score
PP180003*	1.7
PP180031*	1.8
PP180026**	2.0
la	2.0
PP180018**	2.5
lb	2.7
PP180012**	2.7
PP180037*	3.3
Lc	3.5
Ld	3.5
Le	3.6
Lf	3.7
Lg	3.8
Lh	3.8
Li	4.3
Lj	4.3
Lk	4.4
Ll	4.6
Lm	4.6
Ln	4.7
Lo	4.7
Lp	4.9
Lq	5.2
Lr	5.5
Ls	6.0
Lt	6.1
Lu	6.3
Lv	6.3
Lw	6.3
Lx	6.5
ly	6.6

* = Recommended for Funding at February 2018 Oversight Committee meeting

**=Recommended for funding at August 2018 Oversight Committee meeting. The Prevention Review Council previously took no action on PP180026, PP180018, and PP180012.

Final Overall Evaluation Scores and Rank Order Scores

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 applicants on the attached list of submitted proposals responded to CPRIT requests for applications (RFA) released for the first review cycle of FY 2018.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are provided for each grant application. The proposed budget reduction for two recommended projects assures that sufficient funds are available to support all recommended Prevention grants for this cycle. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for this fiscal year is \$27,728,152. These recommended projects total \$12,806,002 and the one Dissemination project recommendation is \$299,571 (see separate memo) for a total of \$13,105,573.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,

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

Application ID	Mechanism	Application Title	PD	Organization	Req. Budget	Score	SD	PRC Funding Recommendation	Rank Order	Comments	Rec Budget
PP170121	EBP	Evidence-Based Hepatocellular Cancer Prevention through Targeted Hepatitis C Screening and Navigation	Jain, Mamta	The University of Texas Southwestern Medical Center	\$1,445,549	1.3	0.5	Yes	1	10% budget reduction recommended	\$ 1,300,994
PP180003	EBP	BEST 2: Breast Cancer Education Screening and Navigation (BEST)Program for El Paso and West Texas	Shokar, Navkiran K	Texas Tech University Health Sciences Center at El Paso	\$1,499,908	1.7	0.5	Yes	2		\$ 1,499,908
PP180031	EBP	Get FIT to Stay Fit. Stepping Up to Fight Colorectal Cancer in the Panhandle.	Obokhare , Izi D	Texas Tech University Health Sciences Center	\$1,498,476	1.8	0.4	Yes	3		\$ 1,498,476
PP180016	TCL	Equitable Access to Lung Cancer Screening and Smoking Cessation Treatment: A Comprehensive Primary Care and Community Health Approach	Zoorob, Roger	Baylor College of Medicine	\$1,472,918	2	0	Yes	4		\$ 1,472,918
PP170078	CRC	Alliance for Colorectal Cancer Testing 2.0 (ACT 2.0)	Foxhall, Lewis E	The University of Texas M. D. Anderson Cancer Center	\$4,482,785	3.1	0.4	Yes	5	Cancer Type and Potential for Impact/ROI; 10% budget reduction recommended	\$ 4,034,507
PP180025	TCL	Lung Cancer Screening and Patient Navigation (LSPAN)	Argenbright, Keith E	The University of Texas Southwestern Medical Center	\$1,499,997	3.3	1	Yes	6	Cancer Type and Potential for Impact/ROI	\$ 1,499,997
PP180037	EBP	Advancing an Established Colorectal Cancer Prevention Program for Rural and Underserved Texans through A&M's Family Medicine Residency	McClellan, David A	Texas A&M University System Health Science Center	\$1,499,202	3.3	0.8	Yes	7	Cancer Type, Geographic Distribution and Potential for Impact/ROI	\$ 1,499,202

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 applicants on the attached list of submitted proposals responded to CPRIT requests for applications (RFA) released for the second review cycle of FY2018.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are provided for each grant application. The proposed budget reduction of 10.02% for all recommended projects assures that sufficient funds are available to support all recommended Prevention grants for this cycle. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for the remainder of fiscal year 2018 is \$14,322,579. These recommended projects total \$14,322,379.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,

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

Application ID		Application Title	PD	Organization	Score	Rank Order	recommended budget
PP180080	EBP	HPV Vaccination in a Pediatric Minority-Based Community Oncology Network	Grimes, Allison	The University of Texas Health Science Center at San Antonio	1.6	1	\$1,010,690
PP180091	EPS	STOP-HCC Expansion Grant	Jain, Mamta	The University of Texas Southwestern Medical Center	1.9	2	\$2,592,731
PP180026	EBP	Pasos Para Prevenir Cancer: Obesity-related Cancer Prevention in El Paso	Salinas, Jennifer J	Texas Tech University Health Sciences Center at El Paso	2.0	3	\$1,244,512
PP180086	EBP	Liver Cancer Prevention among those with Experiences of Homelessness	Schick, Vanessa R	The University of Texas Health Science Center at Houston	2.3	4	\$1,159,751
PP180082	EBP	West Texas HCV Screening and Linkage to Care Program	Gallegos, Patricia	Centro San Vicente	2.4	5	\$1,349,700
PP180018	EBP	BSPAN4: Optimizing Spatial Access to High-Quality Breast Screening & Patient Navigation for Rural Underserved Women across North Texas	Lee, Simon Craddock	The University of Texas Southwestern Medical Center	2.5	6	\$1,349,700
PP180077	TCL	Increasing Access to Smoking Cessation and Smoke Free Home Services for Low-Income Pregnant Women in Northeast Texas	Blalock, Janice A	The University of Texas M. D. Anderson Cancer Center	2.6	7	\$1,346,919
PP180092	TCL	Tobacco Services for Primary Care & Cancer Patients at UT Health San Antonio	Ramirez, Amelie G	The University of Texas Health Science Center at San Antonio	2.6	8	\$1,324,982
PP180012	EBP	Vaccinating medically underserved women against HPV	Berenson, Abbey B	The University of Texas Medical Branch at Galveston	2.7	9	\$1,344,926
PP180089	EPS	Adolescent Vaccination Program (AVP): Expanding a Successful Clinic-based Multicomponent HPV Vaccination Program to the San Antonio Area	Vernon, Sally W	The University of Texas Health Science Center at Houston	2.8	10	\$1,598,468



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 2
Evidence-Based Cancer Prevention Services

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-18.2-EBP

Evidence-Based Cancer Prevention Services

**Please also refer to the Instructions for Applicants document,
which will be posted on November 20, 2017**

Application Receipt Opening Date: November 20, 2017
Application Receipt Closing Date: February 21, 2018

FY 2018

Fiscal Year Award Period
September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 10/27/17 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 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

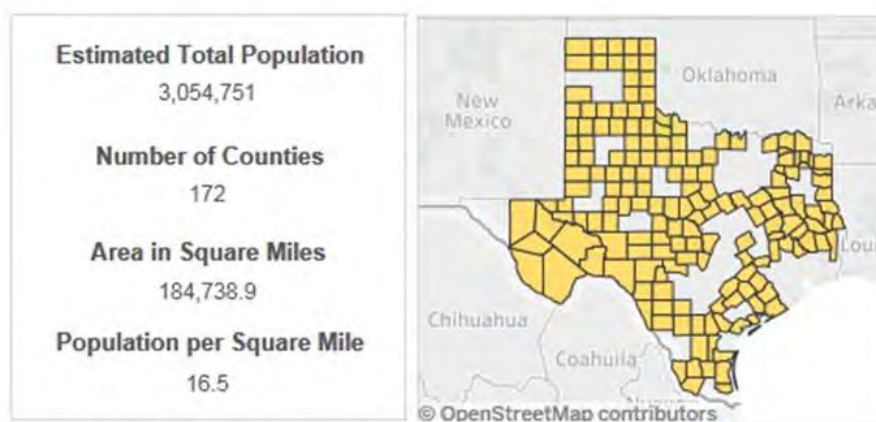
The ultimate goals of the CPRIT Prevention Program are to reduce overall cancer incidence and mortality and to improve the lives of individuals who have survived or are living with cancer. The ability to reduce cancer death rates depends in part on the application of currently available evidence-based technologies and strategies. CPRIT fosters 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 **Evidence-Based Cancer Prevention Services (EBP)** award mechanism seeks to fund programs that greatly challenge the status quo in cancer prevention and control services. The proposed program should be designed to reach and serve as many people as possible.

Eligible applicants include only new projects or previously funded CPRIT Prevention projects with a contract end date before September 1, 2016. Eligible applicants must include the delivery of services to nonmetropolitan (rural) and medically underserved counties in the state. These may be identified via Web-based tools from the [Texas Department of State Health Services](#) and [US Department of Health and Human Services](#) respectively (eg, see below).

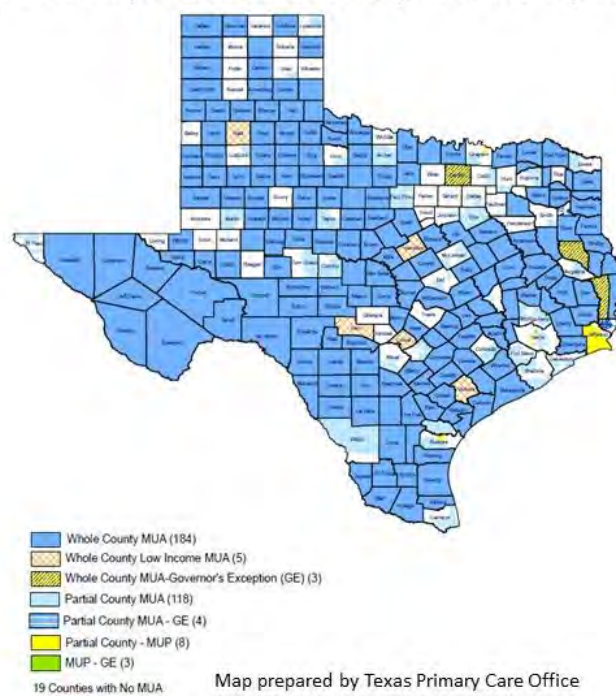
Health Facts Profiles Non-Metropolitan Counties, 2013

Demography / Population



Data source: Center for Health Statistics, Texas Department of State Health Services

Texas Medically Underserved Areas (MUA) and Populations (MUP)



Data source: US Health Resources and Services Administration Data Warehouse, October 2016

Partnerships with other organizations that can support and leverage resources are strongly encouraged. A coordinated submission of a collaborative partnership program in which all partners have a substantial role in the proposed project is preferred.

2.2. Project Objectives

CPRIT seeks to fund projects that will do the following:

- Deliver comprehensive projects comprising all of the following: public and/or professional education, outreach, delivery of clinical services, follow-up navigation, and system and/or policy improvements.
- Offer effective and efficient systems of delivery of prevention services based on the existing body of knowledge about and evidence for cancer prevention in ways that far exceed current performance in a given service area;
- Implement policy changes and/or system improvements that are sustainable over time (eg, decrease wait times between positive screen and diagnostic tests and treatment through improved navigation, reminder systems, etc) and treatment;

- Provide tailored, culturally appropriate outreach and accurate information on early detection and prevention to the public and health care professionals that results in a health impact that can be measured; and
- Deliver evidence-based survivorship services aimed at reducing the morbidity associated with cancer diagnosis and treatment.

2.3. Award Description

The Evidence-Based Cancer Prevention Services RFA solicits applications for eligible projects up to 36 months in duration that will deliver evidence-based services in cancer prevention and control to nonmetropolitan (rural) and medically underserved counties in Texas.

In addition to other primary prevention and screening/early detection services, CPRIT considers counseling services (eg, tobacco cessation, survivorship, exercise, and nutrition) when done on a one-on-one basis or in small groups as clinical services. This mechanism will fund case management/patient navigation to screening, to diagnostic testing, and to treatment. Applicants must ensure that there is access to treatment services for patients with cancers or precancers that are detected as a result of the project and must describe the process for ensuring access to treatment services in their application.

Applicants should not request funds for any of the above components if these components are already being funded from other sources.

The following are required components of the project:

- **Geographic Area to be Served:** Clinical service delivery to nonmetropolitan/medically underserved area (MUA) counties is required. Service to urban/non-medically underserved counties is allowable as long as the project proposes to also serve nonmetropolitan/medically underserved counties. Eligible projects in nonmetropolitan/medically underserved geographic areas not well served by the CPRIT portfolio (see maps at <http://www.cprit.texas.gov/prevention/cprit-portfolio-maps>), will receive priority consideration.
- **Comprehensive Projects:** Comprehensive projects include a continuum of services and systems and policy changes and comprise all of the following: Public and professional education and training, outreach, delivery of screening and diagnostic services, follow-up navigation, data collection and tracking, and systems improvement.

- **Evidence Based:** CPRIT's service grants are intended to fund effective and efficient systems of delivery of prevention services based on the existing body of knowledge about and evidence for cancer prevention in ways that far exceed current performance in a given service area. The provision of clinical services must comply with established and current national guidelines (eg, US Preventive Services Task Force [USPSTF], American Cancer Society, etc).

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data (eg, availability of resources and screening coverage) for the target population and target service region are required. If no baseline data exist, the applicant must present clear plans and describe method(s) of measurement used to collect the data necessary to establish a baseline.

Clinical Service and Community Partner Networks. If applicable to the proposed project, applicants are encouraged to coordinate and describe a collaboration of clinical service providers and community partners that can deliver outreach, education, clinical, and navigation services to the most counties and the most people possible in a selected service region. Partnerships with other organizations that can support and leverage resources (ie, community-based organizations, local and voluntary agencies, nonprofit agencies, groups that represent priority populations, etc) are encouraged. Letters of commitment or memoranda of understanding describing their specific role in the partnership will strengthen the application.

In cases where the project proposes to work with multiple clinical providers, the Program Director (PD) should facilitate the establishment of standard protocols for all clinical service providers in the network as well as standard systems, policies, and procedures for the participating clinical service providers and organizations. These may include, but are not limited to, patient tracking and timely followup of all abnormal screening results and/or diagnoses of cancer.

CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area) in the provision of evidence-based services, changes in provider practice, systems changes, and cost-effectiveness. Applicants must demonstrate how these outcomes will ultimately impact incidence, mortality, morbidity, or quality of life.

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

- **Projects focused solely on metropolitan/non-medically underserved counties.**
- **Currently funded CPRIT Prevention projects or projects with a contract end date of September 1, 2017, or after.** These applicants should apply under the Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS) RFA.
- **Projects focusing solely on systems and/or policy change or solely on education and/or outreach** that do not include the delivery of services.
- **Projects focusing solely on case management/patient navigation services.** Case management/patient navigation services must be paired with the delivery of a clinical service. Furthermore, while navigation to the point of treatment of cancer is required when cancer is discovered through a CPRIT-funded project, applications seeking funds to provide coordination of care while an individual is in treatment are not allowed under this RFA.
- **Projects focusing on tobacco prevention and/or cessation for any age or computerized tomography screening for lung cancer for ages 55 to 77** should apply under CPRIT's Tobacco Control and Lung Cancer Screening RFA.
- **Projects involving prevention/intervention research.** Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at <http://www.cprit.texas.gov>).
- **Resources for the treatment of cancer or viral treatment for hepatitis.**

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.

The Prevention Program's priorities for funding include the following:

1) Populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence

CPRIT programs must address underserved populations. Underserved populations are subgroups that are disproportionately affected by cancer. CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals;

- Medically unserved or underserved populations;
- Racial, ethnic, and cultural minority populations;
- Individuals with higher prevalence of cancer risk factors (eg, obesity, tobacco use, alcohol misuse, unhealthy eating, sedentary lifestyle);
- 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 (more than 5 years for breast/cervical cancers).

The age of the priority population and frequency of screening for provision of clinical services described in the application must comply with established and current national guidelines (eg, USPSTF, American Cancer Society).

2) Geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence.

While disparities and needs exist across the state, CPRIT will also prioritize applications proposing to serve geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence. For this RFA, projects must propose to serve nonmetropolitan and/or MUAs of the state. In addition, projects addressing areas of emphasis (see [section 2.5](#)) will receive priority consideration.

Geographic and Population Balance in Current CPRIT portfolio:

At the programmatic level of review conducted by the Prevention Review Council (see [section 5.1](#)), priority will be given to projects that target geographic regions of the state and population subgroups that are not adequately covered by the current CPRIT Prevention project portfolio (see <http://www.cprit.texas.gov/prevention/resources-for-cancer-prevention-and-control> and <http://www.cprit.texas.gov/funded-grants>).

2.5. Specific Areas of Emphasis

CPRIT has identified the following areas of emphasis for this cycle of awards.

<u>Primary Prevention</u>
HPV Vaccination

<ul style="list-style-type: none"> Increasing access to, delivery of, and completion of the HPV vaccine regimen to males and females through evidence-based intervention efforts in all areas of the state.¹
Liver Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates for hepatocellular cancer by increasing the provision of vaccination and screening for hepatitis B virus (HBV) and screening for hepatitis C virus (HCV).
<ul style="list-style-type: none"> Screening for HBV infection and HCV infection in populations at high risk of infection and 1-time screening for HCV infection in adults born between 1945 and 1965.
<ul style="list-style-type: none"> Increasing screening rates in Public Health Region (PHR) 8, 10, and 11. Incidence rates are highest in PHR 8 and 11 while mortality rates are highest in PHR 10 and 11.²
<u>Secondary Prevention - Screening and Early Detection Services</u>
Colorectal Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates of colorectal cancer in racial/ethnic populations. Blacks have the highest incidence and mortality rates, followed by non-Hispanic whites and Hispanics.²
<ul style="list-style-type: none"> Increasing screening/detection rates in PHR 2, 4, and 5, where the highest rates of cancer incidence and mortality are found. Decreasing incidence and mortality rates in nonmetropolitan counties. Incidence and mortality rates are higher in nonmetropolitan counties compared with metropolitan counties.²
Breast Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates of breast cancer in racial/ethnic populations. The mortality rate is significantly higher in blacks than in other populations.²
<ul style="list-style-type: none"> Increasing screening/detection rates in medically underserved areas of the state.
Cervical Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates of cervical cancer in racial/ethnic populations. Hispanics have the highest incidence rates while blacks have the highest mortality rates.²

<ul style="list-style-type: none"> Increasing screening/detection rates for women in PHR 2, 4, 8, and 11. Incidence is highest in Texas-Mexico border counties (PHR 8 and 11). The mortality rate is highest in PHR 2, 4, and 11.²
<u>Tertiary Prevention – Survivorship Services</u>
<ul style="list-style-type: none"> Preventing secondary cancers and recurrence of cancer through evidence-based interventions.
<ul style="list-style-type: none"> Improving quality of life of cancer survivors by managing the after effects of cancer, including the use of survivorship care plans.

2.6. Outcome Metrics

Applicants are required to clearly describe their assessment and evaluation methodology. The applicant is required to describe final outcome measures for the project. Output measures that are associated with the final outcome measures should be identified and will serve as a measure of program effectiveness. Planned policy or system changes should be identified and the plan for qualitative analysis described. **Baseline data for each measure proposed are required.** In addition, applicants should describe how funds from the CPRIT grant will improve outcomes over baseline. If the applicant is not providing baseline data for a measure, the applicant must provide a well-justified explanation and describe clear plans and method(s) of measurement to collect the data necessary to establish a baseline. Applicants are required to fully describe any planned systems or policy changes or improvements.

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:
 - Summary page, including narrative on project progress (required);
 - Services, other than clinical services, provided to the public/professionals;
 - Actions taken by people/professionals as a result of education or training;
 - Clinical services provided (county of residence of client is required); and

- Precursors and cancers detected.
- Annual and final progress report sections include, but are not limited to, the following:
 - Key accomplishments, **including qualitative analysis of policy change and/or lasting systems change;**
 - Progress toward goals and outcome objectives, including percentage increase over baseline in provision of age- and risk-appropriate comprehensive preventive services to eligible individuals in a defined service area;
 - Materials produced and publications; and
 - Economic impact of the project.

2.7. Eligibility

- Eligible applicants include only new cancer prevention projects or previously funded CPRIT Prevention projects with a contract end date before September 1, 2017.
- 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 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 evaluation of the project must be headed by a professional who has demonstrated expertise in the field and who resides in Texas during the time that the project is conducted.
- The applicant may submit more than 1 application, but each application must be for distinctly different services without overlap in the services provided. Applicants who do not meet this criterion will have all applications administratively withdrawn without peer review.

- If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.
- If the applicant or a partner is an existing DSHS contractor, CPRIT funds may not be used as a match, and the application must explain how this grant complements or leverages existing state and federal funds. DSHS contractors who also receive CPRIT funds must be in compliance with and fulfill all contractual obligations within CPRIT. CPRIT and DSHS reserve the right to discuss the contractual standing of any contractor receiving funds from both entities.
- 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 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.
- 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.
- 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 \$1.5 million in total funding over a maximum of 36 months. Grant funds may be used to pay for clinical services, navigation

services, salary and benefits, project supplies, equipment, costs for outreach and education of populations, 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 proportional to the number of individuals receiving programs and services, and a significant proportion of funds is expected to be used for program delivery as opposed to program development. 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

RFA

RFA release October 27, 2017

Application

Online application opens November 20, 2017, 7 AM central time

Application due February 21, 2018, 4 PM central time

Application review May-July 2018

Award

Award notification August 2018

Anticipated start date August 31, 2018

Applicants will be notified of peer review panel assignment prior to the peer review meeting dates.

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 November 20, 2017, and must be submitted by 4 PM central time on February 21, 2018. 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 in the specific service area. Include rates of incidence, mortality, and screening in the service area compared to overall Texas rates. Describe barriers, plans to overcome these barriers, and the priority population to be served.
- **Overall Project Strategy:** Describe the project and how it will address the identified need. Clearly explain what the project is and what it will specifically do, including the services to be provided and the process/system for delivery of services and outreach to the priority population.
- **Specific Goals:** State specifically the overall goals of the proposed project; include the estimated overall numbers of people (public and/or professionals) reached and people (public and/or professionals) served.
- **Innovation:** Describe the creative components of the proposed project and how it differs from current programs or services being provided.
- **Significance and Impact:** Explain how the proposed project, if successful, will have a unique and major impact on cancer prevention and control for the population proposed to be served 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 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives. See [Appendix B](#) for instructions on writing outcome goals and objectives.

A baseline and method(s) of measurement are required for each objective. Provide both raw numbers and percent changes for the baseline and target. If a baseline has not 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, 2, 3, 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: Briefly present the rationale behind the proposed service, emphasizing the critical barriers to current service delivery that will be addressed. Identify the evidence-based service to be implemented for the priority population. If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data for the priority population and target service area are required where applicable. Reviewers will be aware of national and state statistics, and these should be used only to compare rates for the proposed service area. Describe the geographic region of the state that the project will serve; maps are encouraged.

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 B](#) for instructions on writing goals and objectives.

Components of the Project: Clearly describe the need, delivery method, and evidence base (provide references) for the services as well as anticipated results. Be explicit about the base of evidence and any necessary adaptations for the proposed project. Describe why this project is nonduplicative, creative, or unique. If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.

It is important to distinguish between Texas counties where the project proposes to deliver services and counties of residence of population served (see [Appendix A](#) for definitions and Instructions for Applicants). Only counties with service delivery should be listed in the Geographic Area to be Served section of the application. Projecting counties of residence of population served is not required but may be described in the project plan.

Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline and the ability to reach the priority population. Applicants must also clearly describe plans to ensure access to treatment services should cancer be detected.

Evaluation Strategy: A strong commitment to evaluation of the project is required. Describe the plan for outcome and output measurements, including qualitative analysis of policy and system changes. Describe data collection and management methods, data analyses, and anticipated results. Evaluation and reporting of results should be headed by a professional who has demonstrated expertise in the field. 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 involve that professional during grant application preparation to 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 track record and success in providing programs and services. Describe the role and qualifications of the key collaborators/partners in the project. Include information on the organization's financial stability and viability. To ensure access to preventive services and reporting of services outcomes, applicants should demonstrate that they have provider partnerships and agreements (via memoranda of understanding) or commitments (via letters of commitment) in place.

Integration and Capacity Building: CPRIT funds projects that target the unmet needs not sufficiently covered by other funding sources, and full maintenance of the project may not be feasible. This is especially the case when the project involves the delivery of clinical services. Educational and other less costly interventions may be more readily sustained. Full maintenance of a project, the ability of the grantee's setting or community to continue to deliver the health benefits of the intervention as funded, is not required; however, efforts toward maintenance should be described.

It is expected that steps toward integration and capacity building for components of the project will be taken and plans for such be fully described in the application. *Integration* is defined as the extent the evidence-based intervention is integrated within the culture of the grantee's setting or community through policies and practice. The applicant should develop and describe a plan for systems changes that are sustainable over time (improve results, provider practice, efficiency, cost-effectiveness) as well as describe entities that could continue and integrate components of the project after CPRIT support ends. *Capacity building* is any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee's setting or community to continue the delivery of some or all components of the evidence-based intervention.

Elements of integration and capacity building may include, but are not limited to, the following:

- Developing ownership, administrative networks, and formal engagements with stakeholders;
- Developing processes for each practice/location to incorporate services into its structure beyond project funding;
- Identifying and training of diverse resources (human, financial, material, and technological);
- Implementing policies to improve effectiveness and efficiency (including cost-effectiveness) of systems.

Dissemination and Scalability (Expansion): Dissemination of project results and outcomes, including barriers encountered and successes achieved, is critical to building the evidence base for cancer prevention and control efforts in the state. Dissemination methods may include, but are not limited to, presentations, publications, abstract submissions, and professional journal articles, etc.

Describe how the project lends itself to dissemination to or application by other communities and/or organizations in the state or expansion in the same communities.

4.4.5. People Reached (Indirect Contact)

Provide the estimated overall number of people (members of the public and professionals) to be reached by the funded project. The applicant is required to itemize separately the types of

indirect noninteractive education and outreach activities, with estimates, that led to the calculation of the overall estimates provided. Refer to [Appendix A](#) for definitions.

4.4.6. Number of Services Delivered (Direct Contact)

Provide the estimated overall number of services directly delivered to members of the public and to professionals by the funded project. Each service should be counted, regardless of the number of services one person receives. The applicant is required to itemize separately the education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimate provided. Refer to [Appendix A](#) for definitions.

4.4.7. Number of Unique People Served (Direct Contact)

Provide the estimated overall number of unique members of the public and professionals served by the funded project. One person may receive multiple services but should only be counted once here. Refer to [Appendix A](#) for definitions.

4.4.8. 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 services.

4.4.9. 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.

4.4.10. Most Recently Funded Project Summary (if applicable) (3 pages)

Upload a summary that outlines the progress made with the most recently funded CPRIT award. Applicants must describe results and outcomes of the most recently funded award and demonstrate why further funding is warranted.

Please note that a different set of reviewers from those assigned to the previously funded application may evaluate this application. Applicants should make it easy for reviewers to compare the most recently funded project with the proposed project.

In the description, include the following:

- Describe the evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- List approved goals and objectives of the most recently funded grant.
- For each objective, provide the following information:
 - Milestones/target dates and target metrics
 - Actual completion dates and metrics
- For the most recently funded project, describe major activities; significant results, including major findings, developments or conclusions (both positive and negative); and key outcomes. Include a discussion of objectives not fully met. Explain any barriers encountered and strategies used to overcome these.
- Describe steps taken toward integration and capacity building for components of the projects. Fully describe systems or policy improvements and enhancements.
- Describe how project results were disseminated or plans for future dissemination of results.

4.4.11. 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.

4.4.12. 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, services delivery, 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.

- **Average Cost of Services:** The average cost of services will be automatically calculated from the total cost of the project divided by the total number of services (refer to [Appendix A](#)). A significant proportion of funds is expected to be used for program delivery as opposed to program development and organizational infrastructure.
- **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.
- **Services Costs:**
 - CPRIT reimburses for services using Medicare reimbursement rates. Describe the source of funding for all services where CPRIT funds are not requested.
 - CPRIT does not allow recovery of costs related to tests that have not been recommended by the USPSTF. In several cases (eg, breast self-exams, clinical breast exams, PSA tests), the Task Force has concluded there is not enough evidence available to draw reliable conclusions about the additional benefits and harms of these tests. (See <https://www.uspreventiveservicestaskforce.org/>)
- **Other Expenses:**
 - **Incentives:** Use of incentives or positive rewards to change or elicit behavior is allowed; however, incentives may only be used based on strong evidence of their effectiveness for the purpose and in the priority population identified by the applicant. CPRIT will not fund cash incentives. The maximum dollar value allowed for an incentive per person, per activity or session, is \$25.
 - **Costs Not Related to Cancer Prevention and Control:** CPRIT does not allow recovery of any costs for services not related to cancer (eg, health physicals, HIV testing).

- **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](#).

4.4.13. 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.

4.4.14. 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.

The evaluation professional must provide a biographical sketch.

Up to 3 additional biographical sketches for key personnel may be provided.

Each biographical sketch must not exceed 2 pages and should 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.

4.4.15. 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, clinical services, recruitment to screening).

4.4.16. Letters of Commitment (10 pages)

Applicants should provide letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program. Letters should be specific to the contribution of each organization.

5. APPLICATION REVIEW

5.1. Review Process Overview

All eligible applications will be reviewed using a 2-stage peer review process: (1) evaluation of applications by peer review panels and (2) prioritization of grant applications by the Prevention Review Council. In the first stage, applications will be evaluated by an independent review panel using the criteria listed below. In the second stage, applications judged to be meritorious by review panels will be evaluated by the Prevention Review Council and recommended for funding based on comparisons with applications from all of the review panels and programmatic priorities. Programmatic considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service. The scores are only 1 factor considered during programmatic review. At the programmatic level of review, priority will be given to proposed projects that target geographic regions of the state or population subgroups that are not well represented in the current CPRIT Prevention project portfolio.

Applications approved by 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 to 703.8](#).

Each stage of application review is conducted confidentially, and all CPRIT Peer Review Panel members, 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.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer Review Panel members are listed by panel on CPRIT's website. **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

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, identified below. Review panels consisting of experts in the field and advocates will evaluate and score each primary criterion and subsequently assign an overall score that reflects an overall assessment of the application. The overall evaluation score will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application and responsiveness to the RFA priorities.

5.2.1. Primary Evaluation Criteria

Impact and Innovation

- Do the proposed services address an important problem or need in cancer prevention and control and avoid duplication of effort? Does the proposed project demonstrate creativity, ingenuity, resourcefulness, or imagination? Does it take evidence-based interventions and apply them in innovative ways to explore new partnerships, new audiences, or improvements to systems?
- If applicable, does the proposed project build on its initial results and/or infrastructure? Does it address what the applicant has learned or explore new partnerships, new audiences, or improvements to systems?
- Does the program address adaptation, if applicable, of the evidence-based intervention to the priority population? Is the base of evidence clearly explained and referenced?
- Will the project reach and serve an appropriate number of people based on the budget allocated to providing services and the cost of providing services?

Project Strategy and Feasibility

- Does the proposed project provide services specified in the RFA?
- Are the overall program approach, strategy, and design clearly described and supported by established theory and practice? Are the proposed objectives and activities feasible within the duration of the award? Has the applicant convincingly demonstrated the short- and long-term impacts of the project?
- Has the applicant proposed policy changes and/or system improvements?
- Are possible barriers addressed and approaches for overcoming them proposed?
- Are the priority population and culturally appropriate methods to reach the priority population clearly described?
- If applicable, does the application demonstrate the availability of resources and expertise to provide case management, including followup for abnormal results and access to treatment?
- Does the program leverage partners and resources to maximize the reach of the services proposed? Does the program leverage and complement other state, federal, and nonprofit grants?

Outcomes Evaluation

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed outcome measures appropriate for the services provided, and are the expected changes clinically significant?
- Does the application provide a clear and appropriate plan for data collection and management and data analyses?
- Are clear baseline data provided for the priority population, or are clear plans included to collect baseline data?
- If an evidence-based intervention is being adapted in a population where it has not been implemented or tested, are plans for evaluation of barriers, effectiveness, and fidelity to the model described?
- Is the qualitative analysis of planned policy or system changes described?

Organizational Qualifications and Capabilities

- Do the organization and its collaborators/partners demonstrate the ability to provide the proposed preventive services? Does the described role of each collaborating organization make it clear that each organization adds value to the project and is committed to working together to implement the project?
- Have the appropriate personnel been recruited to implement, evaluate, and complete the project?
- Is the organization structurally and financially stable and viable?

Integration and Capacity Building

- Does the applicant describe steps that will be taken and components of the project that will be integrated into the organization through policies and practices?
- Does the applicant describe a plan for systems changes that are sustainable over time (eg, improve results, provider practice, efficiency, cost-effectiveness)?
- Does the applicant describe steps that the applicant organization or other entities will take or components of the project that will remain (eg, trained personnel, identification of alternative resources, building internal assets) to continue the delivery of some or all components of the evidence-based intervention once CPRIT funding ends?

5.2.2. Secondary Evaluation Criteria

Budget

- Is the budget appropriate and reasonable for the scope and services of the proposed work?
- Is the cost per person served appropriate and reasonable?
- Is the proportion of the funds allocated for direct services reasonable?
- Is the project a good investment of Texas public funds?

Dissemination and Scalability

- Are plans for dissemination of the project's results and outcomes, including barriers encountered and successes achieved, clearly described?
- Some programs may have unique resources and may not lend themselves to replication by others. If applicable, does the applicant describe a plan for scalability/expansion of all or some components of the project by others in the state?

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 (posted on November 20, 2017), 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/>
- Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. <http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf>

9. REFERENCES

1. <http://www.cdc.gov/hpv/parents/questions-answers.html>
2. Texas Cancer Registry, Cancer Epidemiology and Surveillance Branch, Texas Department of State Health Services. <http://www.dshs.state.tx.us/tcr/default.shtm>

APPENDIX A: KEY TERMS

- **Activities:** A listing of the “who, what, when, where, and how” for each objective that will be accomplished
- **Capacity Building:** Any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee’s setting or community to continue the delivery of some or all components of the evidence-based intervention
- **Clinical Services:** Number of clinical services such as screenings, diagnostic tests, vaccinations, counseling sessions, or other evidence-based preventive services delivered by a health care practitioner in an office, clinic, or health care system. Other examples include genetic testing or assessments, physical rehabilitation, tobacco cessation counseling or nicotine replacement therapy, case management, primary prevention clinical assessments, and family history screening.
- **Counties of Residence of Population Served:** Counties where the project does not plan to have a physical presence but people who live in these counties have received services. This includes counties of residence of people or places of business of professionals who participate in or receive education, navigation or clinical services. Examples include people traveling to receive services as a result of marketing, and programs accessible via the website or social media. These counties may be described in the project plan and must be reported in the quarterly progress report.
- **Counties with Service Delivery:** Counties where an activity or service will occur and the project has a physical presence for the services provided. Examples include onsite outreach and educational activities, and delivery of clinical services through clinics, mobile vans or telemedicine consults. These counties must be entered in the Geographic Area to be Served section of the application.
- **Education Services:** Number of evidence-based, culturally appropriate cancer prevention and control education and outreach services delivered to the public and to health care professionals. Examples include education or training sessions (group or individual), focus groups, and knowledge assessments.

- **Evidence-Based Program:** A program that is validated by some form of documented research or applied evidence. CPRIT’s website provides links to resources for evidence-based strategies, programs, and clinical recommendations for cancer prevention and control. To access this information, visit <http://www.cprit.texas.gov/prevention/resources-for-cancer-prevention-and-control>.
- **Goals:** Broad statements of general purpose to guide planning. Outcome goals should be few in number and focus on aspects of highest importance to the project ([Appendix B](#)).
- **Integration:** The extent the evidence-based intervention is integrated within the culture of the grantee’s setting or community through policies and practice
- **Navigation Services:** Number of unique activities/services that offer assistance to help overcome health care system barriers in a timely and informative manner and facilitate cancer screening and diagnosis to improve health care access and outcomes (Examples include patient reminders, transportation assistance, and appointment scheduling assistance.)
- **Number of Services (Direct Contact):** Number of services delivered directly to members of the public and/or professionals—direct, interactive public or professional education, outreach, training, navigation service, or clinical service, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults. Note that one individual may receive multiple services.
- **Objectives:** Specific, **measurable**, actionable, realistic, and timely projections for outcomes; example: “Increase screening service provision in X population from Y% to Z% by 20xx.” Baseline data for the priority population must be included as part of each objective ([Appendix B](#)).
- **People Reached (Indirect Contact):** Number of members of the public and/or professionals reached via indirect noninteractive public or professional education and outreach activities, such as mass media efforts, brochure distribution, public service announcements, newsletters, and journals (This category includes individuals who would be reached through activities that are directly funded by CPRIT as well as individuals who would be reached through activities that occur as a direct consequence of the

CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project).

- **People Served (Direct Contact):** Number of members of the public and/or professionals served via direct, interactive public or professional education, outreach, training, navigation service, or clinical service. This category includes individuals who would be served through activities that are directly funded by CPRIT as well as individuals who would be served through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.

APPENDIX B: 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 only (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 measures participant changes resulting from a specific program, using these factors:
 - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
 - Attitudes – feeling about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetable 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 outcome 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 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 18.2 Peer Review Panel – 1
Observation Report

Report No. 2018-5-22 PRV_18.2_PP-1
Program Name: Prevention
Panel Name: FY18.2 Prevention Panel 1 (PP-1)

Panel Date: May 22, 2018 – May 23, 2018
Report Date: June 5, 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 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 18.2 Peer Review Meeting - Panel 1 meeting. The meeting was chaired by Ross Brownson and conducted in-person on May 22, 2018 and May 23, 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;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- Panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the CPRIT Prevention 18.2 Peer Review - Panel 1 meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Eight (8) applications were discussed on May 22, 2018; seven (7) applications were discussed on May 23, 2018 and one (1) application was not considered for a total of 16 applications being considered in the panel review on both dates;
- Panelists: One (1) panel chair, 8 expert reviewers and 2 advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria;
- Facilitators: Three (3) CSRA staff employees were present in the room and participated in the meeting; two (2) staff employees were not present in the room and participated in the meeting in a technical or logistic support role;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- CPRIT Staff: Four (4) CPRIT staff members participated in the meet on May 22, 2018 and three (3) on May 23, 2018;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COIs):

- Six (6) COIs were identified prior to and/or during the meeting. All six pertained to applications discussed.
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. All reviewers with a conflict of interest signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the CPRIT Prevention 18.2 Peer Review - Panel 1 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Prevention 18.2 Peer Review Panel – 2
Observation Report

Report No. 2018-5-24 PRV_18.2_PP-2
Program Name: Prevention
Panel Name: FY18.2 Prevention Panel 2 (PP-2)

Panel Date: May 24, 2018 – May 25, 2018
Report Date: June 5, 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 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 18.2 Prevention Peer Review Meeting - Panel 2 peer review of applications for FY18 funding. The meeting was chaired by Nancy Lee and conducted in-person on May 24, 2018 and May 25, 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;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Prevention peer review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Six (6) applications were discussed on May 24, 2018; six (6) applications were discussed on May 25, 2018; and three (3) applications were not considered for a total of fifteen (15) applications being considered in the panel review on both dates;
- Panelists: One (1) panel chair, eight (8) expert reviewers and two (2) advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria.
- Four (4) CSRA employees participated in the meeting. Two (2) additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- Four (4) CPRIT staff members participated in the meeting on May 24, 2018 and three (3) on May 25, 2018.
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COIs):

- Two (2) COIs were identified prior to and/or during the meeting. All two (2) pertained to applications that were discussed.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted application.
- All reviewers with a conflict of interest signed out on the COI log when leaving the room.

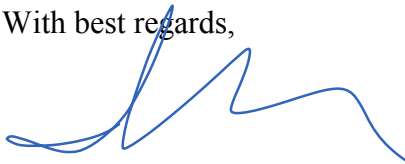
Conclusion

In conclusion; we observed that the activities of the Prevention Peer Review Meeting 18.2 – Panel 2 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
FY 18.2 Prevention Council Programmatic Review
Observation Report

Report No. 2018-07-06_18.2_PRV_PRC
Program Name: Prevention
Panel Name: FY18.2 Prevention Review Council Programmatic Review

Panel Date: July 6, 2018
Report Date: July 9, 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 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 FY18.2 Prevention Review Council Programmatic Review. The meeting was chaired by Stephen Wyatt and conducted by teleconference on July 6, 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;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Prevention peer review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Thirteen (13) applications were discussed;
- Panelists: One (1) panel chair, two (2) expert reviewers and zero (0) advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria;
- One (1) CSRA staff employee was present on the phone;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- One (1) CPRIT staff member was present on the phone;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;

Regarding applications with a conflict of interest (COIs):

- Zero (0) COIs were identified prior to and/or during the meeting.

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.

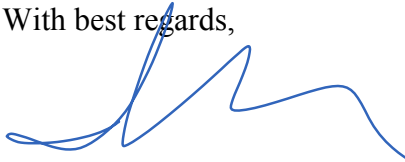
Conclusion

In conclusion; we observed that the activities of the FY18.2 Prevention Review Council Programmatic Review panel 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Prevention 18.2 Applications
(Prevention Cycle 18.2 Awards Announced at August 24, 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 18.2 include *Evidence-Based Cancer Prevention Services*, *Tobacco Control and Lung Cancer Screening*, and *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations*. 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			
PP180077	Janice Blalock	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen
PP180091	Mamta Jain	The University of Texas Southwestern Medical Center	Dee Margo
Applications not considered by the PIC or Oversight Committee			
PP180071	Lori Palazzo	Williamson County & Cities Health District	Michael Eriksen
PP180092	Amelie Ramirez	The University of Texas Health Science Center at San Antonio	Michael Eriksen
PP180098	Mark Hernandez	Community Care Collaborative	Michael Eriksen
PP180100	Adriana Valdes	Cancer and Chronic Disease Consortium	Ross Brownson
PP180111	Theresa Byrd	Texas Tech University Health Sciences Center	Michael Eriksen
PP180068	Louis Brown	The University of Texas Health Science Center at Houston	Heather Brandt
PP180094	David McClellan	Texas A&M University System Health Science Center	Heather Brandt

De-Identified Overall Evaluation Scores

Evidence Based Cancer Prevention Services

Prevention Cycle 18.2

Application ID	Final Overall Evaluation Score
PP180080*	1.6
PP180086*	2.3
PP180082*	2.4
la	3.8
lb	4.7
lc	4.9
ld	5.0
le	5.2
lf	5.4
lg	5.8
lh	5.8
li	6.0
lj	7.2

* 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 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 applicants on the attached list of submitted proposals responded to CPRIT requests for applications (RFA) released for the second review cycle of FY2018.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are provided for each grant application. The proposed budget reduction of 10.02% for all recommended projects assures that sufficient funds are available to support all recommended Prevention grants for this cycle. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for the remainder of fiscal year 2018 is \$14,322,579. These recommended projects total \$14,322,379.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,

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

Application ID		Application Title	PD	Organization	Score	Rank Order	recommended budget
PP180080	EBP	HPV Vaccination in a Pediatric Minority-Based Community Oncology Network	Grimes, Allison	The University of Texas Health Science Center at San Antonio	1.6	1	\$1,010,690
PP180091	EPS	STOP-HCC Expansion Grant	Jain, Mamta	The University of Texas Southwestern Medical Center	1.9	2	\$2,592,731
PP180026	EBP	Pasos Para Prevenir Cancer: Obesity-related Cancer Prevention in El Paso	Salinas, Jennifer J	Texas Tech University Health Sciences Center at El Paso	2.0	3	\$1,244,512
PP180086	EBP	Liver Cancer Prevention among those with Experiences of Homelessness	Schick, Vanessa R	The University of Texas Health Science Center at Houston	2.3	4	\$1,159,751
PP180082	EBP	West Texas HCV Screening and Linkage to Care Program	Gallegos, Patricia	Centro San Vicente	2.4	5	\$1,349,700
PP180018	EBP	BSPAN4: Optimizing Spatial Access to High-Quality Breast Screening & Patient Navigation for Rural Underserved Women across North Texas	Lee, Simon Craddock	The University of Texas Southwestern Medical Center	2.5	6	\$1,349,700
PP180077	TCL	Increasing Access to Smoking Cessation and Smoke Free Home Services for Low-Income Pregnant Women in Northeast Texas	Blalock, Janice A	The University of Texas M. D. Anderson Cancer Center	2.6	7	\$1,346,919
PP180092	TCL	Tobacco Services for Primary Care & Cancer Patients at UT Health San Antonio	Ramirez, Amelie G	The University of Texas Health Science Center at San Antonio	2.6	8	\$1,324,982
PP180012	EBP	Vaccinating medically underserved women against HPV	Berenson, Abbey B	The University of Texas Medical Branch at Galveston	2.7	9	\$1,344,926
PP180089	EPS	Adolescent Vaccination Program (AVP): Expanding a Successful Clinic-based Multicomponent HPV Vaccination Program to the San Antonio Area	Vernon, Sally W	The University of Texas Health Science Center at Houston	2.8	10	\$1,598,468



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 2
*Expansion of Cancer Prevention Services to Rural &
Medically Underserved Populations*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-18.2-EPS

**Expansion of Cancer Prevention Services to
Rural and Medically Underserved Populations**

**Please also refer to the Instructions for Applicants document,
which will be posted on November 20, 2017**

Application Receipt Opening Date: November 20, 2017
Application Receipt Closing Date: February 21, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2017

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RFA VERSION HISTORY

Rev 10/27/17 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 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 fosters the prevention of cancer in Texas by providing financial support for a wide variety of evidence-based prevention interventions.

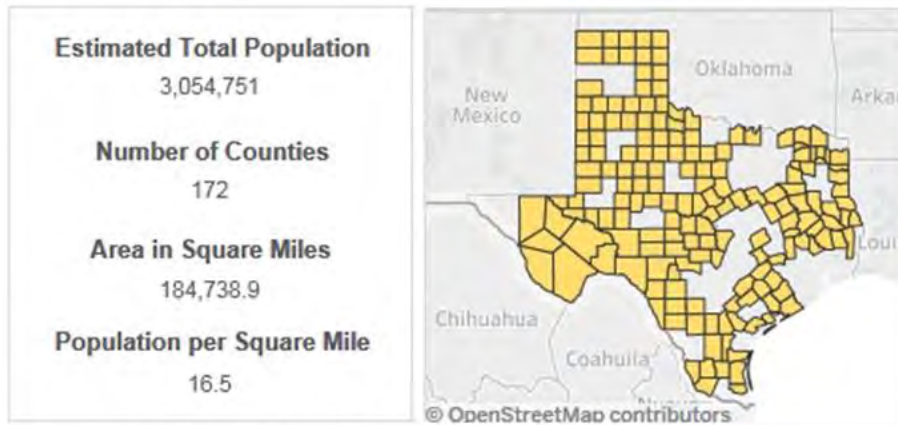
This award mechanism seeks to support the coordination and expansion of evidence-based services to prevent cancer in underserved populations who do not have adequate access to cancer prevention interventions and health care, bringing together networks of public health and community partners to carry out programs tailored for their communities. Projects should identify cancers that cause the most burden in the community and use evidence-based models to prevent and control these cancers.

Eligible applicants include only those with currently funded CPRIT Prevention projects or those with a contract end date in FY 2017 (September 2016-August 2017). Eligible applicants should propose to expand their programs to include additional types of prevention clinical services or to expand current clinical services into additional counties. In either case, the expansion must include the delivery of services to nonmetropolitan (rural) and medically underserved counties in the state. These may be identified via Web-based tools from the [Texas Department of State Health Services](#) and [US Department of Health and Human Services](#) respectively (eg, see below).

Health Facts Profiles

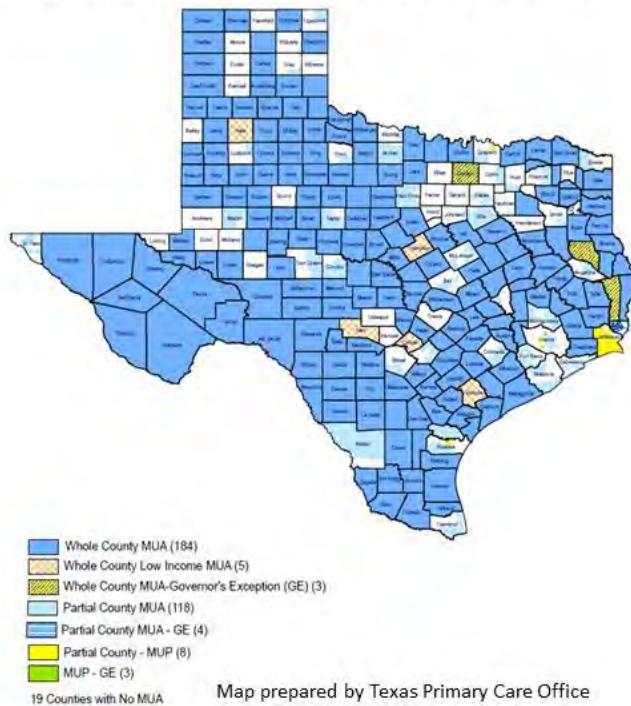
Non-Metropolitan Counties, 2013

Demography / Population



Data source: Center for Health Statistics, Texas Department of State Health Services

Texas Medically Underserved Areas (MUA) and Populations (MUP)



Map prepared by Texas Primary Care Office
Texas Department of State Health Services

Data source: US Health Resources and Services Administration Data Warehouse, October 2016

2.2 Project Objectives

CPRIT seeks to fund evidence-based prevention projects that will do the following:

- Expand an eligible CPRIT project by adding and integrating the delivery of 1 or more of the following to an existing project:
 - Screenings and diagnostics for breast, cervical, colorectal cancers; hepatitis C virus; genetic risk factors
 - Vaccinations against HPV and hepatitis B virus
- Expand an eligible CPRIT project by adding and integrating the delivery of services to additional nonmetropolitan and/or medically underserved counties.
- Coordinate the resources (clinical service providers, community organizations, etc) in nonmetropolitan and medically underserved areas (MUAs) to increase the availability of services and, where providers are available, help connect people with their local health care providers.
- Leverage the infrastructure, networks, and resources that have been put in place by CPRIT supported projects while minimizing startup time.
- Deliver comprehensive projects comprising all of the following: public and/or professional education, outreach, delivery of clinical services, follow-up navigation, and system and/or policy improvements.
- Offer effective and efficient systems of delivery of prevention services based on the existing body of knowledge about, and evidence for, cancer prevention in ways that far exceed current performance in a given service area.
- Implement policy changes and/or system improvements that are sustainable over time (eg, decrease wait times between positive screen and diagnostic tests and treatment through improved navigation, reminder systems, etc) and treatment.

2.3 Award Description

CPRIT's **Expansion of Cancer Prevention Services** grants are intended to fund the expansion of eligible projects that have demonstrated exemplary success, as evidenced by progress reports and project evaluations, and desire to further enhance their impact on priority populations. Detailed descriptions of **established infrastructure, results, barriers, outcomes, and impact of the most**

recently funded project are required (see outline of Project Plan, [section 4.4.4](#)).

Projects in the last year of a current grant or projects with a contract end date in FY2017 may apply for this expansion. Programs must have at least 1 full year of data to report before applying (see [section 2.4](#) eligibility criteria).

The following are required components of the project:

- **Expansion:** Expansion to nonmetropolitan/MUA counties and/or offering additional clinical services are required. To qualify for this Expansion RFA, CPRIT requires applicants to either add the delivery of 1 or more of the following clinical services to their project or to expand to additional nonmetropolitan and/or MUA counties.
 - Screenings for breast, cervical, colorectal cancers; hepatitis C virus; genetic risk factors
 - Vaccinations against HPV; hepatitis B virus

Expansion of eligible projects into nonmetropolitan/medically underserved geographic areas not well served by the CPRIT portfolio (see maps at <http://www.cprit.texas.gov/prevention/cprit-portfolio-maps>), will receive priority consideration.

- **Comprehensive Projects:** Comprehensive projects include a continuum of services and systems and policy changes and comprise all of the following: Public and/or professional education and training, outreach, delivery of screening and diagnostic services, follow-up navigation, data collection and tracking, and systems improvement.

This mechanism will fund case management/patient navigation to screening, to diagnostic testing, and to treatment. Applicants must ensure that there is access to treatment services for patients with cancers or precancers that are detected as a result of the project and must describe in detail the process for ensuring access to treatment services in their application.

Applicants should not request funds for any of the above components if these components are already being funded from other sources.

- **Evidence Based:** CPRIT's service grants are intended to fund effective and efficient systems of delivery of prevention services based on the existing body of knowledge about and evidence for cancer prevention in ways that far exceed current performance in a given service area. The provision of clinical services must comply with established and current national guidelines (eg, US

Preventive Services Task Force [USPSTF], American Cancer Society, etc).

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data (eg, availability of resources and screening coverage) for the target population and target service region are required. If no baseline data exist, the applicant must present clear plans and describe method(s) of measurement used to collect the data necessary to establish a baseline.

Clinical Service and Community Partner Networks. Applicants are encouraged to coordinate and describe a collaboration of clinical service providers and community partners that can deliver outreach, education, clinical, and navigation services to the most counties and the most people possible in a selected service region. Partnerships with other organizations that can support and leverage resources (ie, community-based organizations, local and voluntary agencies, nonprofit agencies, groups that represent priority populations, etc) are encouraged. Letters of commitment or memoranda of understanding describing their specific role in the partnership will strengthen the application. Leveraging of the infrastructure, existing networks and other resources that were established for the eligible CPRIT-funded project are expected and should be well described.

Project Coordination and Technical Assistance. The overall program should be directed and overseen by the Program Director (PD) who is responsible for establishing and managing the network. Responsibilities of the PD include the following:

- Establishing any necessary subcontracts or memoranda of understanding with project partners and clinical service providers;
- Regularly communicating with partners to discuss progress and barriers, resolve potential problems, and provide technical assistance as needed throughout the duration of the project;
- Meeting all reporting requirements. CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area) in the provision of evidence-based services, changes in provider practice, systems changes, and cost-effectiveness.

If applicable, in cases where the project proposes to work with multiple clinical providers, the PD should facilitate the establishment of standard protocols for all clinical service providers in the

network as well as standard systems, policies, and procedures for the participating clinical service providers and organizations. These may include, but are not limited to, patient tracking and timely followup of all abnormal screening results and/or diagnoses of cancer.

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

- **Continuation of currently funded projects.** Projects must include the required expansion criteria detailed in the RFA.
- **Projects focusing on tobacco prevention and/or cessation for any age or computerized tomography screening for lung cancer for ages 55 to 77.** Applicants with projects in these areas should apply under CPRIT's Tobacco Control and Lung Cancer Screening RFA.
- **New evidence-based cancer prevention services projects or previously funded CPRIT Prevention projects with a contract end date before September 1, 2016,** these applicants should apply under CPRIT's Evidence-Based Cancer Prevention Services RFA.
- **Projects focusing on case management/patient navigation services through the treatment phase of cancer.**
- **Resources for the treatment of cancer or viral treatment for hepatitis.**
- **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 the services listed in [section 2.2](#) Project Objectives and that are responsive to this RFA will be considered for funding.

The Prevention Program's priorities for funding include the following:

- 1) Geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence.**

While disparities and needs exist across the state, CPRIT will also prioritize applications proposing to serve geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence. For this RFA, projects must propose to serve nonmetropolitan and/or medically underserved areas of the state. In addition, projects addressing areas of emphasis (see [section 2.5](#)) will receive priority consideration.

- 2) Populations disproportionately affected by cancer incidence, mortality, or cancer risk**

prevalence.

CPRIT programs must address underserved populations. Underserved populations are subgroups that are disproportionately affected by cancer. CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals;
- Medically unserved or underserved populations;
- Racial, ethnic, and cultural minority populations;
- Individuals with higher prevalence of cancer risk factors (eg, obesity, tobacco use, alcohol misuse, unhealthy eating, sedentary lifestyle);
- 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 (more than 5 years for breast/cervical cancers).

The age of the priority population and frequency of screening for provision of clinical services described in the application must comply with established and current national guidelines (eg, USPSTF, American Cancer Society).

Geographic and Population Balance in Current CPRIT portfolio:

At the programmatic level of review conducted by the Prevention Review Council (see [section 5.1](#)), priority will be given to projects that target geographic regions of the state and population subgroups that are not adequately covered by the current CPRIT Prevention project portfolio (see <http://www.cprit.texas.gov/prevention/resources-for-cancer-prevention-and-control> and <http://www.cprit.texas.gov/funded-grants>).

2.5 Specific Areas of Emphasis

Applications addressing any of the services listed in [section 2.2](#) and that are responsive to this RFA will be considered. For those services, CPRIT has identified the following areas of emphasis for this cycle of awards.

<u>Primary Prevention</u>
HPV Vaccination

<ul style="list-style-type: none"> Increasing access to, delivery of, and completion of the HPV vaccine regimen to males and females through evidence-based intervention efforts in all areas of the state.¹
Liver Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates for hepatocellular cancer by increasing the provision of vaccination and screening for hepatitis B virus (HBV) and screening for hepatitis C virus (HCV).
<ul style="list-style-type: none"> Screening for HBV infection and HCV infection in populations at high risk of infection and 1-time screening for HCV infection in adults born between 1945 and 1965.
<ul style="list-style-type: none"> Increasing screening rates in Public Health Region (PHR) 8, 10, and 11. Incidence rates are highest in PHR 8 and 11 while mortality rates are highest in PHR 10 and 11.²
<u>Secondary Prevention - Screening and Early Detection Services</u>
Colorectal Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates of colorectal cancer in racial/ethnic populations. Blacks have the highest incidence and mortality rates, followed by non-Hispanic whites and Hispanics.²
<ul style="list-style-type: none"> Increasing screening/detection rates in PHR 2, 4, and 5, where the highest rates of cancer incidence and mortality are found. Decreasing incidence and mortality rates in nonmetropolitan counties. Incidence and mortality rates are higher in nonmetropolitan counties compared with metropolitan counties.²
Breast Cancer
<ul style="list-style-type: none"> Decreasing disparities in mortality rates of breast cancer in racial/ethnic populations. The mortality rate is significantly higher in blacks than in other populations.²
<ul style="list-style-type: none"> Increasing screening/detection rates in medically underserved areas of the state.
Cervical Cancer
<ul style="list-style-type: none"> Decreasing disparities in incidence and mortality rates of cervical cancer in racial/ethnic populations. Hispanics have the highest incidence rates while blacks have the highest mortality rates.²

- Increasing screening/detection rates for women in PHR 2, 4, 8, and 11. Incidence is highest in Texas-Mexico border counties (PHR 8 and 11). The mortality rate is highest in PHR 2, 4, and 11.²

2.6 Outcome Metrics

Applicants are required to clearly describe their assessment and evaluation methodology. The applicant is required to describe final outcome measures for the project. Output measures that are associated with the final outcome measures should be identified and will serve as a measure of program activity effectiveness. Planned policy or system changes should be identified and the plan for qualitative analysis described. **Baseline data for each measure proposed are required.** In addition, applicants should describe how funds from the CPRIT grant will improve outcomes over baseline. If the applicant is not providing baseline data for a measure, the applicant must provide a well-justified explanation and describe clear plans and method(s) of measurement to collect the data necessary to establish a baseline. Applicants are required to fully describe any planned systems or policy changes or improvements.

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:
 - Summary page, including narrative on project progress (required);
 - Services, other than clinical services, provided to the public/professionals;
 - Actions taken by people/professionals as a result of education or training;
 - Clinical services provided (county of residence of client is required); and
 - Precursors and cancers detected.
- Annual and final progress report sections include, but are not limited to, the following:
 - Key accomplishments, **including qualitative analysis of policy change and/or lasting systems change;**

- Progress toward goals and outcome objectives, including percentage increase over baseline in provision of age- and risk-appropriate comprehensive preventive services to eligible individuals in a defined service area;
- Materials produced and publications; and
- Economic impact of the project.

2.7 Eligibility

- Eligible applicants include only those with currently funded CPRIT Prevention projects or those with a contract end date in FY 2017 (September 2016-August 2017).
- To justify the expansion, applicants must leverage the infrastructure and networks of the most recently funded CPRIT project.
- Applicants may submit an expansion application before the end of the currently funded project but should time their submission during the last year of the current project to ensure minimal overlap of funding. Unexpended funds from the original project will not carry forward to the expansion project. To apply for an expansion of a current project, projects must have at least 1 full year of results and data.
- The applicant must be a Texas-based entity that previously received CPRIT funding through Prevention Program RFAs.
- The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is 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 evaluation of the project must be headed by a professional who has demonstrated expertise in the field and who resides in Texas during the time that the project is conducted.
- If the applicant or a partner is an existing DSHS contractor, CPRIT funds may not be used as a match, and the application must explain how this grant complements or leverages existing state and federal funds. DSHS contractors who also receive CPRIT

funds must be in compliance with and fulfill all contractual obligations within CPRIT. CPRIT and DSHS reserve the right to discuss the contractual standing of any contractor receiving funds from both entities.

- 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 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.
- 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.
- 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](http://www.cprit.texas.gov). 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 \$3 million over a maximum of 36 months. However, CPRIT expects most applicants to request funding well below the upper range. Grant funds may be used to pay for clinical services, navigation services, salary and benefits, project supplies, equipment, costs for outreach and education of populations, and travel of project personnel to project site(s). Grantees may request funds for travel for 2 project staff to attend CPRIT's biennial conference.

Requests for funds to support construction, or renovation or requests to support lobbying will not be approved under this mechanism. Cost sharing for equipment purchases is encouraged.

The budget should be proportional to the number of individuals receiving programs and services,

and a significant proportion of funds is expected to be used for program delivery as opposed to program development. In addition, CPRIT funding should not be used to 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

RFA

RFA release October 27, 2017

Application

Online application opens November 20, 2017, 7 AM central time
Application due February 21, 2018, 4 PM central time
Application review May-July 2018

Award

Award notification August 2018
Anticipated start date August 31, 2018

Applicants will be notified of peer review panel assignment prior to the peer review meeting dates.

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 November 20, 2017, and must be submitted by 4 PM central time on February 21, 2018. 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 in the specific service area. Include rates of incidence, mortality, and screening in the service area compared to overall Texas rates. Describe barriers, plans to overcome these barriers, and the priority population to be served.
- **Overall Project Strategy:** Describe the project and how it will address the identified need.

Clearly explain what the project is and what it will specifically do, including the services to

be provided and the process/system for delivery of services and outreach to the priority population.

- **Specific Goals:** State specifically the overall goals of the proposed project; include the estimated overall numbers of people (public and/or professionals) reached and people (public and/or professionals) served.
- **Innovation:** Describe the creative components of the proposed project and how it differs from current programs or services being provided.
- **Significance and Impact:** Explain how the proposed project, if successful, will have a unique and major impact on cancer prevention and control for the population proposed to be served 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 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives. See [Appendix B](#) for instructions on writing outcome goals and objectives.

A baseline and method(s) of measurement are required for each objective. Provide both raw numbers and percent changes for the baseline and target. If a baseline has not 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, 2, 3, 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: Briefly present the rationale behind the proposed service, emphasizing the critical barriers to current service delivery that will be addressed. Identify the evidence-based service to be implemented for the priority population. If evidence-based strategies have not been implemented or

tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data for the priority population and target service area are required where applicable. Reviewers will be aware of national and state statistics, and these should be used only to compare rates for the proposed service area. Describe the geographic region of the state that the project will serve; maps are encouraged.

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 B](#) for instructions on writing goals and objectives.

Components of the Project: Clearly describe the need, delivery method, and evidence base (provide references) for the services as well as anticipated results. Be explicit about the base of evidence and any necessary adaptations for the proposed project. Describe why this project is nonduplicative, creative, or unique. Describe how the proposed project leverages the infrastructure, networks and resources that have been put in place by the most recently funded CPRIT project while minimizing startup time.

It is important to distinguish between Texas counties where the project proposes to deliver services and counties of residence of population served (see [Appendix A](#) for definitions and Instructions for Applicants). Only counties with service delivery should be listed in the Geographic Area to be Served section of the application. Projecting counties of residence of population served is not required but may be described in the project plan.

Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline and the ability to reach the priority population. Describe any planned policy changes or system improvements. Applicants must also clearly and thoroughly describe plans to ensure access to treatment services should cancer be detected.

Evaluation Strategy: A strong commitment to evaluation of the project is required. Describe the plan for outcome and output measurements, including qualitative analysis of policy and system changes. Describe data collection and management methods, data analyses, and anticipated results. Evaluation and reporting of results should be headed by a professional who has demonstrated

expertise in the field. 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 involve that professional during grant application preparation to 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 track record and success in providing programs and services. Describe the role and qualifications of the key collaborators/partners in the project. Include information on the organization's financial stability and viability. To ensure access to preventive services and reporting of services outcomes, applicants should demonstrate that they have provider partnerships and agreements (via memoranda of understanding) or commitments (via letters of commitment) in place.

Integration and Capacity Building: CPRIT funds projects that target the unmet needs not sufficiently covered by other funding sources, and full maintenance of the project after CPRIT funding ends may not be feasible. This is especially the case when the project involves the delivery of clinical services. Educational and other less costly interventions may be more readily sustained. Full maintenance of a project, the ability of the grantee's setting or community to continue to deliver the health benefits of the intervention as funded, is not required; however, efforts toward maintenance should be described.

It is expected that steps toward integration and capacity building for components of the project will be taken and that plans for such will be fully described in the application. *Integration* is defined as the extent the evidence-based intervention is integrated within the culture of the grantee's setting or community through policies and practice. The applicant should develop and describe a plan for systems changes that are sustainable over time (improve results, provider practice, efficiency, cost-effectiveness) as well as describe entities that could continue and integrate components of the project after CPRIT support ends. *Capacity building* is any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee's setting or community to continue the delivery of some or all components of the evidence-based intervention.

Elements of integration and capacity building may include, but are not limited to, the following:

- Developing ownership, administrative networks, and formal engagements with stakeholders;
- Developing processes for each practice/location to incorporate services into its structure beyond project funding;
- Identifying and training of diverse resources (human, financial, material, and technological);
- Implementing policies to improve effectiveness and efficiency (including cost-effectiveness) of systems.

Dissemination and Scalability (Expansion): Dissemination of project results and outcomes, including barriers encountered and successes achieved, is critical to building the evidence base for cancer prevention and control efforts in the state. Dissemination methods may include, but are not limited to, presentations, publications, abstract submissions, and professional journal articles, etc. Describe how the project lends itself to dissemination to or application by other communities and/or organizations in the state or expansion in the same communities.

4.4.5 People Reached (Indirect Contact)

Provide the estimated overall number of people (members of the public and professionals) to be reached by the funded project. The applicant is required to itemize separately the types of indirect noninteractive education and outreach activities, with estimates, that led to the calculation of the overall estimates provided. Refer to [Appendix A](#) for definitions.

4.4.6 Number of Services Delivered (Direct Contact)

Provide the estimated overall number of services directly delivered to members of the public and to professionals by the funded project. Each service should be counted, regardless of the number of services one person receives. The applicant is required to itemize separately the education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimate provided. Refer to [Appendix A](#) for definitions.

4.4.7 Number of Unique People Served (Direct Contact)

Provide the estimated overall number of unique members of the public and professionals served by the funded project. One person may receive multiple services but should only be counted once

here. Refer to [Appendix A](#) for definitions.

4.4.8 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 services.

4.4.9 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.

4.4.10 Most Recently Funded Project Summary (3 pages)

Upload a summary that outlines the progress made with the most recently funded CPRIT award. Applicants must describe and demonstrate how appropriate/adequate progress has been made on the most recently funded award to warrant expansion of the project.

Please note that a different set of reviewers from those assigned to the previously funded application may evaluate this application. Applicants should make it easy for reviewers to compare the most recently funded project with the proposed expansion project.

In the description include the following:

- Describe the evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- List approved goals and objectives of the most recently funded grant.
- For each objective, provide the following information:
 - Milestones/target dates and target metrics
 - Actual completion dates and metrics
- For the most recently funded project, describe major activities; significant results, including major findings, developments or conclusions (both positive and negative); and key

outcomes. If the project has not yet ended, provide projections for completion dates and final metrics. Include a discussion of objectives not fully met. Explain any barriers encountered and strategies used to overcome these.

- Describe steps taken toward integration and capacity building for components of the projects. Fully describe systems or policy improvements and enhancements.
- Describe how project results were disseminated or plans for future dissemination of results.

4.4.11 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.

4.4.12 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, services delivery, 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.

- **Average Cost of Services:** The average cost of services will be automatically calculated from the total cost of the project divided by the total number of services (refer to [Appendix A](#)). A significant proportion of funds is expected to be used for program delivery as opposed to program development and organizational infrastructure.
- **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.
- **Services Costs:**

- CPRIT reimburses for services using Medicare reimbursement rates. Describe the source of funding for all services where CPRIT funds are not requested.
- CPRIT does not allow recovery of costs related to tests that have not been recommended by the USPSTF. In several cases (eg, breast self-exams, clinical breast exams, PSA tests), the Task Force has concluded there is not enough evidence available to draw reliable conclusions about the additional benefits and harms of these tests. (See <https://www.uspreventiveservicestaskforce.org/>)
- **Other Expenses:**
 - **Incentives:** Use of incentives or positive rewards to change or elicit behavior is allowed; however, incentives may only be used based on strong evidence of their effectiveness for the purpose and in the priority population identified by the applicant. CPRIT will not fund cash incentives. The maximum dollar value allowed for an incentive per person, per activity or session, is \$25.
 - **Costs Not Related to Cancer Prevention and Control:** CPRIT does not allow recovery of any costs for services not related to cancer (eg, health physicals, HIV testing).
- **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](#).

4.4.13 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.

4.4.14 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.

The evaluation professional must provide a biographical sketch.

Up to 3 additional biographical sketches for key personnel may be provided.

Each biographical sketch must not exceed 2 pages and should 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.

4.4.15 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, clinical services, recruitment to screening).

4.4.16 Letters of Commitment (10 pages)

Applicants should provide letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program. Letters should be specific to the contribution of each organization.

5. APPLICATION REVIEW

5.1 Review Process Overview

All eligible applications will be reviewed using a 2-stage peer review process: (1) evaluation of applications by peer review panels and (2) prioritization of grant applications by the Prevention Review Council. In the first stage, applications will be evaluated by an independent review panel using the criteria listed below. In the second stage, applications judged to be meritorious by review panels will be evaluated by the Prevention Review Council and recommended for funding based on comparisons with applications from all of the review panels and programmatic priorities.

Programmatic considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service. The scores are only 1 factor considered during programmatic review. At the programmatic level of review, priority will be given to proposed projects that target geographic regions of the state or population subgroups that are not

well represented in the current CPRIT Prevention project portfolio.

Applications approved by 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 to 703.8](#).

Each stage of application review is conducted confidentially, and all CPRIT Peer Review Panel members, 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.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer Review Panel members are listed by panel on CPRIT's website. **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

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, identified below. Review panels consisting of experts in the field and advocates will evaluate and score each primary criterion and subsequently assign an overall score that reflects an overall assessment of the application. The overall evaluation score will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application and responsiveness to the RFA priorities.

5.2.1 Primary Evaluation Criteria

Impact and Innovation

- Do the proposed services address an important problem or need in cancer prevention and control and avoid duplication of effort? Does the proposed project demonstrate creativity, ingenuity, resourcefulness, or imagination? Does it take evidence-based interventions and apply them in innovative ways to explore new partnerships, new audiences, or improvements to systems?
- For the proposed expansion, does the project build on its initial results and/ or infrastructure? Does it address what the applicant has learned or explore new partnerships, new audiences, or improvements to systems?
- Does the program address adaptation, if applicable, of the evidence-based intervention to the priority population? Is the base of evidence clearly explained and referenced?
- Will the project reach and serve an appropriate number of people based on the budget allocated to providing services and the cost of providing services?

Project Strategy and Feasibility

- Does the proposed project provide services specified in the RFA?
- Are the overall program approach, strategy, and design clearly described and supported by established theory and practice? Are the proposed objectives and activities feasible within the duration of the award? Has the applicant convincingly demonstrated the short- and long-term impacts of the project? Has the applicant proposed policy changes and/or system improvements?
- Are possible barriers addressed and approaches for overcoming them proposed?
- Are the priority population and culturally appropriate methods to reach the priority population clearly described?
- If applicable, does the application demonstrate the availability of resources and expertise to provide case management, including followup for abnormal results and access to treatment?
- Does the program leverage partners and resources to maximize the reach of the services proposed? Does the program leverage and complement other state, federal, and nonprofit grants?

Outcomes Evaluation

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed outcome measures appropriate for the services provided, and are the expected changes clinically significant?
- Does the application provide a clear and appropriate plan for data collection and management and data analyses?
- Are clear baseline data provided for the priority population, or are clear plans included to collect baseline data?
- If an evidence-based intervention is being adapted in a population where it has not been implemented or tested, are plans for evaluation of barriers, effectiveness, and fidelity to the model described?
- Is the qualitative analysis of planned policy or system changes described?

Organizational Qualifications and Capabilities

- Do the organization and its collaborators/partners demonstrate the ability to provide the proposed preventive services? Does the described role of each collaborating organization

make it clear that each organization adds value to the project and is committed to working together to implement the project?

- Have the appropriate personnel been recruited to implement, evaluate, and complete the project?
- Is the organization structurally and financially stable and viable?

Integration and Capacity Building

- Does the applicant describe steps that will be taken and components of the project that will be integrated into the organization through policies and practices?
- Does the applicant describe a plan for systems changes that are sustainable over time; eg, improve results, provider practice, efficiency, cost-effectiveness?
- Does the applicant describe steps that the applicant organization or other entities will take or components of the project that will remain (eg, trained personnel, identification of alternative resources, building internal assets) to continue the delivery of some or all components of the evidence-based intervention once CPRIT funding ends?

5.2.2 Secondary Evaluation Criteria

Budget

- Is the budget appropriate and reasonable for the scope and services of the proposed work?
- Is the cost per person served appropriate and reasonable?
- Is the proportion of the funds allocated for direct services reasonable?
- Is the project a good investment of Texas public funds?

Dissemination and Scalability

- Are plans for dissemination of the project's results and outcomes, including barriers encountered and successes achieved, clearly described?
- Some programs may have unique resources and may not lend themselves to replication by others. If applicable, does the applicant describe a plan for scalability/expansion of all or some components of the project by others in the state?

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 (posted on November 20, 2017), 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
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APPENDIX A: KEY TERMS

- **Activities:** A listing of the “who, what, when, where, and how” for each objective that will be accomplished
- **Capacity Building:** Any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee’s setting or community to continue the delivery of some or all components of the evidence-based intervention
- **Clinical Services:** Number of clinical services such as screenings, diagnostic tests, vaccinations, counseling sessions, or other evidence-based preventive services delivered by a health care practitioner in an office, clinic, or health care system. Other examples include genetic testing or assessments, physical rehabilitation, tobacco cessation counseling or nicotine replacement therapy, case management, primary prevention clinical assessments, and family history screening.
- **Counties of Residence of Population Served:** Counties where the project does not plan to have a physical presence but people who live in these counties have received services. This includes counties of residence of people or places of business of professionals who participate in or receive education, navigation or clinical services. Examples include people traveling to receive services as a result of marketing, and programs accessible via the website or social media. These counties may be described in the project plan and must be reported in the quarterly progress report.
- **Counties with Service Delivery:** Counties where an activity or service will occur and the project has a physical presence for the services provided. Examples include onsite outreach and educational activities, and delivery of clinical services through clinics, mobile vans or telemedicine consults. These counties must be entered in the Geographic Area to be Served section of the application.
- **Education Services:** Number of evidence-based, culturally appropriate cancer prevention and control education and outreach services delivered to the public and to health care professionals. Examples include education or training sessions (group or individual), focus groups, and knowledge assessments.

- **Evidence-Based Program:** A program that is validated by some form of documented research or applied evidence. CPRIT’s website provides links to resources for evidence-based strategies, programs, and clinical recommendations for cancer prevention and control. To access this information, visit <http://www.cprit.texas.gov/prevention/resources-for-cancer-prevention-and-control>.
- **Goals:** Broad statements of general purpose to guide planning. Outcome goals should be few in number and focus on aspects of highest importance to the project. ([Appendix B](#))
- **Integration:** The extent the evidence-based intervention is integrated within the culture of the grantee’s setting or community through policies and practice
- **Navigation Services:** Number of unique activities/services that offer assistance to help overcome health care system barriers in a timely and informative manner and facilitate cancer screening and diagnosis to improve health care access and outcomes (Examples include patient reminders, transportation assistance, and appointment scheduling assistance.)
- **Number of Services (Direct Contact):** Number of services delivered directly to members of the public and/or professionals—direct, interactive public or professional education, outreach, training, navigation service, or clinical service, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults. Note that one individual may receive multiple services.
- **Objectives:** Specific, **measurable**, actionable, realistic, and timely projections for outcomes; example: “Increase screening service provision in X population from Y% to Z% by 20xx.” Baseline data for the priority population must be included as part of each objective. ([Appendix B](#))
- **People Reached (Indirect Contact):** Number of members of the public and/or professionals reached via indirect noninteractive public or professional education and outreach activities, such as mass media efforts, brochure distribution, public service announcements, newsletters, and journals (This category includes individuals who would be reached through activities that are directly funded by CPRIT as well as individuals who would be reached through activities that occur as a direct consequence of the CPRIT-

funded project's leveraging of other resources/funding to implement the CPRIT-funded project).

- **People Served (Direct Contact):** Number of members of the public and/or professionals served via direct, interactive public or professional education, outreach, training, navigation service, or clinical service. This category includes individuals who would be served through activities that are directly funded by CPRIT as well as individuals who would be served through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.

APPENDIX B: 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 only (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 measures participant changes resulting from a specific program, using these factors:
 - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
 - Attitudes – feeling about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetable 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 outcome 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 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 18.2 Peer Review Panel – 1
Observation Report

Report No. 2018-5-22 PRV_18.2_PP-1
Program Name: Prevention
Panel Name: FY18.2 Prevention Panel 1 (PP-1)

Panel Date: May 22, 2018 – May 23, 2018
Report Date: June 5, 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 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 18.2 Peer Review Meeting - Panel 1 meeting. The meeting was chaired by Ross Brownson and conducted in-person on May 22, 2018 and May 23, 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;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- Panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the CPRIT Prevention 18.2 Peer Review - Panel 1 meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Eight (8) applications were discussed on May 22, 2018; seven (7) applications were discussed on May 23, 2018 and one (1) application was not considered for a total of 16 applications being considered in the panel review on both dates;
- Panelists: One (1) panel chair, 8 expert reviewers and 2 advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria;
- Facilitators: Three (3) CSRA staff employees were present in the room and participated in the meeting; two (2) staff employees were not present in the room and participated in the meeting in a technical or logistic support role;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- CPRIT Staff: Four (4) CPRIT staff members participated in the meet on May 22, 2018 and three (3) on May 23, 2018;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COIs):

- Six (6) COIs were identified prior to and/or during the meeting. All six pertained to applications discussed.
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. All reviewers with a conflict of interest signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the CPRIT Prevention 18.2 Peer Review - Panel 1 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Prevention 18.2 Peer Review Panel – 2
Observation Report

Report No. 2018-5-24 PRV_18.2_PP-2
Program Name: Prevention
Panel Name: FY18.2 Prevention Panel 2 (PP-2)

Panel Date: May 24, 2018 – May 25, 2018
Report Date: June 5, 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 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 18.2 Prevention Peer Review Meeting - Panel 2 peer review of applications for FY18 funding. The meeting was chaired by Nancy Lee and conducted in-person on May 24, 2018 and May 25, 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;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Prevention peer review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Six (6) applications were discussed on May 24, 2018; six (6) applications were discussed on May 25, 2018; and three (3) applications were not considered for a total of fifteen (15) applications being considered in the panel review on both dates;
- Panelists: One (1) panel chair, eight (8) expert reviewers and two (2) advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria.
- Four (4) CSRA employees participated in the meeting. Two (2) additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- Four (4) CPRIT staff members participated in the meeting on May 24, 2018 and three (3) on May 25, 2018.
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COIs):

- Two (2) COIs were identified prior to and/or during the meeting. All two (2) pertained to applications that were discussed.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted application.
- All reviewers with a conflict of interest signed out on the COI log when leaving the room.

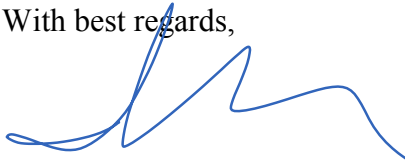
Conclusion

In conclusion; we observed that the activities of the Prevention Peer Review Meeting 18.2 – Panel 2 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
FY 18.2 Prevention Council Programmatic Review
Observation Report

Report No. 2018-07-06_18.2_PRV_PRC
Program Name: Prevention
Panel Name: FY18.2 Prevention Review Council Programmatic Review

Panel Date: July 6, 2018
Report Date: July 9, 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 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 FY18.2 Prevention Review Council Programmatic Review. The meeting was chaired by Stephen Wyatt and conducted by teleconference on July 6, 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;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Prevention peer review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Thirteen (13) applications were discussed;
- Panelists: One (1) panel chair, two (2) expert reviewers and zero (0) advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria;
- One (1) CSRA staff employee was present on the phone;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- One (1) CPRIT staff member was present on the phone;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;

Regarding applications with a conflict of interest (COIs):

- Zero (0) COIs were identified prior to and/or during the meeting.

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.

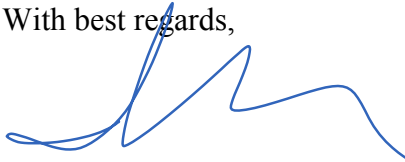
Conclusion

In conclusion; we observed that the activities of the FY18.2 Prevention Review Council Programmatic Review panel 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Prevention 18.2 Applications
(Prevention Cycle 18.2 Awards Announced at August 24, 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 18.2 include *Evidence-Based Cancer Prevention Services*, *Tobacco Control and Lung Cancer Screening*, and *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations*. 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			
PP180077	Janice Blalock	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen
PP180091	Mamta Jain	The University of Texas Southwestern Medical Center	Dee Margo
Applications not considered by the PIC or Oversight Committee			
PP180071	Lori Palazzo	Williamson County & Cities Health District	Michael Eriksen
PP180092	Amelie Ramirez	The University of Texas Health Science Center at San Antonio	Michael Eriksen
PP180098	Mark Hernandez	Community Care Collaborative	Michael Eriksen
PP180100	Adriana Valdes	Cancer and Chronic Disease Consortium	Ross Brownson
PP180111	Theresa Byrd	Texas Tech University Health Sciences Center	Michael Eriksen
PP180068	Louis Brown	The University of Texas Health Science Center at Houston	Heather Brandt
PP180094	David McClellan	Texas A&M University System Health Science Center	Heather Brandt

De-Identified Overall Evaluation Scores

Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

Prevention Cycle 18.2

Application ID	Final Overall Evaluation Score
PP180091*	1.9
PP180089*	2.8
Ja	3.4
Jb	3.4
Jc	3.4
Jd	3.5

* Recommended for award

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 applicants on the attached list of submitted proposals responded to CPRIT requests for applications (RFA) released for the second review cycle of FY2018.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are provided for each grant application. The proposed budget reduction of 10.02% for all recommended projects assures that sufficient funds are available to support all recommended Prevention grants for this cycle. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for the remainder of fiscal year 2018 is \$14,322,579. These recommended projects total \$14,322,379.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,

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

Application ID		Application Title	PD	Organization	Score	Rank Order	recommended budget
PP180080	EBP	HPV Vaccination in a Pediatric Minority-Based Community Oncology Network	Grimes, Allison	The University of Texas Health Science Center at San Antonio	1.6	1	\$1,010,690
PP180091	EPS	STOP-HCC Expansion Grant	Jain, Mamta	The University of Texas Southwestern Medical Center	1.9	2	\$2,592,731
PP180026	EBP	Pasos Para Prevenir Cancer: Obesity-related Cancer Prevention in El Paso	Salinas, Jennifer J	Texas Tech University Health Sciences Center at El Paso	2.0	3	\$1,244,512
PP180086	EBP	Liver Cancer Prevention among those with Experiences of Homelessness	Schick, Vanessa R	The University of Texas Health Science Center at Houston	2.3	4	\$1,159,751
PP180082	EBP	West Texas HCV Screening and Linkage to Care Program	Gallegos, Patricia	Centro San Vicente	2.4	5	\$1,349,700
PP180018	EBP	BSPAN4: Optimizing Spatial Access to High-Quality Breast Screening & Patient Navigation for Rural Underserved Women across North Texas	Lee, Simon Craddock	The University of Texas Southwestern Medical Center	2.5	6	\$1,349,700
PP180077	TCL	Increasing Access to Smoking Cessation and Smoke Free Home Services for Low-Income Pregnant Women in Northeast Texas	Blalock, Janice A	The University of Texas M. D. Anderson Cancer Center	2.6	7	\$1,346,919
PP180092	TCL	Tobacco Services for Primary Care & Cancer Patients at UT Health San Antonio	Ramirez, Amelie G	The University of Texas Health Science Center at San Antonio	2.6	8	\$1,324,982
PP180012	EBP	Vaccinating medically underserved women against HPV	Berenson, Abbey B	The University of Texas Medical Branch at Galveston	2.7	9	\$1,344,926
PP180089	EPS	Adolescent Vaccination Program (AVP): Expanding a Successful Clinic-based Multicomponent HPV Vaccination Program to the San Antonio Area	Vernon, Sally W	The University of Texas Health Science Center at Houston	2.8	10	\$1,598,468



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 2
*Tobacco Control & Lung Cancer
Screening*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-18.2-TCL

Tobacco Control and Lung Cancer Screening

**Please also refer to the Instructions for Applicants document,
which will be posted on November 20, 2017**

Application Receipt Opening Date: November 20, 2017

Application Receipt Closing Date: February 21, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 10/27/17 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 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.

People who use tobacco products or who are regularly around [environmental tobacco smoke](#) have an increased risk of cancer because tobacco products and secondhand smoke contain many chemicals that damage DNA. Tobacco use causes many types of cancer, and there is no safe level of tobacco use. People who quit smoking, regardless of their age, have substantial gains in life expectancy compared with those who continue to smoke. Also, quitting smoking at the time of a cancer diagnosis reduces the risk of death.¹

Tobacco use accounts for at least 30% of all cancer deaths, causing 83% of lung cancer deaths in men and 76% of lung cancer deaths in women.² Lung cancer is the leading cause of cancer-related mortality in Texas; in 2016 there were an estimated 9,438 deaths.³

The **Tobacco Control and Lung Cancer Screening (TCL)** award mechanism seeks to fund programs on tobacco prevention and cessation, as well as screening for early detection of lung cancer. Through release of this RFA, CPRIT's goal is to stimulate more programs across the state, thereby providing greater access for underserved populations and reducing the incidence and mortality rates of tobacco-related cancers.

This RFA seeks to promote and deliver evidence-based programming designed to significantly increase tobacco cessation among adults and/or prevent tobacco use by youth. In addition to evidence-based interventions for tobacco prevention and cessation, screening to detect cancer early, before it has spread, can reduce lung cancer mortality. For the early detection of lung cancer, the US Preventive Services Task Force (USPSTF) recommends annual lung cancer screening with low-dose computerized tomography (LDCT) for persons between the ages of 55 and 77 years old who have a history of heavy smoking (30 pack years or more) and who currently smoke or have quit within the past 15 years. The Centers for Medicare and Medicaid Services (CMS) has approved coverage and reimbursement for lung cancer screening for

individuals 55 to 77 years of age that meet their criteria. CMS also has eligibility criteria for radiologists and facilities delivering the screening services (<https://www.cms.gov/medicare-coverage-database/details/nca-decision-memo.aspx?NCAId=274>).

CPRIT will support programs screening individuals aged 55 to 77 that follow the CMS criteria for screening, radiologists, and facilities. CMS also requires delivery of smoking cessation counseling if LCDT screening is offered; however, for funding through this mechanism, CPRIT requires that robust evidence-based cessation interventions that go beyond offering only a referral or provision of information about smoking cessation interventions be delivered (see [section 2.3](#) for details).

Programs proposed under this mechanism should be designed to reach and serve as many people as possible. Partnerships with other organizations that can support and leverage resources are strongly encouraged. A coordinated submission of a collaborative partnership program in which all partners have a substantial role in the proposed project is preferred.

2.2. Project Objectives

CPRIT seeks to fund projects that will address objectives listed under Option A **or** Option B:

A. Tobacco Prevention and Cessation for any age group

- Promote and deliver evidence-based programming designed to significantly increase tobacco cessation among adults and/or prevent tobacco use by youth including combustible cigarettes, oral tobacco products and/or electronic devices that deliver nicotine.
- Increase the adoption and sustained implementation of evidence-based strategies by state and local public health agencies designed to reduce tobacco use.
- Increase the adoption and implementation of evidence-based strategies designed to mobilize communities, improve systems and programs to influence societal norms, and encourage and support individuals in adoption of tobacco prevention and cessation behaviors.
- Increase the adoption and sustained implementation of evidence-based strategies by clinicians designed to reduce tobacco use.
- Stimulate the creation, adoption, and implementation of evidence-based strategies and policies designed to significantly improve the effectiveness of health care or other systems in reducing tobacco use among the patients and employees of those systems.

- Implement policy changes and/or system improvements that are sustainable over time
- Focus on underinsured and uninsured population groups by implementation of strategies and activities that may significantly reduce tobacco use and cancer-related disparities.

B. Lung Cancer Screening, Early Detection, and Cessation for individuals 55 to 77 years of age

- Develop, implement, and evaluate strategies to significantly increase use of LDCT screening for earlier detection of lung cancer following the USPSTF criteria and definition of high-risk populations (history of 30 pack years of smoking, individuals between 55 and 77 years of age who currently smoke or who have quit smoking within the past 15 years), as well as meet CMS eligibility criteria for radiologists and facilities
- Deliver evidence-based programming designed to significantly increase tobacco cessation among adults 55 to 77 years old that are being screened or considered for screening
- Deliver education for health care providers that includes, but is not limited to, earlier detection of lung cancer, diagnosis and treatment of lung cancer, tobacco cessation programming, and comprehensive behavioral health change initiatives
- Increase shared decision-making between the health care provider and patients about eligibility, risks, and benefits of lung LDCT screening
- Stimulate the creation, adoption, and implementation of evidence-based strategies and policies designed to significantly improve the effectiveness of health systems in reducing tobacco use among the patients being screened or considered for screening
- Implement policy changes and/or system improvements that are sustainable over time
- Focus on underinsured and uninsured population groups by implementation of strategies and activities that may significantly reduce tobacco use and cancer-related disparities

2.3. Award Description

The Tobacco Control and Lung Cancer Screening RFA solicits applications for projects that may be up to 36 months in duration that will deliver evidence-based interventions focused on tobacco prevention (prevent tobacco use or sustained abstinence) and tobacco cessation among youth

and/or adults. This RFA will also support LDCT screening for populations eligible for this intervention as defined by CMS if paired with evidence-based cessation interventions for the population to be screened.

As detailed below, projects may propose comprehensive tobacco cessation programs for youth and/or adults, **(Option A)**, or projects may propose programs that include comprehensive tobacco cessation programs plus LDCT lung cancer screening for eligible participants aged 55 to 77, **(Option B), but not both.**

CPRIT's priorities include a focus on underserved populations and the targeting of areas and populations where significant disparities exist. Projects should propose to develop, adopt, and implement strategies and activities that have the potential to significantly reduce tobacco use and cancer-related disparities and serve underinsured and uninsured population groups. If addressing worksites, projects should focus on worksites that are likely to have limited or no health insurance; eg, part-time or hourly workers. (See priority populations, [section 2.4](#)).

Proposals are encouraged to incorporate evidence-based interventions such as those found in Community Guide to Reducing Tobacco Use and Secondhand Smoke Exposure; CDC Policies and Practices for Cancer Prevention: Lung Cancer Screening Programs; CDC Best Practices for Comprehensive Tobacco Control Programs; and American College of Chest Physicians/American Thoracic Society Policy statement on Components Necessary for High Quality Lung Cancer Screening. In addition, USPSTF guidelines and CMS criteria must be met if providing LDCT screening.

The following are required components of the project:

Option A. Tobacco Prevention and Cessation services

Projects under this option for tobacco prevention and cessation services without LDCT screening must provide the following:

- Evidence-based tobacco prevention and tobacco cessation education and services for adults and/or youth that include behavioral as well as pharmacotherapy interventions (if such interventions are indicated for youth). Effective cessation interventions include individual, group, and telephone counseling as well as FDA-approved cessation medications. Programs may include prevention and cessation of any product that delivers nicotine, including combustible cigarettes, oral tobacco products, and/or electronic devices.

In addition, projects should include SOME combination of the following:

- Evidence-based strategies delivered by public health officials (eg, state or local public health agencies) designed to reduce tobacco use and increase the adoption and sustained implementation of tobacco control programs;
- Evidence-based strategies designed to mobilize communities, improve systems and programs to influence societal norms, and encourage and support individuals in adoption of prevention and cessation behaviors (eg, NCI RTIPS interventions);
- Evidence-based strategies designed to improve the knowledge, skills, and effectiveness of health care providers in providing direct tobacco cessation interventions (eg, 5 A's approach); and
- Evidence-based strategies designed to improve the efficacy/effectiveness of health systems in tobacco cessation, including changes in how health systems approach tobacco cessation (eg, integration into EMRs, clinical workflows, well-visit protocols).

Option B. Lung Cancer screening and early detection services plus cessation services

Projects under this option that includes lung cancer LDCT screening and relevant diagnostic interventions in addition to robust evidence-based tobacco cessation interventions must include **ALL** of the following:

- LDCT lung cancer screening must be provided according to CMS and USPSTF guidelines.
- LDCT lung cancer screening facilities and radiologists must meet CMS requirements.
- Education for health care providers that includes, but is not limited to, earlier detection of lung cancer, diagnosis and treatment of lung cancer, tobacco cessation programming, and more comprehensive behavioral health change initiatives.
- Strategic educational initiatives for both the health care provider and patients focused on patient-centered health care that involves shared decision-making about eligibility, risks and benefits, and implementation of lung LDCT.
- The development, adoption, and implementation of robust evidence-based tobacco cessation interventions for individuals 55 to 77 years of age before screening as well as post LDCT screening. In cases where screening results are normal, cessation interventions begun before the results of screening are received may increase the motivation to continue with cessation treatments.

- Cessation interventions must be comprehensive and robust and integrated with the screening program. Cessation interventions must involve more than handing out educational materials or referral to either the Quitline or other cessation resources and include behavioral as well as pharmacotherapy interventions. Cessation services offered outside the clinic setting require a formal agreement/memorandum of understanding for patient followup and confirmation of behavioral changes for the patients referred. Patient cessation outcomes are to be reported to CPRIT.
- The development, adoption, and implementation of enhancements and improvements in health and health care systems and/or policy that can increase the effectiveness of tobacco and cancer control (ie, integration into EMRs, clinical workflow, and well-visit protocols).
- The development, adoption, and implementation of procedures and protocols for frequent followup of patients to assess not only participation but successful outcomes regarding accessing cessation services, sustained abstinence, and outcomes known to be related to sustained cessation.
- The development, adoption, and implementation of system policies and protocols that include but are not limited to who should be offered screening within the USPSTF guidelines, frequency of screening, who should be followed, and who should proceed to surgical resection.
- Recognizing that there are false positives and false negatives in LDCT screening, the development, adoption, and implementation of evidence-based protocols for abnormal LDCT results.
- Patient navigation into treatment when cancer is diagnosed. Applicants must describe the resources available for treatment of uninsured patients.

CPRIT's services grants are intended to fund prevention interventions that have a demonstrated evidence base and are culturally appropriate for the priority population.

CPRIT recognizes that evidence-based services have been developed but not implemented or tested in all populations or service settings. In such cases, other forms of evidence (eg, preliminary evaluation or pilot project data) that the proposed service is appropriate for the population and has a high likelihood of success must be provided. The applicant must fully describe the base of evidence and any plans to adapt and evaluate the implementation of the program for the specific audience or situation.

CPRIT encourages traditional and nontraditional collaborative partnerships as well as leveraging of existing resources and dollars from other sources. A collaborative partnership is one in which all partners have a substantial role in the proposed project. Letters of commitment describing their role in the partnership are required from all partners.

CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area) in the provision of evidence-based services, changes in provider practice, systems changes, and cost-effectiveness. Applicants must demonstrate how these outcomes will ultimately impact incidence, mortality, morbidity, or quality of life.

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

- **Projects focusing solely on case management/patient navigation services.** Case management/patient navigation services must be paired with tobacco prevention or cessation services. Furthermore, while navigation to the point of treatment of cancer is required when cancer is discovered through a CPRIT-funded project, applications seeking funds to provide coordination of care while an individual is in treatment are not allowed under this RFA.
- **Projects focusing on tobacco prevention and cessation education without the delivery of cessation or other clinical services.** Such projects may apply to the Cancer Prevention Promotion and Navigation to Clinical Services RFA.
- **Projects requesting CPRIT funding for Quitline services.** Applicants proposing the utilization of Quitline services should communicate with the Tobacco Prevention and Control program prior to submitting a CPRIT grant application to discuss the services currently offered by the Texas Department of State Health Services (DSHS).
- **Projects involving prevention/intervention research.** Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at <http://www.cprit.texas.gov>).⁴

2.4. Priorities

Types of Cancer: Only projects proposing tobacco control interventions and lung cancer screening will be considered for funding. See [section 2.5](#) for specific areas of emphasis.

The Prevention Program's priorities for funding include the following:

1) Populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence:

CPRIT programs must address underserved populations. Underserved populations are subgroups that are disproportionately affected by cancer. CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals;
- Medically unserved or underserved populations;
- Racial, ethnic, and cultural minority populations;
- Individuals with higher prevalence of cancer risk factors (eg, obesity, tobacco use, alcohol misuse, unhealthy eating, sedentary lifestyle);
- 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 (more than 5 years for breast/cervical cancers).

The age of the priority population and frequency of screening for provision of clinical services described in the application must comply with established and current national guidelines (eg, USPSTF, American Cancer Society).

2) Geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence:

While disparities and needs exist across the state, CPRIT will also prioritize applications proposing to serve geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence. In addition, projects addressing areas of emphasis (see [section 2.5](#)) will receive priority consideration.

Geographic and Population Balance in Current CPRIT portfolio:

At the programmatic level of review conducted by the Prevention Review Council (see [section 5.1](#)), priority will be given to projects that target geographic regions of the state and population subgroups that are not adequately covered by the current CPRIT Prevention project portfolio (see <http://www.cprit.texas.gov/prevention/resources-for-cancer-prevention-and-control> and <http://www.cprit.texas.gov/funded-grants>).

2.5. Specific Areas of Emphasis

CPRIT has identified the following areas of emphasis for this cycle of awards.

<u>Primary Prevention</u>
Tobacco Prevention and Control
<ul style="list-style-type: none">• Vulnerable and high-risk populations, including people with mental illness, history of substance abuse, youth, and pregnant women, that have higher tobacco usage rates than the general population.• Areas that have higher smoking rates per capita than other areas of the state. Public Health Regions (PHR) 4, 5, and 9 have significantly higher tobacco use among adults than in other regions of the state.
<u>Secondary Prevention - Screening and Early Detection Services</u>
Lung Cancer
<ul style="list-style-type: none">• Decreasing disparities in incidence and mortality rates of lung cancer in racial/ethnic populations. Blacks have higher mortality rates than Hispanics and non-Hispanic whites.• Increasing screening/detection rates in PHR 2, 4, and 5, where the highest rates of cancer incidence and mortality are found.

2.6. Outcome Metrics

Applicants are required to clearly describe their assessment and evaluation methodology. The applicant is required to describe final outcome measures for the project. Output measures that are associated with the final outcome measures should be identified in the project plan and will serve as a measure of program effectiveness. Planned policy or system changes should be identified and the plan for qualitative analysis described. **Baseline data for each measure proposed are required.** In addition, applicants should describe how funds from the CPRIT grant will improve outcomes over baseline. If the applicant is not providing baseline data for a measure, the applicant must provide a well-justified explanation and describe clear plans and method(s) of measurement to collect the data necessary to establish a baseline. Applicants are required to fully describe any planned systems, policy changes, or improvements.

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:
 - Summary page, including narrative on project progress (required);
 - Services, other than clinical services, provided to the public/professionals;
 - Actions taken by people/professionals as a result of education or training;
 - Clinical services provided (county of residence of client is required); and
 - Precursors and cancers detected.
- Annual and final progress report sections include, but are not limited to, the following:
 - Key accomplishments, **including qualitative analysis of policy change and/or lasting systems change** and;
 - Progress toward goals and outcome objectives, including percentage increase over baseline in provision of age- and risk-appropriate education and navigation services to eligible individuals in a defined service area;
 - Materials produced and publications;
 - 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 evaluation of the project must be headed by a professional who has demonstrated expertise in the field and who resides in Texas during the time that the project is conducted.

- 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 may submit more than 1 application, but each application must be for distinctly different services without overlap in the services provided. Applicants who do not meet this criterion will have all applications administratively withdrawn without peer review.
- If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.
- If the applicant or a partner is an existing DSHS contractor, CPRIT funds may not be used as a match, and the application must explain how this grant complements or leverages existing state and federal funds. DSHS contractors who also receive CPRIT funds must be in compliance with and fulfill all contractual obligations within CPRIT. CPRIT and DSHS reserve the right to discuss the contractual standing of any contractor receiving funds from both entities.
- 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.
- 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. Continuation/Expansion Policy

- A grant recipient that has previously been awarded grant funding from CPRIT may submit an application under this mechanism to be considered for a continuation/expansion grant. The eligibility criteria described in [section 2.7](#) also apply to continuation/expansion applications. Before submitting an application for this award, applicants must consult with the Prevention Program Office (see [section 7.2](#)) to determine whether it is appropriate for their organization to seek continuation/expansion funding at this time.
- Continuation/Expansion grants are intended to fund continuation or expansion of currently or previously funded projects that have demonstrated exemplary success, as evidenced by progress reports and project evaluations, and desire to further enhance their impact on priority populations. Detailed descriptions of **results, barriers, outcomes, and impact of the currently or previously funded project are required** (see outline of Most Recently Funded Project Summary, [section 4.4.10.1](#)).
- Proposed continuation/expansion projects should NOT be new projects but should closely follow the intent and core elements of the currently or previously funded project. Established infrastructure/processes and fully described prior project results are required. Improvements and expansion (eg, new geographic area, additional services, new populations) are strongly encouraged but will require justification. Expansion of current projects into geographic areas not well served by the CPRIT portfolio (see maps at <http://www.cprit.texas.gov/prevention/cprit-portfolio-maps/>), especially rural areas or subpopulations of urban areas that are not currently being served, will receive priority consideration. CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area). It is expected that baselines will have already been established and that continued improvement over baseline is demonstrated in the current application. However, in the case of a proposed expansion where no baseline data exist for the priority population, the applicant must present clear plans and describe method(s) of measurement used to collect the data necessary to establish a baseline. Applicants must demonstrate how these outcomes will ultimately impact cancer incidence, mortality, morbidity, or quality of life.
- CPRIT also expects that applications for continuation **will not** require startup time, that applicants can demonstrate that they have overcome barriers encountered, and that

applicants have identified **lasting systems changes** that improve results, efficiency, and sustainability. Leveraging of resources and plans for dissemination are expected and should be well described.

2.10. Funding Information

Applicants may request any amount of funding up to a maximum of \$1.5 million in total funding over a maximum of 36 months for new or continuation/expansion projects. Grant funds may be used to pay for clinical services, navigation services, salary and benefits, project supplies, equipment, costs for outreach and education of populations, 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. Applicants offering screening services must ensure that there is access to treatment services for patients with cancers that are detected as a result of the program and must describe access to treatment services in their application.

While this mechanism will fund diagnostic workup of abnormal LDCT results, applicants are encouraged to find additional sources to support the more costly diagnostic tests that may be needed. Proposed programs should be designed to reach and serve as many people as possible, and costly diagnostic tests could limit the reach of the program. Review of the proposals includes budget considerations such as the cost per person served and whether the budget is appropriate and reasonable and a good investment of Texas public funds.

The budget should be proportional to the number of individuals receiving programs and services, and a significant proportion of funds is expected to be used for program delivery as opposed to program development. 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.

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.

2.11. Opportunity for Applied Research

Since lung cancer screening has only recently become an approved screening tool and may occur in a variety of settings, there remain many questions and opportunities for continued study to

optimize the pairing of smoking cessation services with lung cancer screening and to improve the outcomes of lung cancer screening. CPRIT encourages successful applicants to consider how they might leverage a Prevention grant award and the population being screened to address these or other research questions and apply to CPRIT's Academic Research Program. The CPRIT Academic Research Program will release a RFA for the Individual Investigator Research Award for Prevention and Early Detection (IIRAP) in early 2018.

Examples of potential research questions follow:

- What are the most effective components of outreach and education strategies designed to influence underserved populations to make good decisions about their health and participate in shared decision-making and lung cancer screening?
- What are the most formidable barriers influencing the initiation of tobacco cessation counseling and lung cancer screening among underserved population groups?
- What are the most effective components of evidence-based cessation interventions delivered in conjunction with LDCT screening?
- What are effective shared decision-making interventions for LDCT?
- What is the cost-effectiveness of LDCT alone and/or in conjunction with various evidence-based interventions for tobacco cessation?
- What are the most effective evidence-based protocols for diagnostic work up of lung nodules in community settings?
- Can risk models be developed to define subgroups that might disproportionately benefit or be harmed with LDCT screening?
- What is the role of biomarkers in LDCT screening?

3. KEY DATES

RFA

RFA release October 27, 2017

Application

Online application opens November 20, 2017, 7 AM central time

Application due February 21, 2018, 4 PM central time

Application review May-July 2018

Award

Award notification August 2018

Anticipated start date August 31, 2018

Applicants will be notified of peer review panel assignment prior to the peer review meeting dates.

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 November 20, 2017, and must be submitted by 4 PM central time on February 21, 2018. Detailed instructions for submitting an application are in the *Instructions for Applicants* document, posted in 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 in the specific service area. Include rates of incidence, mortality, and screening in the service area compared to overall Texas rates. Describe barriers, plans to overcome these barriers, and the priority population to be served.
- **Overall Project Strategy:** Describe the project and how it will address the identified need. Clearly explain what the project is and what it will specifically do, including the services to be provided and the process/system for delivery of services and outreach to the priority population.
- **Specific Goals:** State specifically the overall goals of the proposed project; include the estimated overall numbers of people (public and/or professionals) reached and people (public and/or professionals) served.
- **Innovation:** Describe the creative components of the proposed project and how it differs from current programs or services being provided.
- **Significance and Impact:** Explain how the proposed project, if successful, will have a unique and major impact on cancer prevention and control for the population proposed to be served 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 included in the project plan only. The maximum number is 3

goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives. See [Appendix B](#) for instructions on writing outcome goals and objectives.

A baseline and method(s) of measurement are required for each objective. Provide both raw numbers and percent changes for the baseline and target. If a baseline has not 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, 2, 3, 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: Briefly present the rationale behind the proposed service, emphasizing the critical barriers to current service delivery that will be addressed. Identify the evidence-based service to be implemented for the priority population. If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data for the target population and target service area are required where applicable.

Reviewers will be aware of national and state statistics, and these should be used only to compare rates for the proposed service area. Describe the geographic region of the state that the project will serve; maps are encouraged.

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 B](#) for instructions on writing goals and objectives.

Components of the Project: Clearly describe the need, delivery method, and evidence base (provide references) for the services as well as anticipated results. Be explicit about the base of evidence and any necessary adaptations for the proposed project. Describe why this project is nonduplicative, creative, or unique. If an organization has a current CPRIT grant that is the same

or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.

It is important to distinguish between Texas counties where the project proposes to deliver services and counties of residence of population served (see [Appendix A](#) for definitions and Instructions for Applicants). Only counties with service delivery should be listed in the Geographic Area to be Served section of the application. Projecting counties of residence of population served is not required but may be described in the project plan.

Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline and the ability to reach the priority population. Applicants must also clearly describe plans to ensure access to treatment services should cancer be detected.

Evaluation Strategy: A strong commitment to evaluation of the project is required. Describe the plan for outcome and output measurements, including qualitative analysis of policy and system changes. Describe data collection and management methods, data analyses, and anticipated results. Evaluation and reporting of results should be headed by a professional who has demonstrated expertise in the field. 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 involve that professional during grant application preparation to 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 track record and success in providing programs and services. Describe the role and qualifications of the key collaborators/partners in the project. Include information on the organization's financial stability and viability. To ensure access to preventive services and reporting of services outcomes, applicants should demonstrate that they have provider partnerships and agreements (via memoranda of understanding) or commitments (via letters of commitment) in place.

Integration and Capacity Building: CPRIT funds projects that target the unmet needs not sufficiently covered by other funding sources, and full maintenance of the project may not be feasible. This is especially the case when the project involves the delivery of clinical services. Educational and other less costly interventions may be more readily sustained. Full maintenance of a project, the ability of the grantee's setting or community to continue to deliver the health benefits

of the intervention as funded, is not required; however, efforts toward maintenance should be described.

It is expected that steps toward integration and capacity building for components of the project will be taken and plans for such be fully described in the application. *Integration* is defined as the extent the evidence-based intervention is integrated within the culture of the grantee's setting or community through policies and practice. The applicant should develop and describe a plan for systems changes that are sustainable over time (improve results, provider practice, efficiency, cost-effectiveness) as well as describe entities that could continue and integrate components of the project after CPRIT support ends. *Capacity building* is any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee's setting or community to continue the delivery of some or all components of the evidence-based intervention.

Elements of integration and capacity building may include, but are not limited to, the following:

- Developing ownership, administrative networks, and formal engagements with stakeholders;
- Developing processes for each practice/location to incorporate services into its structure beyond project funding;
- Identifying and training of diverse resources (human, financial, material, and technological);
- Implementing policies to improve effectiveness and efficiency (including cost-effectiveness) of systems.

Dissemination and Scalability (Expansion): Dissemination of project results and outcomes, including barriers encountered and successes achieved, is critical to building the evidence base for cancer prevention and control efforts in the state. Dissemination methods may include, but are not limited to, presentations, publications, abstract submissions, and professional journal articles, etc.

Describe how the project lends itself to dissemination to or application by other communities and/or organizations in the state or expansion in the same communities.

4.4.5. People Reached (Indirect Contact)

Provide the estimated overall number of people (members of the public and professionals) to be reached by the funded project. The applicant is required to itemize separately the types of indirect

noninteractive education and outreach activities, with estimates, that led to the calculation of the overall estimates provided. Refer to [Appendix A](#) for definitions.

4.4.6. Number of Services Delivered (Direct Contact)

Provide the estimated overall number of services directly delivered to members of the public and to professionals by the funded project. Each service should be counted, regardless of the number of services one person receives. The applicant is required to itemize separately the education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimate provided. Refer to [Appendix A](#) for definitions.

4.4.7. Number of Unique People Served (Direct Contact)

Provide the estimated overall number of unique members of the public and professionals served by the funded project. One person may receive multiple services but should only be counted once here. Refer to [Appendix A](#) for definitions.

4.4.8. 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 services.

4.4.9. 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 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.

4.4.10. Continuation/Expansion Application Documents

If the project proposed is being submitted for competitive renewal, the additional document described in [section 4.4.10.1](#) is required.

4.4.10.1 Most Recently Funded Project Summary (3 pages)

Upload a summary that outlines the progress made with the most recently funded CPRIT award and outlines the proposed use of continuation/expansion funding and the resulting value for Texas. Applicants must describe and demonstrate how appropriate/adequate progress has been made on the most recently funded award to warrant further funding.

Please note that a different set of reviewers from those assigned to the previously funded application may evaluate this application. Applicants should make it easy for reviewers to compare the most recently funded project with the proposed continuation/expansion project.

In the description, include the following:

- Describe the evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- List approved goals and objectives of the most recently funded grant.
- For each objective, provide the following:
 - Milestones/target dates and target metrics
 - Actual completion dates and metrics
- For the most recently funded project, describe major activities; significant results, including major findings, developments or conclusions (both positive and negative); and key outcomes. If the project has not yet ended, provide projections for completion dates and final metrics. Include a discussion of objectives not fully met. Explain any barriers encountered and strategies used to overcome these.
- Describe steps taken toward integration and capacity building for components of the projects. Fully describe systems or policy improvements and enhancements.
- Describe how project results were disseminated or plans for future dissemination of results.

4.4.11. CPRIT Grants Summary

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

4.4.12. 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, services delivery, 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 2.10](#) will be administratively withdrawn.

- **Average Cost of Services:** The average cost of services will be automatically calculated from the total cost of the project divided by the total number of services (refer to [Appendix A](#)). A significant proportion of funds is expected to be used for program delivery as opposed to program development and organizational infrastructure.
- **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.
- **Services Costs:**
 - CPRIT reimburses for services using Medicare reimbursement rates. Describe the source of funding for all services where CPRIT funds are not requested.
 - CPRIT does not allow recovery of costs related to tests that have not been recommended by the USPSTF.
- **Other Expenses:**
 - **Incentives:** Use of incentives or positive rewards to change or elicit behavior is allowed; however, incentives may only be used based on strong evidence of their

effectiveness for the purpose and in the priority population identified by the applicant. CPRIT will not fund cash incentives. The maximum dollar value allowed for an incentive per person, per activity or session, is \$25.

- **Costs Not Related to Cancer Prevention and Control:** CPRIT does not allow recovery of any costs for services not related to cancer (eg, health physicals, HIV testing).
- **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](#).

4.4.13. 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.

4.4.14. 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.

The evaluation professional must provide a biographical sketch.

Up to 3 additional biographical sketches for key personnel may be provided.

Each biographical sketch must not exceed 2 pages and should 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.

4.4.15. 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, clinical services, recruitment to screening).

4.4.16. Letters of Commitment (10 pages)

Applicants should provide letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program. Letters should be specific to the contribution of each organization.

5. APPLICATION REVIEW

5.1. Review Process Overview

All eligible applications will be reviewed using a 2-stage peer review process: (1) evaluation of applications by peer review panels and (2) prioritization of grant applications by the Prevention Review Council. In the first stage, applications will be evaluated by an independent review panel using the criteria listed below. In the second stage, applications judged to be meritorious by review panels will be evaluated by the Prevention Review Council and recommended for funding based on comparisons with applications from all of the review panels and programmatic priorities. Programmatic considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service. The scores are only 1 factor considered during programmatic review. At the programmatic level of review, priority will be given to proposed projects that target geographic regions of the state or population subgroups that are not well represented in the current CPRIT Prevention project portfolio.

Applications approved by 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 to 703.8](#).

Each stage of application review is conducted confidentially, and all CPRIT Peer Review Panel members, 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.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer Review Panel members are listed by panel on CPRIT's website. **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

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, identified below. Review panels consisting of experts in the field and advocates will evaluate and score each primary criterion and subsequently assign an overall score that reflects an overall assessment of the application. The overall evaluation score will not be an average of the

scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application and responsiveness to the RFA priorities.

5.2.1. Primary Evaluation Criteria

Impact and Innovation

- Do the proposed services address an important problem or need in cancer prevention and control and avoid duplication of effort? Does the proposed project demonstrate creativity, ingenuity, resourcefulness, or imagination? Does it take evidence-based interventions and apply them in innovative ways to explore new partnerships, new audiences, or improvements to systems?
- If applicable, does the proposed project build on its initial results and/or infrastructure? Does it address what the applicant has learned or explore new partnerships, new audiences, or improvements to systems?
- Does the program address adaptation, if applicable, of the evidence-based intervention to the priority population? Is the base of evidence clearly explained and referenced?
- If applicable, have collaborative partners demonstrated that the collaborative effort will provide a greater impact on cancer prevention and control than the applicant organization's effort separately?
- Will the project reach and serve an appropriate number of people based on the budget allocated to providing services and the cost of providing services?

Project Strategy and Feasibility

- Does the proposed project provide services specified in the RFA?
- Are the overall program approach, strategy, and design clearly described and supported by established theory and practice? Are the proposed objectives and activities feasible within the duration of the award? Has the applicant convincingly demonstrated the short- and long-term impacts of the project?
- Has the applicant proposed policy changes and/or system improvements?
- Are possible barriers addressed and approaches for overcoming them proposed?
- Are the priority population and culturally appropriate methods to reach the priority population clearly described?

- If applicable, does the application demonstrate the availability of resources and expertise to provide case management, including followup for abnormal results and access to treatment?
- Does the program leverage partners and resources to maximize the reach of the services proposed? Does the program leverage and complement other state, federal, and nonprofit grants?

Outcomes Evaluation

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed outcome measures appropriate for the services provided, and are the expected changes clinically significant?
- Does the application provide a clear and appropriate plan for data collection and management and data analyses?
- Are clear baseline data provided for the priority population, or are clear plans included to collect baseline data?
- If an evidence-based intervention is being adapted in a population where it has not been implemented or tested, are plans for evaluation of barriers, effectiveness, and fidelity to the model described?
- Is the qualitative analysis of planned policy or system changes described?

Organizational Qualifications and Capabilities

- Do the organization and its collaborators/partners demonstrate the ability to provide the proposed preventive services? Does the described role of each collaborating organization make it clear that each organization adds value to the project and is committed to working together to implement the project?
- Have the appropriate personnel been recruited to implement, evaluate, and complete the project?
- Is the organization structurally and financially stable and viable?

Integration and Capacity Building

- Does the applicant describe steps that will be taken and components of the project that will be integrated into the organization through policies and practices?

- Does the applicant describe a plan for systems changes that are sustainable over time (eg, improve results, provider practice, efficiency, cost-effectiveness)?
- Does the applicant describe steps that will be taken or components of the project that will remain (eg, trained personnel, identification of alternative resources, building internal assets) to continue the delivery of some or all components of the evidence-based intervention once CPRIT funding ends?

5.2.2. Secondary Evaluation Criteria

Budget

- Is the budget appropriate and reasonable for the scope and services of the proposed work?
- Is the cost per person served appropriate and reasonable?
- Is the proportion of the funds allocated for direct services reasonable?
- Is the project a good investment of Texas public funds?

Dissemination and Scalability

- Are plans for dissemination of the project's results and outcomes, including barriers encountered and successes achieved, clearly described?
- Some programs may have unique resources and may not lend themselves to replication by others. If applicable, does the applicant describe a plan for scalability/expansion of all or some components of the project by others in the state?

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 (posted on November 20, 2017), 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/>
- Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. <http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf>

9. REFERENCES

1. National Cancer Institute, <https://www.cancer.gov>
2. American Cancer Society, Cancer Facts and Figures 2016,
<http://www.cancer.org/research/cancerfactsstatistics/cancerfactsfigures2016>
3. Texas Cancer Registry, Cancer Epidemiology and Surveillance Branch, Texas Department of State Health Services. <http://www.dshs.state.tx.us/tcr/default.shtm>
4. Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. <http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf>

APPENDIX A: KEY TERMS

- **Activities:** A listing of the “who, what, when, where, and how” for each objective that will be accomplished
- **Capacity Building:** Any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee’s setting or community to continue the delivery of some or all components of the evidence-based intervention
- **Clinical Services:** Number of clinical services such as screenings, diagnostic tests, vaccinations, counseling sessions, or other evidence-based preventive services delivered by a health care practitioner in an office, clinic, or health care system. Other examples include genetic testing or assessments, physical rehabilitation, tobacco cessation counseling or nicotine replacement therapy, case management, primary prevention clinical assessments, and family history screening.
- **Counties of Residence of Population Served:** Counties where the project does not plan to have a physical presence but people who live in these counties have received services. This includes counties of residence of people or places of business of professionals who participate in or receive education, navigation, or clinical services. Examples include people traveling to receive services as a result of marketing and programs accessible via the website or social media. These counties may be described in the project plan and must be reported in the quarterly progress report.
- **Counties with Service Delivery:** Counties where an activity or service will occur and the project has a physical presence for the services provided. Examples include onsite outreach and educational activities and delivery of clinical services through clinics, mobile vans, or telemedicine consults. These counties must be entered in the Geographic Area to be Served section of the application.
- **Education Services:** Number of evidence-based, culturally appropriate cancer prevention and control education and outreach services delivered to the public and to health care professionals. Examples include education or training sessions (group or individual), focus groups, and knowledge assessments.
- **Evidence-Based Program:** A program that is validated by some form of documented research or applied evidence. CPRIT’s website provides links to resources for evidence-

based strategies, programs, and clinical recommendations for cancer prevention and control. To access this information, visit <http://www.cprit.texas.gov/prevention/resources-for-cancer-prevention-and-control>.

- **Goals:** Broad statements of general purpose to guide planning. Outcome goals should be few in number and focus on aspects of highest importance to the project. ([Appendix B](#))
- **Integration:** The extent the evidence-based intervention is integrated within the culture of the grantee's setting or community through policies and practice
- **Navigation Services:** Number of unique activities/services that offer assistance to help overcome health care system barriers in a timely and informative manner and facilitate cancer screening and diagnosis to improve health care access and outcomes. Examples include patient reminders, transportation assistance, and appointment scheduling assistance.
- **Number of Services (Direct Contact):** Number of services delivered directly to members of the public and/or professionals—direct, interactive public or professional education, outreach, training, navigation service, or clinical service, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults. Note that one individual may receive multiple services.
- **Objectives:** Specific, **measurable**, actionable, realistic, and timely projections for outcomes; example: “Increase screening service provision in X population from Y% to Z% by 20xx.” Baseline data for the priority population must be included as part of each objective. ([Appendix B](#))
- **People Reached (Indirect contact):** Number of members of the public and/or professionals reached via indirect noninteractive public or professional education and outreach activities, such as mass media efforts, brochure distribution, public service announcements, newsletters, and journals. (This category includes individuals who would be reached through activities that are directly funded by CPRIT as well as individuals who would be reached through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.)
- **People Served (Direct Contact):** Number of members of the public and/or professionals served via direct, interactive public or professional education, outreach, training, navigation

service, or clinical service. This category includes individuals who would be served through activities that are directly funded by CPRIT as well as individuals who would be served through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.

APPENDIX B: WRITING GOALS AND OBJECTIVES

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

Develop well-defined outcome 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 only (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 measures participant changes resulting from a specific program, using these factors:
 - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
 - Attitudes – feeling about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetable 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 outcome 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 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 18.2 Peer Review Panel – 1
Observation Report

Report No. 2018-5-22 PRV_18.2_PP-1
Program Name: Prevention
Panel Name: FY18.2 Prevention Panel 1 (PP-1)

Panel Date: May 22, 2018 – May 23, 2018
Report Date: June 5, 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 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 18.2 Peer Review Meeting - Panel 1 meeting. The meeting was chaired by Ross Brownson and conducted in-person on May 22, 2018 and May 23, 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;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- Panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the CPRIT Prevention 18.2 Peer Review - Panel 1 meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Eight (8) applications were discussed on May 22, 2018; seven (7) applications were discussed on May 23, 2018 and one (1) application was not considered for a total of 16 applications being considered in the panel review on both dates;
- Panelists: One (1) panel chair, 8 expert reviewers and 2 advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria;
- Facilitators: Three (3) CSRA staff employees were present in the room and participated in the meeting; two (2) staff employees were not present in the room and participated in the meeting in a technical or logistic support role;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- CPRIT Staff: Four (4) CPRIT staff members participated in the meet on May 22, 2018 and three (3) on May 23, 2018;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COIs):

- Six (6) COIs were identified prior to and/or during the meeting. All six pertained to applications discussed.
- Reviewers with conflicts left the room and did not participate in the review of conflicted applications. All reviewers with a conflict of interest signed out on the COI log when leaving the room.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the observation procedures and objectives.

Conclusion

In conclusion; we observed that the activities of the CPRIT Prevention 18.2 Peer Review - Panel 1 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC
June 5, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
Prevention 18.2 Peer Review Panel – 2
Observation Report

Report No. 2018-5-24 PRV_18.2_PP-2
Program Name: Prevention
Panel Name: FY18.2 Prevention Panel 2 (PP-2)

Panel Date: May 24, 2018 – May 25, 2018
Report Date: June 5, 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 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 18.2 Prevention Peer Review Meeting - Panel 2 peer review of applications for FY18 funding. The meeting was chaired by Nancy Lee and conducted in-person on May 24, 2018 and May 25, 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;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Prevention peer review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Six (6) applications were discussed on May 24, 2018; six (6) applications were discussed on May 25, 2018; and three (3) applications were not considered for a total of fifteen (15) applications being considered in the panel review on both dates;
- Panelists: One (1) panel chair, eight (8) expert reviewers and two (2) advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria.
- Four (4) CSRA employees participated in the meeting. Two (2) additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- Four (4) CPRIT staff members participated in the meeting on May 24, 2018 and three (3) on May 25, 2018.
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions.

Regarding applications with a conflict of interest (COIs):

- Two (2) COIs were identified prior to and/or during the meeting. All two (2) pertained to applications that were discussed.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted application.
- All reviewers with a conflict of interest signed out on the COI log when leaving the room.

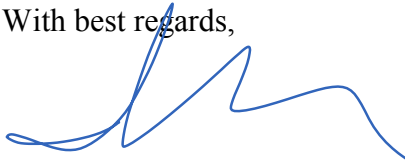
Conclusion

In conclusion; we observed that the activities of the Prevention Peer Review Meeting 18.2 – Panel 2 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)
FY 18.2 Prevention Council Programmatic Review
Observation Report

Report No. 2018-07-06_18.2_PRV_PRC
Program Name: Prevention
Panel Name: FY18.2 Prevention Review Council Programmatic Review

Panel Date: July 6, 2018
Report Date: July 9, 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 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 FY18.2 Prevention Review Council Programmatic Review. The meeting was chaired by Stephen Wyatt and conducted by teleconference on July 6, 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;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel discussion is focused on the established scoring criteria and/or making grant award recommendations.

Summary of Observation Results

Two (2) BFS independent observers participated in the Prevention peer review meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Thirteen (13) applications were discussed;
- Panelists: One (1) panel chair, two (2) expert reviewers and zero (0) advocate reviewers;
- Panelists' discussions were limited to the application evaluation criteria;
- One (1) CSRA staff employee was present on the phone;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- One (1) CPRIT staff member was present on the phone;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;

Regarding applications with a conflict of interest (COIs):

- Zero (0) COIs were identified prior to and/or during the meeting.

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.

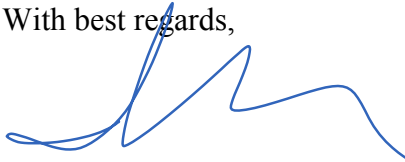
Conclusion

In conclusion; we observed that the activities of the FY18.2 Prevention Review Council Programmatic Review panel 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, CIA, CGAP, CGFM, CRMA
Business and Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Prevention 18.2 Applications
(Prevention Cycle 18.2 Awards Announced at August 24, 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 18.2 include *Evidence-Based Cancer Prevention Services*, *Tobacco Control and Lung Cancer Screening*, and *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations*. 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			
PP180077	Janice Blalock	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen
PP180091	Mamta Jain	The University of Texas Southwestern Medical Center	Dee Margo
Applications not considered by the PIC or Oversight Committee			
PP180071	Lori Palazzo	Williamson County & Cities Health District	Michael Eriksen
PP180092	Amelie Ramirez	The University of Texas Health Science Center at San Antonio	Michael Eriksen
PP180098	Mark Hernandez	Community Care Collaborative	Michael Eriksen
PP180100	Adriana Valdes	Cancer and Chronic Disease Consortium	Ross Brownson
PP180111	Theresa Byrd	Texas Tech University Health Sciences Center	Michael Eriksen
PP180068	Louis Brown	The University of Texas Health Science Center at Houston	Heather Brandt
PP180094	David McClellan	Texas A&M University System Health Science Center	Heather Brandt

De-Identified Overall Evaluation Scores

Tobacco Control and Lung Cancer Screening

Prevention Cycle 18.2

Application ID	Final Overall Evaluation Score
PP180077*	2.6
PP180092*	2.6
Ka	3.4
Kb	3.8
Kc	4.0
Kd	4.3
Ke	4.8
Kf	5.5
Kg	7.3

* Recommended for award

Final Overall Evaluation Scores and Rank Order Scores

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 applicants on the attached list of submitted proposals responded to CPRIT requests for applications (RFA) released for the second review cycle of FY2018.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are provided for each grant application. The proposed budget reduction of 10.02% for all recommended projects assures that sufficient funds are available to support all recommended Prevention grants for this cycle. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for the remainder of fiscal year 2018 is \$14,322,579. These recommended projects total \$14,322,379.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,

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

Application ID		Application Title	PD	Organization	Score	Rank Order	recommended budget
PP180080	EBP	HPV Vaccination in a Pediatric Minority-Based Community Oncology Network	Grimes, Allison	The University of Texas Health Science Center at San Antonio	1.6	1	\$1,010,690
PP180091	EPS	STOP-HCC Expansion Grant	Jain, Mamta	The University of Texas Southwestern Medical Center	1.9	2	\$2,592,731
PP180026	EBP	Pasos Para Prevenir Cancer: Obesity-related Cancer Prevention in El Paso	Salinas, Jennifer J	Texas Tech University Health Sciences Center at El Paso	2.0	3	\$1,244,512
PP180086	EBP	Liver Cancer Prevention among those with Experiences of Homelessness	Schick, Vanessa R	The University of Texas Health Science Center at Houston	2.3	4	\$1,159,751
PP180082	EBP	West Texas HCV Screening and Linkage to Care Program	Gallegos, Patricia	Centro San Vicente	2.4	5	\$1,349,700
PP180018	EBP	BSPAN4: Optimizing Spatial Access to High-Quality Breast Screening & Patient Navigation for Rural Underserved Women across North Texas	Lee, Simon Craddock	The University of Texas Southwestern Medical Center	2.5	6	\$1,349,700
PP180077	TCL	Increasing Access to Smoking Cessation and Smoke Free Home Services for Low-Income Pregnant Women in Northeast Texas	Blalock, Janice A	The University of Texas M. D. Anderson Cancer Center	2.6	7	\$1,346,919
PP180092	TCL	Tobacco Services for Primary Care & Cancer Patients at UT Health San Antonio	Ramirez, Amelie G	The University of Texas Health Science Center at San Antonio	2.6	8	\$1,324,982
PP180012	EBP	Vaccinating medically underserved women against HPV	Berenson, Abbey B	The University of Texas Medical Branch at Galveston	2.7	9	\$1,344,926
PP180089	EPS	Adolescent Vaccination Program (AVP): Expanding a Successful Clinic-based Multicomponent HPV Vaccination Program to the San Antonio Area	Vernon, Sally W	The University of Texas Health Science Center at Houston	2.8	10	\$1,598,468



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180012
Evidence-Based Cancer Prevention Services

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 *Evidence-Based Cancer Prevention Services* Request for Applications (RFA). CPRIT received 31 applications for this RFA. This application was assigned to the Prevention Panel 2 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

At their meeting on January 18, 2018, the Prevention Review Council (PRC) took no action on this application in response to this RFA. The PRC considered this application at their meeting on July 6, 2018, and voted to recommended the application. As allowed in 25 T.A.C. § 703.6(d)(1), the PRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

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).

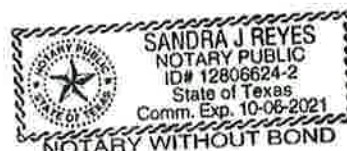
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 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 Prevention
AWARD MECHANISM Evidence-Based Cancer Prevention Services (EBP)
APPLICATION ID PP180012
APPLICATION TITLE Vaccinating Medically Underserved Women Against HPV
APPLICANT NAME Berenson, Abbey
ORGANIZATION The University of Texas Medical Branch at Galveston
PANEL NAME 18.1 Prevention Panel-2 (18.1 PP-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CPO	06/05/17 (initial) 08/30/17 (revised)	07/25/18
	RFA published in Texas.gov eGrants	06/08/17	07/25/18
	CPRIT Application Receipt System (CARS) opened	06/22/17	01/12/18
	CPRIT Application Receipt System (CARS) closed	09/21/17	01/12/18
	Date application submitted	09/15/17	01/12/18
	Method of submission	CARS	01/12/18
	Within receipt period	YES	01/12/18
	Request for extension to submit application after CARS closed	N/A	01/12/18
	Request for extension for late application submission accepted	N/A	01/12/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/12/18
	Donation(s) made to CPRIT/foundation	NO	01/12/18
	Assigned to primary reviewers	10/26/17	01/12/18
	Applicant notified of review panel assignment	10/17/17	01/12/18
	Primary Reviewer 1 COI signed	10/05/17	01/12/18
	Primary (Advocate) Reviewer 2 COI signed	10/11/17	01/12/18
	Primary Reviewer 3 COI signed	10/04/17	01/12/18
3. Peer Review Meeting	Primary Reviewer 4 COI signed	10/08/17	01/12/18
	Primary Reviewer 1 critique submitted	11/20/17	01/12/18
	Primary (Advocate) Reviewer 2 critique submitted	11/20/17	01/12/18
	Primary Reviewer 3 critique submitted	11/22/17	01/12/18
	Primary Reviewer 4 critique submitted	11/30/17	01/12/18
	COI indicated by non-primary reviewer	NONE	01/12/18
	COI recused from participation	N/A	01/12/18
	Discussed at Peer Review Meeting	YES	01/12/18
	Peer Review Meeting	12/13/17-12/14/17	01/12/18
	Post review statements signed	12/14/17	01/12/18
	Third Party Observer Report	12/14/17	01/12/18
4. Final PRC Recommendation	Score report delivered to CPO	12/21/17	01/12/18
	Recommended for PRC Review	YES	01/12/18
	COI indicated by PRC member	NONE	01/22/18
	COI recused from participation	N/A	01/22/18
	PRC Meeting	01/18/18	01/22/18
	Third Party Observer Report	01/18/18	07/25/18
4. Final PRC Recommendation	Recommended for grant award	NO ACTION*	01/22/18
	PRC Chair Notification to PIC and OC	1/19/2018**	07/25/18
	COI indicated by PRC member	NONE	07/11/18
	COI recused from participation	N/A	07/11/18
	PRC Meeting	07/06/18	07/11/18
	Third Party Observer Report	07/09/18	07/16/18
5. PIC Review	Recommended for grant award	YES	07/11/18
	PRC Chair Notification to PIC and OC	7/24/18***	07/24/18
	COI indicated by PIC member	NONE	07/31/18
	COI recused from participation	N/A	07/31/18
6. Oversight Committee Approval	PIC review meeting	07/31/18	07/31/18
	Recommended for grant award	YES	07/31/18
	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	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

*Due to budgetary constraints and program priorities, the PRC voted to take no action on the decision to recommend this application to the Oversight Committee until a future FY 2018 meeting.

**The PRC Chair Notification letter was resent on 2/1/18 to correct a non-substantive issue.

***The PRC Chair notification was originally sent on 7/20/18 and resent on 7/24/18



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180018
Evidence-Based Cancer Prevention Services

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 *Evidence-Based Cancer Prevention Services* Request for Applications (RFA). CPRIT received 31 applications for this RFA. This application was assigned to the Prevention Panel 1 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

At their meeting on January 18, 2018, the Prevention Review Council (PRC) took no action on this application in response to this RFA. The PRC considered this application at their meeting on July 6, 2018, and voted to recommended the application. As allowed in 25 T.A.C. § 703.6(d)(1), the PRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

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).

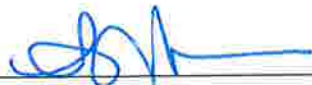
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



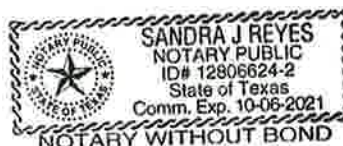
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 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 Prevention
AWARD MECHANISM Evidence-Based Cancer Prevention Services (EBP)
APPLICATION ID PP180018
APPLICATION TITLE BSPAN4: Optimizing Spatial Access to High-Quality Breast Screening and Patient Navigation for Rural Underserved Women Across North Texas
APPLICANT NAME Lee, Simon Craddock
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Prevention Panel-1 (18.1 PP-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CPO	06/05/17 (initial) 08/30/17 (revised)	07/25/18
	RFA published in Texas.gov eGrants	06/08/17	07/25/18
	CPRIT Application Receipt System (CARS) opened	06/22/17	01/12/18
	CPRIT Application Receipt System (CARS) closed	09/21/17	01/12/18
	Date application submitted	09/19/17	01/12/18
	Method of submission	CARS	01/12/18
	Within receipt period	YES	01/12/18
	Request for extension to submit application after CARS closed	N/A	01/12/18
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	01/12/18
	Administrative review notification	N/A	01/12/18
	Donation(s) made to CPRIT/foundation	NO	01/12/18
	Assigned to primary reviewers	10/18/17	01/12/18
	Applicant notified of review panel assignment	10/17/17	01/12/18
	Primary Reviewer 1 COI signed	10/04/17	01/12/18
	Primary (Advocate) Reviewer 2 COI signed	10/05/17	01/12/18
	Primary Reviewer 3 COI signed	10/05/17	01/12/18
3. Peer Review Meeting	Primary Reviewer 4 COI signed	10/09/17	01/12/18
	Primary Reviewer 1 critique submitted	11/12/17	01/12/18
	Primary (Advocate) Reviewer 2 critique submitted	11/20/17	01/12/18
	Primary Reviewer 3 critique submitted	11/07/17	01/12/18
	Primary Reviewer 4 critique submitted	11/20/17	01/12/18
	COI indicated by non-primary reviewer	NONE	01/12/18
	COI recused from participation	N/A	01/12/18
	Discussed at Peer Review Meeting	YES	01/12/18
	Peer Review Meeting	12/11/17-12/12/17	01/12/18
	Post review statements signed	12/13/17	01/12/18
4. Final PRC Recommendation	Third Party Observer Report	12/12/17	01/12/18
	Score report delivered to CPO	12/21/17	01/12/18
	Recommended for PRC Review	YES	01/12/18
	COI indicated by PRC member	NONE	01/22/18
	COI recused from participation	N/A	01/22/18
	PRC Meeting	01/18/18	01/22/18
4. Final PRC Recommendation	Third Party Observer Report	01/18/18	07/25/18
	Recommended for grant award	NO ACTION*	01/22/18
	PRC Chair Notification to PIC and OC	1/19/2018**	07/25/18
	COI indicated by PRC member	NONE	07/11/18
	COI recused from participation	N/A	07/11/18
	PRC Meeting	07/06/18	07/11/18
5. PIC Review	Third Party Observer Report	07/09/18	07/16/18
	Recommended for grant award	YES	07/11/18
	PRC Chair Notification to PIC and OC	7/24/2018***	07/24/18
	COI indicated by PIC member	NONE	07/31/18
	COI recused from participation	N/A	07/31/18
	PIC review meeting	07/31/18	07/31/18
6. Oversight Committee Approval	Recommended for grant award	YES	07/31/18
	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	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

*Due to budgetary constraints and program priorities, the PRC voted to take no action on the decision to recommend this application to the Oversight Committee until a future FY 2018 meeting.

**The PRC Chair Notification letter was resent on 2/1/18 to correct a non-substantive issue.

***The PRC Chair notification was originally sent on 7/20/18 and resent on 7/24/18



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180026
Evidence-Based Cancer Prevention Services

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 *Evidence-Based Cancer Prevention Services* Request for Applications (RFA). CPRIT received 31 applications for this RFA. This application was assigned to the Prevention Panel 1 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:

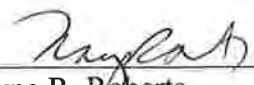
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating 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

At their meeting on January 18, 2018, the Prevention Review Council (PRC) took no action on this application in response to this RFA. The PRC considered this application at their meeting on July 6, 2018, and voted to recommended the application. As allowed in 25 T.A.C. § 703.6(d)(1), the PRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

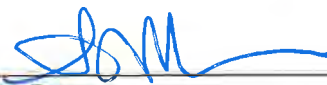
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached 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).

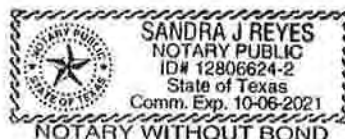
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 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 Prevention
AWARD MECHANISM Evidence-Based Cancer Prevention Services (EBP)
APPLICATION ID PP180026
APPLICATION TITLE Pasos Para Prevenir Cancer: Obesity-Related Cancer Prevention in El Paso
APPLICANT NAME Salinas, Jennifer
ORGANIZATION Texas Tech University Health Sciences Center at El Paso
PANEL NAME 18.1 Prevention Panel-1 (18.1 PP-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CPO	06/05/17 (initial) 08/30/17 (revised)	07/25/18
	RFA published in Texas.gov eGrants	06/08/17	07/25/18
	CPRIT Application Receipt System (CARS) opened	06/22/17	01/12/18
	CPRIT Application Receipt System (CARS) closed	09/21/17	01/12/18
	Date application submitted	09/21/17	01/12/18
	Method of submission	CARS	01/12/18
	Within receipt period	YES	01/12/18
	Request for extension to submit application after CARS closed	N/A	01/12/18
	Request for extension for late application submission accepted	N/A	01/12/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/12/18
	Donation(s) made to CPRIT/foundation	NO	01/12/18
	Assigned to primary reviewers	10/18/17	01/12/18
	Applicant notified of review panel assignment	10/17/17	01/12/18
	Primary Reviewer 1 COI signed	10/12/17	01/12/18
	Primary (Advocate) Reviewer 2 COI signed	10/05/17	01/12/18
	Primary Reviewer 3 COI signed	10/07/17	01/12/18
3. Peer Review Meeting	Primary Reviewer 4 COI signed	10/04/17	01/12/18
	Primary Reviewer 1 critique submitted	11/17/17	01/12/18
	Primary (Advocate) Reviewer 2 critique submitted	11/20/17	01/12/18
	Primary Reviewer 3 critique submitted	10/27/17	01/12/18
	Primary Reviewer 4 critique submitted	11/19/17	01/12/18
	COI indicated by non-primary reviewer	NONE	01/12/18
	COI recused from participation	N/A	01/12/18
	Discussed at Peer Review Meeting	YES	01/12/18
	Peer Review Meeting	12/11/17-12/12/17	01/12/18
	Post review statements signed	12/13/17	01/12/18
	Third Party Observer Report	12/12/17	01/12/18
4. Final PRC Recommendation	Score report delivered to CPO	12/21/17	01/12/18
	Recommended for PRC Review	YES	01/12/18
	COI indicated by PRC member	NONE	01/22/18
	COI recused from participation	N/A	01/22/18
	PRC Meeting	01/18/18	01/22/18
4. Final PRC Recommendation	Third Party Observer Report	01/18/18	07/25/18
	Recommended for grant award	NO ACTION*	01/22/18
	PRC Chair Notification to PIC and OC	1/19/2018**	07/25/18
	COI indicated by PRC member	NONE	07/11/18
	COI recused from participation	N/A	07/11/18
5. PIC Review	PRC Meeting	07/06/18	07/11/18
	Third Party Observer Report	07/09/18	07/16/18
	Recommended for grant award	YES	07/11/18
	PRC Chair Notification to PIC and OC	7/24/2018***	07/24/18
	COI indicated by PIC member	NONE	07/31/18
6. Oversight Committee Approval	COI recused from participation	N/A	07/31/18
	PIC review meeting	07/31/18	07/31/18
	Recommended for grant award	YES	07/31/18
	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	
6. Oversight Committee Approval	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

*Due to budgetary constraints and program priorities, the PRC voted to take no action on the decision to recommend this application to the Oversight Committee until a future FY 2018 meeting.

**The PRC Chair Notification letter was resent on 2/1/18 to correct a non-substantive issue.

***The PRC Chair notification was originally sent on 7/20/18 and resent on 7/24/18

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180077
Tobacco Control and Lung Cancer Screening

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 *Tobacco Control and Lung Cancer Screening* Request for Applications (RFA). CPRIT received nine applications in response to this RFA. This application was assigned to the prevention panel-1 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).

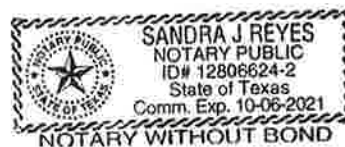
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 01 day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 01 Aug 2018 12:17 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Prevention		
MECHANISM:	Tobacco Control and Lung Cancer Screening		
APPLICATION ID:	PP180077		
APPLICATION TITLE	Increasing Access to Smoking Cessation and Smoke Free Home Services for Low-Income Pregnant Women in Northeast Texas		
APPLICANT NAME:	Blalock, Janice A		
ORGANIZATION:	The University of Texas M. D. Anderson Cancer Center		
PANEL NAME:	18.2 Prevention Panel-1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CPO	17 Oct 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	27 Oct 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	20 Nov 2017	04 Jul 2018
	CPRIT Application Receipt System (CARS) closed	21 Feb 2018	04 Jul 2018
	Date application submitted	20 Feb 2018	10 Jul 2018
	Method of submission	CARS	10 Jul 2018
	Within receipt period	YES	10 Jul 2018
	Request for extension to submit application after CARS closed	NA	10 Jul 2018
	Request for extension for late application submission accepted	NA	10 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	10 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	10 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	04 Jul 2018
		26 Mar 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	16 Mar 2018	10 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	19 Mar 2018	10 Jul 2018
	Primary Reviewer 3 COI signed	19 Mar 2018	10 Jul 2018
	Primary Reviewer 4 COI signed	14 Mar 2018	10 Jul 2018
Peer Review Meeting	Primary Reviewer 1 critique submitted	03 May 2018	10 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	07 May 2018	10 Jul 2018
	Primary Reviewer 3 critique submitted	08 May 2018	10 Jul 2018
	Primary Reviewer 4 critique submitted	07 May 2018	10 Jul 2018
	COI indicated by non-primary reviewer	Michael Eriksen	10 Jul 2018
	COI recused from participation	YES	10 Jul 2018
	Discussed at Peer Review Meeting	YES	10 Jul 2018
	Peer Review Meeting	22 May 2018	04 Jul 2018
	Peer Review Meeting end date	23 May 2018	12 Jul 2018
	Post review statements signed	24 May 2018	04 Jul 2018
	Third Party Observer Report	05 Jun 2018	04 Jul 2018
	Score report delivered to CPO	04 Jun 2018	04 Jul 2018
	Recommended for PRC review	YES	10 Jul 2018
Final PRC Recommendation	COI indicated by PRC member	NA	10 Jul 2018
	COI recused from participation	NA	10 Jul 2018
	PRC Meeting	06 Jul 2018	10 Jul 2018
	Third Party Observer Report	09 Jul 2018	12 Jul 2018
	Recommended for grant award	YES	10 Jul 2018
	PRC Chair Notification to PIC and OC	24 Jul 2018	24 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
The PRC Chair notification was originally sent on 7/20/18 and was resent on 7/24/18.		2018-08-01 12:14:11.017	Eckel, Cameron

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180080
Evidence-Based Cancer Prevention Services

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 *Evidence-Based Cancer Prevention Services* Request for Applications (RFA). CPRIT received 13 applications in response to this RFA. This application was assigned to the prevention panel-2 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).

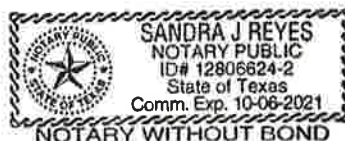
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 01 Aug 2018 12:17 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Prevention		
MECHANISM:	Evidence-Based Cancer Prevention Services		
APPLICATION ID:	PP180080		
APPLICATION TITLE	HPV Vaccination in a Pediatric Minority-Based Community Oncology Network		
APPLICANT NAME:	Grimes, Allison		
ORGANIZATION:	The University of Texas Health Science Center at San Antonio		
PANEL NAME:	18.2 Prevention Panel-2		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CPO	17 Oct 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	27 Oct 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	20 Nov 2017	04 Jul 2018
	CPRIT Application Receipt System (CARS) closed	21 Feb 2018	04 Jul 2018
	Date application submitted	21 Feb 2018	11 Jul 2018
	Method of submission	CARS	11 Jul 2018
	Within receipt period	YES	11 Jul 2018
	Request for extension to submit application after CARS closed	NA	11 Jul 2018
	Request for extension for late application submission accepted	NA	11 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	09 Mar 2018	11 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	11 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	04 Jul 2018
		26 Mar 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	14 Mar 2018	11 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	16 Mar 2018	11 Jul 2018
	Primary Reviewer 3 COI signed	19 Mar 2018	11 Jul 2018
	Primary Reviewer 4 COI signed	22 Mar 2018	11 Jul 2018
Peer Review Meeting	Primary Reviewer 1 critique submitted	06 May 2018	11 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	06 May 2018	11 Jul 2018
	Primary Reviewer 3 critique submitted	02 May 2018	11 Jul 2018
	Primary Reviewer 4 critique submitted	05 May 2018	11 Jul 2018
	COI indicated by non-primary reviewer	NONE	11 Jul 2018
	COI recused from participation	NA	11 Jul 2018
	Discussed at Peer Review Meeting	YES	11 Jul 2018
	Peer Review Meeting	24 May 2018	04 Jul 2018
	Peer Review Meeting end date	25 May 2018	12 Jul 2018
	Post review statements signed	25 May 2018	04 Jul 2018
	Third Party Observer Report	05 Jun 2018	04 Jul 2018
	Score report delivered to CPO	04 Jun 2018	04 Jul 2018
	Recommended for PRC review	YES	11 Jul 2018
Final PRC Recommendation	COI indicated by PRC member	NA	11 Jul 2018
	COI recused from participation	NA	11 Jul 2018
	PRC Meeting	06 Jul 2018	11 Jul 2018
	Third Party Observer Report	09 Jul 2018	12 Jul 2018
	Recommended for grant award	YES	11 Jul 2018
	PRC Chair Notification to PIC and OC	24 Jul 2018	24 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
The PRC Chair notification was originally sent on 7/20/18 and was resent on 7/24/18.		2018-08-01 12:15:17.15	Eckel, Cameron

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180082
Evidence-Based Cancer Prevention Services

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 *Evidence-Based Cancer Prevention Services* Request for Applications (RFA). CPRIT received 13 applications in response to this RFA. This application was assigned to the prevention panel-1 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).

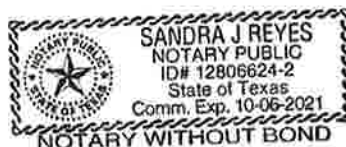
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 01 Aug 2018 12:17 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Prevention		
MECHANISM:	Evidence-Based Cancer Prevention Services		
APPLICATION ID:	PP180082		
APPLICATION TITLE	West Texas HCV Screening and Linkage to Care Program		
APPLICANT NAME:	Gallegos, Patricia		
ORGANIZATION:	Centro San Vicente		
PANEL NAME:	18.2 Prevention Panel-1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CPO	17 Oct 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	27 Oct 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	20 Nov 2017	04 Jul 2018
	CPRIT Application Receipt System (CARS) closed	21 Feb 2018	04 Jul 2018
	Date application submitted	21 Feb 2018	10 Jul 2018
	Method of submission	CARS	10 Jul 2018
	Within receipt period	YES	10 Jul 2018
	Request for extension to submit application after CARS closed	NA	10 Jul 2018
	Request for extension for late application submission accepted	NA	10 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	10 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	10 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	04 Jul 2018
		26 Mar 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	18 Mar 2018	10 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	19 Mar 2018	10 Jul 2018
	Primary Reviewer 3 COI signed	13 Mar 2018	10 Jul 2018
	Primary Reviewer 4 COI signed	19 Mar 2018	10 Jul 2018
Peer Review Meeting	Primary Reviewer 1 critique submitted	29 Apr 2018	10 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	07 May 2018	10 Jul 2018
	Primary Reviewer 3 critique submitted	14 Apr 2018	10 Jul 2018
	Primary Reviewer 4 critique submitted	15 Apr 2018	10 Jul 2018
	COI indicated by non-primary reviewer	NONE	10 Jul 2018
	COI recused from participation	NA	10 Jul 2018
	Discussed at Peer Review Meeting	YES	10 Jul 2018
	Peer Review Meeting	22 May 2018	04 Jul 2018
	Peer Review Meeting end date	23 May 2018	12 Jul 2018
	Post review statements signed	24 May 2018	04 Jul 2018
	Third Party Observer Report	05 Jun 2018	04 Jul 2018
	Score report delivered to CPO	04 Jun 2018	04 Jul 2018
	Recommended for PRC review	YES	10 Jul 2018
Final PRC Recommendation	COI indicated by PRC member	NA	10 Jul 2018
	COI recused from participation	NA	10 Jul 2018
	PRC Meeting	06 Jul 2018	10 Jul 2018
	Third Party Observer Report	09 Jul 2018	12 Jul 2018
	Recommended for grant award	YES	10 Jul 2018
	PRC Chair Notification to PIC and OC	24 Jul 2018	24 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
The PRC Chair notification was originally sent on 7/20/18 and was resent on 7/24/18.		2018-08-01 12:15:35.447	Eckel, Cameron

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180086
Evidence-Based Cancer Prevention Services

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 *Evidence-Based Cancer Prevention Services Request for Applications* (RFA). CPRIT received 13 applications in response to this RFA. This application was assigned to the prevention panel-1 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."



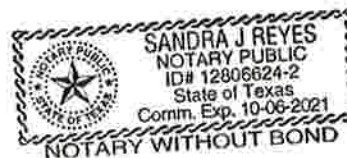
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 01 Aug 2018 12:17 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Prevention		
MECHANISM:	Evidence-Based Cancer Prevention Services		
APPLICATION ID:	PP180086		
APPLICATION TITLE:	Liver Cancer Prevention among those with Experiences of Homelessness		
APPLICANT NAME:	Schick, Vanessa R		
ORGANIZATION:	The University of Texas Health Science Center at Houston		
PANEL NAME:	18.2 Prevention Panel-1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CPO	17 Oct 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	27 Oct 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	20 Nov 2017	04 Jul 2018
	CPRIT Application Receipt System (CARS) closed	21 Feb 2018	04 Jul 2018
	Date application submitted	21 Feb 2018	10 Jul 2018
	Method of submission	CARS	10 Jul 2018
	Within receipt period	YES	10 Jul 2018
	Request for extension to submit application after CARS closed	NA	10 Jul 2018
	Request for extension for late application submission accepted	NA	10 Jul 2018
	Administrative review notification	NA	16 Jul 2018
Receipt, Referral, and Assignment	Donation(s) made to CPRIT / foundation	NO	16 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	04 Jul 2018
		26 Mar 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	13 Mar 2018	16 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	13 Mar 2018	16 Jul 2018
	Primary Reviewer 3 COI signed	18 Mar 2018	16 Jul 2018
	Primary Reviewer 4 COI signed	16 Mar 2018	16 Jul 2018
	Primary Reviewer 1 critique submitted	14 Apr 2018	10 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	24 Apr 2018	10 Jul 2018
Peer Review Meeting	Primary Reviewer 3 critique submitted	28 Apr 2018	10 Jul 2018
	Primary Reviewer 4 critique submitted	05 May 2018	10 Jul 2018
	COI indicated by non-primary reviewer	NONE	10 Jul 2018
	COI recused from participation	NA	10 Jul 2018
	Discussed at Peer Review Meeting	YES	10 Jul 2018
	Peer Review Meeting	22 May 2018	04 Jul 2018
	Peer Review Meeting end date	23 May 2018	12 Jul 2018
	Post review statements signed	24 May 2018	04 Jul 2018
	Third Party Observer Report	05 Jun 2018	04 Jul 2018
	Score report delivered to CPO	04 Jun 2018	04 Jul 2018
Final PRC Recommendation	Recommended for PRC review	YES	10 Jul 2018
	COI indicated by PRC member	NA	10 Jul 2018
	COI recused from participation	NA	10 Jul 2018
	PRC Meeting	06 Jul 2018	10 Jul 2018
	Third Party Observer Report	09 Jul 2018	12 Jul 2018
	Recommended for grant award	YES	10 Jul 2018
	PRC Chair Notification to PIC and OC	24 Jul 2018	24 Jul 2018
	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
Oversight Committee Approval	Recommended for grant award	YES	31 Jul 2018
	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
The PRC Chair notification was originally sent on 7/20/18 and was resent on 7/24/18.		2018-08-01 12:15:58.35	Eckel, Cameron

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180089
Expansion of Cancer Prevention Services to Rural and
Medically Underserved Populations

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 *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received nine applications in response to this RFA. This application was assigned to the prevention panel-2 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).

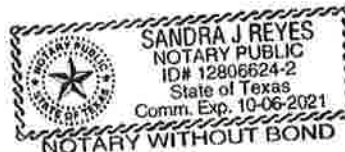
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 01 Aug 2018 12:17 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Prevention		
MECHANISM:	Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations		
APPLICATION ID:	PP180089		
APPLICATION TITLE	Adolescent Vaccination Program (AVP): Expanding a Successful Clinic-based Multicomponent HPV Vaccination Program to the San Antonio Area		
APPLICANT NAME:	Vernon, Sally W		
ORGANIZATION:	The University of Texas Health Science Center at Houston		
PANEL NAME:	18.2 Prevention Panel-2		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CPO	17 Oct 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	27 Oct 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	20 Nov 2017	04 Jul 2018
		21 Feb 2018	04 Jul 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	21 Feb 2018	11 Jul 2018
	Method of submission	CARS	11 Jul 2018
	Within receipt period	YES	11 Jul 2018
	Request for extension to submit application after CARS closed	NA	11 Jul 2018
	Request for extension for late application submission accepted	NA	11 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	11 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	11 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	04 Jul 2018
		26 Mar 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	16 Mar 2018	11 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	13 Mar 2018	11 Jul 2018
	Primary Reviewer 3 COI signed	17 Mar 2018	11 Jul 2018
	Primary Reviewer 4 COI signed	17 Mar 2018	11 Jul 2018
Peer Review Meeting	Primary Reviewer 1 critique submitted	07 May 2018	11 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	27 Apr 2018	11 Jul 2018
	Primary Reviewer 3 critique submitted	03 May 2018	11 Jul 2018
	Primary Reviewer 4 critique submitted	23 Apr 2018	11 Jul 2018
	COI indicated by non-primary reviewer	NONE	11 Jul 2018
	COI recused from participation	NA	11 Jul 2018
	Discussed at Peer Review Meeting	YES	11 Jul 2018
	Peer Review Meeting	24 May 2018	04 Jul 2018
	Peer Review Meeting end date	25 May 2018	12 Jul 2018
	Post review statements signed	25 May 2018	04 Jul 2018
	Third Party Observer Report	05 Jun 2018	04 Jul 2018
	Score report delivered to CPO	04 Jun 2018	04 Jul 2018
	Recommended for PRC review	YES	11 Jul 2018
Final PRC Recommendation	COI indicated by PRC member	NA	11 Jul 2018
	COI recused from participation	NA	11 Jul 2018
	PRC Meeting	06 Jul 2018	11 Jul 2018
	Third Party Observer Report	09 Jul 2018	12 Jul 2018
	Recommended for grant award	YES	11 Jul 2018
	PRC Chair Notification to PIC and OC	24 Jul 2018	24 Jul 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
The PRC Chair notification was originally sent on 7/20/18 and was resent on 7/24/18.		2018-08-01 12:16:19.703	Eckel, Cameron

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180091
Expansion of Cancer Prevention Services to Rural and
Medically Underserved Populations

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 *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received nine applications in response to this RFA. This application was assigned to the prevention panel-2 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.

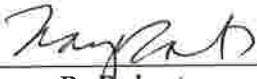
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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).

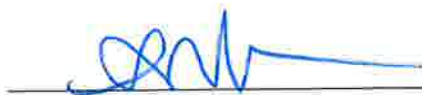
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



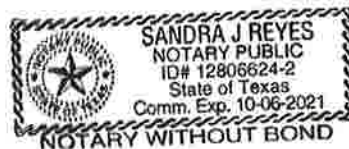
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 01 Aug 2018 12:17 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Prevention		
MECHANISM:	Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations		
APPLICATION ID:	PP180091		
APPLICATION TITLE	STOP-HCC Expansion Grant		
APPLICANT NAME:	Jain, Mamta		
ORGANIZATION:	The University of Texas Southwestern Medical Center		
PANEL NAME:	18.2 Prevention Panel-2		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CPO	17 Oct 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	27 Oct 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	20 Nov 2017	04 Jul 2018
	CPRIT Application Receipt System (CARS) closed	21 Feb 2018	04 Jul 2018
	Date application submitted	21 Feb 2018	11 Jul 2018
	Method of submission	CARS	11 Jul 2018
	Within receipt period	YES	11 Jul 2018
	Request for extension to submit application after CARS closed	NA	11 Jul 2018
	Request for extension for late application submission accepted	NA	11 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	11 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	11 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	04 Jul 2018
		26 Mar 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	19 Mar 2018	11 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	16 Mar 2018	11 Jul 2018
	Primary Reviewer 3 COI signed	17 Mar 2018	11 Jul 2018
	Primary Reviewer 4 COI signed	17 Mar 2018	11 Jul 2018
Peer Review Meeting	Primary Reviewer 1 critique submitted	07 May 2018	11 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	06 May 2018	11 Jul 2018
	Primary Reviewer 3 critique submitted	27 Apr 2018	11 Jul 2018
	Primary Reviewer 4 critique submitted	03 May 2018	11 Jul 2018
	COI indicated by non-primary reviewer	NONE	11 Jul 2018
	COI recused from participation	NA	11 Jul 2018
	Discussed at Peer Review Meeting	YES	11 Jul 2018
	Peer Review Meeting	24 May 2018	04 Jul 2018
	Peer Review Meeting end date	25 May 2018	12 Jul 2018
	Post review statements signed	25 May 2018	04 Jul 2018
	Third Party Observer Report	05 Jun 2018	04 Jul 2018
	Score report delivered to CPO	04 Jun 2018	04 Jul 2018
	Recommended for PRC review	YES	11 Jul 2018
Final PRC Recommendation	COI indicated by PRC member	NA	11 Jul 2018
	COI recused from participation	NA	11 Jul 2018
	PRC Meeting	06 Jul 2018	11 Jul 2018
	Third Party Observer Report	09 Jul 2018	12 Jul 2018
	Recommended for grant award	YES	11 Jul 2018
	PRC Chair Notification to PIC and OC	24 Jul 2018	24 Jul 2018
PIC Review	COI Indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
The PRC Chair notification was originally sent on 7/20/18 and was resent on 7/24/18.		2018-08-01 12:16:39.567	Eckel, Cameron

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180092
Tobacco Control and Lung Cancer Screening

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 *Tobacco Control and Lung Cancer Screening Request for Applications* (RFA). CPRIT received nine applications in response to this RFA. This application was assigned to the prevention panel-1 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."



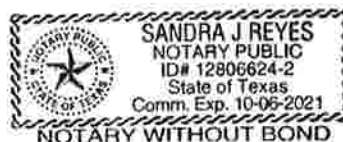
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes

Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 01 Aug 2018 12:17 PM

FY:	2018		
CYCLE:	2		
PROGRAM:	Prevention		
MECHANISM:	Tobacco Control and Lung Cancer Screening		
APPLICATION ID:	PP180092		
APPLICATION TITLE	Tobacco Services for Primary Care & Cancer Patients at UT Health San Antonio		
APPLICANT NAME:	Ramirez, Amelie G		
ORGANIZATION:	The University of Texas Health Science Center at San Antonio		
PANEL NAME:	18.2 Prevention Panel-1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CPO	17 Oct 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	27 Oct 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	20 Nov 2017	04 Jul 2018
	CPRIT Application Receipt System (CARS) closed	21 Feb 2018	04 Jul 2018
	Date application submitted	20 Feb 2018	10 Jul 2018
	Method of submission	CARS	10 Jul 2018
	Within receipt period	YES	10 Jul 2018
	Request for extension to submit application after CARS closed	NA	10 Jul 2018
	Request for extension for late application submission accepted	NA	10 Jul 2018
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	Donation(s) made to CPRIT / foundation	NO	10 Jul 2018
	Assigned to primary reviewers	23 Mar 2018	04 Jul 2018
		26 Mar 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	19 Mar 2018	10 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	19 Mar 2018	10 Jul 2018
	Primary Reviewer 3 COI signed	16 Mar 2018	10 Jul 2018
	Primary Reviewer 4 COI signed	13 Mar 2018	10 Jul 2018
Peer Review Meeting	Primary Reviewer 1 critique submitted	09 May 2018	10 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	07 May 2018	10 Jul 2018
	Primary Reviewer 3 critique submitted	07 May 2018	10 Jul 2018
	Primary Reviewer 4 critique submitted	05 May 2018	10 Jul 2018
	COI indicated by non-primary reviewer	Michael Eriksen	10 Jul 2018
	COI recused from participation	YES	10 Jul 2018
	Discussed at Peer Review Meeting	YES	10 Jul 2018
	Peer Review Meeting	22 May 2018	04 Jul 2018
	Peer Review Meeting end date	23 May 2018	12 Jul 2018
Final PRC Recommendation	Post review statements signed	24 May 2018	04 Jul 2018
	Third Party Observer Report	05 Jun 2018	04 Jul 2018
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	COI Indicated by PRC member	NA	10 Jul 2018
	COI recused from participation	NA	10 Jul 2018
	PRC Meeting	06 Jul 2018	10 Jul 2018
	Third Party Observer Report	09 Jul 2018	12 Jul 2018
	Recommended for grant award	YES	10 Jul 2018
PIC Review	PRC Chair Notification to PIC and OC	24 Jul 2018	24 Jul 2018
	COI Indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
The PRC Chair notification was originally sent on 7/20/18 and was resent on 7/24/18.		2018-08-01 12:16:59.083	Eckel, Cameron

Product Development Research Priorities Addressed by Recommended Award, July 31, 2018 PIC Meeting					
Funding novel projects that offer therapeutics or diagnostics not currently available, i.e., disruptive technologies	Funding projects addressing large or challenging unmet medical needs	Investing in early stage projects when private capital is least available	Stimulating commercialization of technologies developed at Texas institutions	Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life sciences expertise, especially C-level staff to lead seed clusters of life science expertise at various Texas locations	Providing appropriate return on Texas taxpayer investment
\$50,587,540 3 projects	\$50,587,540 3 projects	\$50,587,540 3 projects	\$31,737,540 2 projects	\$19,953,624 1 project	\$50,587,540 3 projects

Product Development



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE
From: MICHAEL LANG, CHIEF PRODUCT DEVELOPMENT OFFICER
Subject: FY 18.2 PRODUCT DEVELOPMENT GRANT RECOMMENDATION
Date: AUGUST 1, 2018

Summary of Recommendation:

The Program Integration Committee (PIC) recommends that the Oversight Committee approve Texas Company product development research grant awards to the following applicants: CerRx, Inc and Formation Biologics Corporation. Maximum recommended funding amount and the overall evaluation score are stated for these respective grant applications in the attached table. In addition, the PIC approves the PDRC's recommendation to fund Korysso Therapeutics for the full amount requested contingent upon them completing a number of licensing agreements they will require to establish clear ownership of the IP required to move towards a viable commercial product.

Application ID	Company Name	Project	Maximum Recommended Budget
DP180040	Formation Biologics Corp.	Clinical Evaluation of AVID100, a Highly Potent Antibody-Drug Conjugate, Focusing on Cancer Indications With High Unmet Medical Need	\$18,850,000
DP180048	Korysso Therapeutics, Inc.	Development of KOR-8287 for the Prevention of Chemotherapy-Induced Peripheral Neuropathy and Chemo Brain	\$19,953,624
DP180042	CerRx, Inc.	Combination Drug Therapy for Cutaneous T-Cell Lymphoma	\$11,783,916

Background - FY 2018 Cycle 2 (18.2):

The RFAs for the FY 2018.2 review cycle were released December 15, 2017. CPRIT received 20 applications for the FY 2018.2 review cycle. Peer review took place at meetings on March 26 & 27 (peer review panel screening teleconference), April 23 - 26, 2017 (in-person presentations), and July 11, 2018 (due diligence review teleconference).

Of the 20 applications submitted in this cycle, ten applicants were invited to make in-person presentations, of which six were selected for due diligence review. After consideration of the due diligence reports, the PDRC recommended three applicants for a grant award as stated in the summary section above. As noted in Dr. Geltosky's letter, the recommendation to fund these

three awards reflects 50+ hours of individual review and panel discussion of each applicant's proposal as well as the PDRC's review of the due diligence reports for each company.

Program Priorities Addressed

All the recommended applications address one or more of the Product Development Program priorities. Some applications address more than one priority. See attached chart for additional detail.

Number of Applications Addressing Priorities	Product Development Program Priorities	Award Amount associated with each priority
3	Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies	\$50,587,540
3	Funding projects addressing large or challenging unmet medical needs	\$50,587,540
3	Investing in early stage projects where private capital is least available	\$50,587,540
2	Stimulating commercialization of technologies developed at Texas institutions	\$31,737,540
1	Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations	\$19,953,624
3	Providing appropriate return on taxpayer investment	\$50,587,540

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

Product Development Program Awards Recommended by the PDRC for 18.2 Cycle:

CerRx, Inc. Proposed Texas Company Product Development Award

Summary of Recommendation:

The Product Development Review Council has completed its review and recommends awarding a Texas Company Product Development Research grant award to CerRx for \$11,783,916.

CerRx, Inc. is a Texas-based company developing a new cancer drug with improved effectiveness and fewer side-effects than current treatments. CerRx's lead drug candidate, intravenous (IV) fenretinide, has been shown in human clinical trials to be particularly effective

in treating T-cell lymphomas (in some cases completely abolishing the cancers), while having fewer side-effects than competitive therapies.

CerRx has one ongoing clinical trial to evaluate IV fenretinide on one type of T-cell lymphoma; peripheral T-cell lymphoma (PTCL), a cancer that can cause tumors to form anywhere in the body. CerRx is now proposing to conduct a similar clinical trial in the other major form of T-cell lymphoma, cutaneous T-cell lymphoma (CTCL). In CTCL tumors start in the skin, usually grow slowly at first, but then advance and spread throughout the body.

Current drugs used to treat CTCL are usually effective at first, but often lose effectiveness as the disease progresses. In the US, 3,000 new cases of PTCL are diagnosed every year; one third of those with progress to advanced disease and one quarter will die from this cancer regardless of what therapies they receive. CerRx believes fenretinide has the potential to change the way CTCL is treated.

Mechanism of Support and Program Objectives:

CerRx is recommended for a Texas Company Product Development Research award. The award mechanism supports the ongoing work of existing companies that intend to undertake product research and development in Texas with Texas-based employees.

In determining eligibility for this award, CPRIT carefully evaluates whether applicants will have a significant presence in Texas. Texas Company Product Development awards assist early-stage startup companies by providing the opportunity: (1) to continue to develop new products for the diagnosis, treatment, supportive care, or prevention of cancer; (2) to establish infrastructure that is critical to the development of a robust industry; (3) support development of Texas companies and (4) to fill any treatment, industry, or research gaps.

Program Priorities:

Consistent with CPRIT's Product Development Research Program Priorities, the Texas Company mechanism funds projects at companies that are most likely to bring important cancer care products to the market. Development of IV fenretinide therapeutics to treat multiple cancers patents addresses this program objective and a significant unmet clinical need.

CPRIT PD Program Priorities addressed:

Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies
Funding projects addressing large or challenging unmet medical needs
Investing in early stage projects where private capital is least available
Stimulating commercialization of technologies developed at Texas institutions
Providing appropriate return on taxpayer investment

Project Summary

The proposed \$11,783,916 award to CerRx, Inc. supports the continued development of IV fenretinide to treat T-cell lymphoma patients.

Current lymphoma therapies have considerable toxicities including significant hematologic effect. Compounding the significant toxicity profiles, response rates remain low at ~20-30% and complete remissions remain below 10%. Progression free survival remains very short with median duration of survival < 1.5 years. Despite limited survival times, worldwide on-label sales in CTCL total over \$1.4B, of which more than half of the revenues are in the US.

Unlike many of the systemic regimens and products mentioned above, IV fenretinide has demonstrated a low level of hematologic and non-hematologic toxicity. The only dose-limiting toxicity of IV fenretinide is asymptomatic (i.e., clinically-silent) hypertriglyceridemia (high oil level in the blood) in a minority of patients as the result of soy oil in the emulsion. These levels return to normal as soon as the infusion is shut off or reduced and is otherwise well-tolerated.

Clinical studies to date indicate fenretinide will provide significant improvement to current therapy choices and could become a #1 choice for refractory CTCL patients. Approximately 3,000 CTCL patients U.S. per year are eligible for systemic therapy with a 5% year-annual growth. Combined U.S. + EU5 + Japan estimates are ~7,000 patients eligible for systemic therapy.

Scientific Rationale Underlying Lead Program - IV Fenretinide

CerRx's lead clinical candidate, fenretinide, has been reported in multiple published studies to be cytotoxic and/or inhibit the growth of a variety of different solid tumor and leukemia cells *in vitro* at concentrations of 1 – 12 μ M. Fenretinide induces cell death by apoptosis, necrosis or mixed autophagy. At these concentrations, fenretinide increased dihydroceramides in cell lines of multiple cancer types in a dose- and time-dependent manner through both stimulation of *de novo* synthesis and through inhibition of enzymes responsible for ceramide degradation.

CerRx developed a new formulation with the specific goal of achieving increased drug delivery. This new fenretinide formulation, a lipid-based emulsion, is delivered via continuous intravenous (CIV) infusion for several days and has successfully solved the bioavailability issue. Studies in both lab animals and in human patients have demonstrated that ten-fold higher circulating plasma levels of fenretinide can be readily achieved with the intravenous formulation compared to the original oral capsule.

Four different Phase 1 clinical trials, enrolling a total of 76 patients, have been conducting using the intravenous fenretinide emulsion formulation. These trials involved treating adult patients with both solid tumors and hematologic malignancies and pediatric patients with either neuroblastoma or recurrent or resistant acute lymphoblastic leukemia.

Of particular relevance to this application is a Phase 1 trial, termed PhI-42 (NCT00104923), conducted by the California Cancer Consortium, in which patients with a variety of relapsed or refractory hematologic malignancies were treated with IV fenretinide. This Phase 1 trial, conducted to access both the efficacy and safety of the drug, also identified a maximally tolerated dose (MTD) and Phase 2 trial (NCT02495415) in relapsed PTCL.

CerRx currently has 17 clinical sites open and enrolling patients (including two sites in Texas) in the clinical trial “FEN-T14: Phase II Trial of Intravenous Fenretinide (N-(4-hydroxyphenyl) retinamide, 4-HPR) Emulsion for Patients with Relapsed/Refractory Peripheral T-cell Lymphomas (PTCL)”, with six additional sites under negotiation and due to open in 2018. To date, eighteen patients have been enrolled and treated. One patient had a near complete response (technically termed a partial response with a reduction in the size of tumor burdened lymph nodes of >75%). This patient elected to be removed from the trial after five cycles of therapy in order to pursue a stem cell transplant. Several patients have maintained stable disease for multiple courses (up to 8+) experiencing what their treating physicians called “significant clinical benefit” early in their fenretinide treatment, including in multiple patients with CTCL that had ‘transformed’ into the worst forms of CTCL disease and been reclassified as PTCL, such as clearance of all cutaneous and buccal lesions (Patient 127-002, transformed cutaneous gamma/delta, previously failed allogeneic stem cell transplant) and a 50% reduction in facial tumor plaque thickness after one cycle (Patient 105-007, transformed mycosis fungoides, *still on therapy*).

Drug related adverse events have been typically been reversible and asymptomatic. Enrollment is ongoing and physician interest remains high.

Selected Reviewer Comments

This is a well-seasoned management team and a company that already has 42 issued and pending patents. They have received \$ 8 million in NCI funding. They would be able to leverage their existing partnerships and by using the same sites. PI's, IND, and contracted drug supplier, they could potentially quickly and efficiently accrue a phase 1 run-in and phase 2A trial.
CPRIT funding will enable CerRx to evaluate the combination of fenretinide (FEN) with romidepsin in CTCL that has progressed on prior therapy. There is an unmet medical need since most patients with advanced CTCL will progress even after initial response to front line and current salvage therapy. Clinical data from CTCL patients enrolled on the phase I trial of monotherapy FEN show encouraging responses with 5/7 showing clinical benefit (CR, strong PR/94% tumor reduction and durable SD). Importantly, the drug was relatively well tolerated in early clinical trials, so the upside appears to outweigh the downside. Moreover, there is preclinical data the combination of FEN with romidepsin may be more effective than either drug alone.
Based on clinical and preclinical data Fenretinide is clearly active in T cell lymphomas with minimal toxicity. -The applicant has an ongoing study with successful accrual to a related T cell lymphoma. This competency could aid accrual and execution thus synergize with the CTCL program.

Grant Award Contract and Risk Mitigation

Investing in early stage translational cancer research is inherently risky. Therapies that show promise in the lab and in animals may not make a measurable difference in humans or the treatment's side effects may be so severe as to not justify the benefits. Along with the increased risk of scientific failure, human studies are more expensive than laboratory and animal studies. CPRIT addresses the risk associated with product development awards by tying disbursement of

grant funds to achieving specific goals and objectives. The company only receives the entire amount of the award if all goals and objectives are met. Because goals are usually associated with project milestones, such as receiving FDA approval for an IND filing or completing a clinical trial, achieving all goals also means that the project is making meaningful progress on the way to becoming a treatment option.

A summary of the company's goals and objectives, along with the associated tranches, are set forth below. For a complete explanation of each goal and summary, please see the application.

Project Goals and Objectives:

The bulk of CPRIT funding will support Phase II clinical development of fenretinide. Specific goals and objectives for each year of the grant project, described below, will be included in the executed grant contract.

Goals and Objectives to be included in the executed grant contract:

Goal 1: Draft and pre-finalize the clinical trial protocol and any other documents required to initiate the trial. (Y1Q1)

Objective 1: Working with our Clinical Advisory Board, the internal CerRx team will design, appropriately power, and draft the clinical trial protocol, informed consent documents, and any other documentation required by regulatory authorities or clinical sites to initiate the trial.

Goal 2: Present the clinical program and pre-finalized documents to the FDA for review, discussion, and finalization. (Y1Q2)

Objective 1: We will meet with the FDA to review and discuss our plans for the clinical trial, agree upon expected outcomes and prepare final documents for presentation to clinical sites.

Objective 2: We will hire a new Director of Project Management (Texas-based).

Objective 3: We will sign a new contract with our CRO, Chiltern / Covance covering the new clinical trial.

Objective 4: We will open discussions with all of our clinical sites to present the new trial documents and begin initiating trial agreements and budget negotiations.

Goal 3: Open new trial at first set of sites and begin patient enrollment. (Y1Q4)

Objective 1: We plan to complete the trial initiation process at the first set of sites by month 10, open those sites to enrollment and begin treating patients.

Goal 4: Open new trial at final set of projected sites; continue patient enrollment at all sites. (Y2Q3)

Objective 1: By month 18, we plan to complete initiation activities at all sites, and have on-going patient enrollment at all sites.

Goal 5: Complete run-in and Phase 2A patient enrollment and treatment at all sites; compile trial data for presentation to the FDA; discuss and finalize trial expansion plans (Y3Q3,4)

Objective 1: We plan to complete all patient enrollment and treatment in the run-in and Phase 2A segments of the trial by month 33 (Y3Q3)

Objective 2: We plan to compile all trial data for FDA presentation by month 36. (Y3Q4)

Korysso Therapeutics, Inc.
Proposed Texas Company Product Development Award

Summary of Recommendation:

The CPRIT Product Development Review Council has completed its review and recommends awarding a Texas Company Product Development Research grant award to Korysso Therapeutics Inc. for \$19,953,624.

Korysso Therapeutics is developing novel medicines to prevent the side effects of chemotherapy. Korysso is starting clinical trials with its first drug candidate, KOR-8287. This drug is based on technology invented at MD Anderson Cancer Center.

Chemotherapy is frontline treatment for millions of cancer patients, but it can cause devastating side effects. Some side effects, like nausea, are managed by medicine. But the most common serious side effect, the burning pain, tingling, and loss of sensation in hands and feet, has no effective treatment. This condition, known as chemotherapy induced peripheral neuropathy (CIPN), is the main reason why patients fail to complete their treatments. Currently, there are no medicines to prevent CIPN.

Chemotherapy may also damage the brain, causing problems with memory and higher cognitive function. This troubling mental fog is called chemotherapy induced cognitive dysfunction (CICD) or 'chemo brain', and in some patients, may cause permanent disability. Again, there are no medicines to treat this condition.

Mechanism of Support and Program Objectives:

Korysso is recommended for a Texas Company Product Development Research award. The award mechanism supports the ongoing work of existing companies that intend to undertake product research and development in Texas with Texas-based employees.

The scientific rationale underlying Korysso's product development research project is highly rated by the review panel, receiving an overall score of 3.3. In making the recommendations, the PDRC also considered the company's potential to: (1) to continue to develop new products for the diagnosis, treatment, supportive care, or prevention of cancer; (2) to establish infrastructure that is critical to the development of a robust industry; (3) support development of Texas companies and (4) to fill any treatment, industry, or research gaps.

Program Priorities:

Consistent with CPRIT's Product Development Research Program Priorities, the Texas Company mechanism funds projects at companies that are most likely to bring important cancer care products to the market. Development of a therapeutic to treat chemotherapy induced peripheral neuropathy and chemo brain is consistent with these priorities.

CPRIT Program Priorities Addressed:

Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies
Funding projects addressing large or challenging unmet medical needs
Investing in early stage projects where private capital is least available
Stimulating commercialization of technologies developed at Texas institutions
Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations
Providing appropriate return on taxpayer investment

Project Summary

The proposed \$19,953,624 award to Korysso supports the continued development of KOR-8287 to treat chemotherapy induced peripheral neuropathy (CIPN) and chemobrain.

Korysso's lead product, KOR-8287, prevents two of the most troubling unmet needs faced by millions of cancer patients: chemotherapy induced peripheral neuropathy (CIPN) and chemotherapy induced cognitive dysfunction (CICD) or 'chemo brain'. CPRIT investment supports Phase IA/B and Phase II trials.

Scientific Rationale Underlying Lead Program KOR-8287

KOR-8287 is a highly potent and selective oral small molecule inhibitor of the Dual Leucine Zipper Kinase (DLK) that can prevent CIPN and chemo brain in preclinical models. This proprietary agent and its backup series act by blocking activation of the DLK damage response pathway in neurons, preventing atrophy and synapse withdrawal, thus preserving functionality.

Preclinical research indicates Korysso's DLK inhibitors will be safe and effective in preventing CIPN and chemo brain in patients receiving chemotherapy. KOR-8287 will be indicated for use in combination with chemotherapeutics for primary prevention of (1) Acute and delayed chemotherapy induced peripheral neuropathy (CIPN); and, (2) Acute and delayed chemotherapy-induced cognitive dysfunction (CICD).

CIPN is a serious complication of chemotherapy for which no treatments are available. Annually, over 700,000 Americans receive chemotherapy. Within a month of concluding chemotherapy, 2 of 3 of patients will develop CIPN, for an annual incidence of approximately 500,000 patients. For over 200,000 of these patients, CIPN persists for 6 months or more. For breast cancer patients, CIPN is the major cause for reduction/discontinuation of chemotherapy, resulting in decreased survival relative to those continuing treatment. Korysso anticipates KOR-8287 will not only preserve the quality of life but continued treatment of these patients resulting in improved overall survival.

Chemotherapy also damages the central nervous system causing chemo brain. Over 200,000 cancer patients per year will suffer from chemo brain, often lasting years, and impacting return to work and normal activities. CICD affects quality of life; 50-98% of patients report subjective decreases in cognitive ability, and many demonstrate cognitive impairment that persists after

therapy and during survivorship. By 2024, there could be 5.8-13.2 million Americans with CICD, exceeding the number of Alzheimer's patients.

Selected Reviewer Comments

his proposal offers an outstanding drug candidate based on preclinical assessment of potency, selectivity, physical parameters, ADMET profile, and animal model performance.
This is a very promising target, drug, and concept with significant potential for impact. There is significant preliminary data that is compelling and clinical candidate drug has been developed within the academic sector, now ready for launch into biotech.
CIPN is a common and potentially dose-limiting side effect of neurotoxic chemotherapy agents (e.g., taxane- or platinum-derived compounds). A safe and effective agent that allows for completes dosing of chemotherapeutic agents will be a meaningful additions for oncologist. The patients will appreciate minimizing chemo therapeutic side affects that dramatically impact quality of life. The early data is compelling from safety and initial efficacy which needs to be proven out patient in trials.

Grant Award Contract and Risk Mitigation

Investing in early stage translational cancer research is inherently risky. Therapies that show promise in the lab and in animals may not make a measurable difference in humans or the treatment's side effects may be so severe as to not justify the benefits. Along with the increased risk of scientific failure, human studies are more expensive than laboratory and animal studies. CPRIT addresses the risk associated with product development awards by tying disbursement of grant funds to achieving specific goals and objectives. The company only receives the entire amount of the award if all goals and objectives are met. Because goals are usually associated with project milestones, such as receiving FDA approval for an IND filing or completing a clinical trial, achieving all goals also means that the project is making meaningful progress on the way to becoming a treatment option.

A summary of the company's goals and objectives, along with the associated tranches, are set forth below. For a complete explanation of each goal and summary, please see the application.

Korysso's Project Goals and Objectives:

The bulk of CPRIT funding will support clinical development of KOR-8287. Specific goals and objectives for each year of the grant project, described below, will be included in the executed grant contract.

Goals and Objectives to be included in the executed grant contract:

Goal 1: Complete all preclinical and IND-enabling activities, including GLP toxicology studies, for development of a PET Ligand exploratory research biomarker, and cGMP manufacturing for the lead drug candidate KOR-8287 (Y1/Q1-Q3)

Upon completion of Phase IB MAD study, conduct second tox study for Phase II dosage of KOR-8287 (Y2/Q4).

Objective 1

Objective 1.1 Complete GLP Toxicology to Support IND application for KOR 8287

For the therapeutic path a 2- week GLP toxicology will be completed in rats and cynomolgus monkeys to establish NOAELs in both species. The exposures at the NOAEL will be compared to the exposures associated with efficacy in the mouse CIPN model (full dose response studies will be completed prior to IND preparation). From these exposure data, a human equivalent dose (HED) will be estimated and a maximal recommended started dose (MRSD) chosen; likely the HED divided by the safety factor of 10, depending on actual toxicities observed. This dose will be proposed to the FDA in our Pre-IND application. Essentially DLK is fully covered by ~5 M KOR-8287 in the plasma in rodents; if a plasma concentration significantly higher than 5 M can be maintained for 24 hours there is little reason to escalate further. A rationale for the target exposure will be incorporated into the Pre-IND application. Finally, stopping rules will be proposed based on the preclinical toxicology data.

Objective 2

Objective 1.2 Complete cGMP Manufacture of KOR-8287 (Y1Q1-Q2)

Our contract manufacturer will produce sufficient quantities of drug substance (estimated range, approx. 5 kg) to support the Phase 1 & 2 clinical development of KOR-8287. A robust, scalable cGMP-compliant process will be used to produce an appropriate product for reconstitution and administration to patients. The drug will be administered to trial subjects as an oral formulation (i.e. tablet). Stability studies will be conducted to support the quality of the finished product.

Objective 3

Objective 1.3 Develop, Validate and Manufacture PET Ligand (Y1Q1-Y2Q2)

Conduct research to develop a PET ligand as a research biomarker to support the Phase IA/B clinical development. Studies will be conducted to validate the ligand in mice and baboons observing uptake levels in the brain and the level of blockage observed with DLK inhibitors. The PET ligand (and precursor) will be manufactured at WuXi under cGMP compliance and used to support the abbreviated toxicology protocol required of PET ligands and clinical use. The PET ligand IND will be filed in Year 2 and the exploratory biomarker ligand will be tested in Normal Healthy Volunteers (NHVs) during the Phase IB trial (see Goal 3) for specific uptake in brain, washout of signal, and metabolites in plasma. The PET ligand will also be used to determine dose/CNS occupancy relationships in multiple doses of KOR-8287 in (NHVs).

Objective 4

Objective 1.4 Following Phase 1B study (MAD study) conduct a second 13-week toxicology study in rats and cynomolgus monkeys for Phase II study dosage (Y2/Q2-4)

The Phase II study will be supported by an additional 13-week toxicology data in rats and cynomolgus monkeys and the human safety data obtained in Phase I. Furthermore, the PET ligand (or possibly, pharmacodynamic biomarker data) will provide information as to which doses are inhibiting DLK. Together, these data will allow selection of a high dose that provides

extensive (>90%) target coverage over most of the day (>16 h) and a lower dose that provides 50% target coverage over 12 h (subject to refinement as additional preclinical data becomes available).

Goal 2: Prepare IND Filings and IND Submissions for Lead Drug Candidate KOR-8287 (Y1/Q1-Q4)

As preparation for Goal 2 objectives, Korysso will request a Pre-IND meeting with the FDA. Korysso will leverage its Texas-based CRO, to prepare the IND materials. The pre-IND submission package will be prepared to include all available pre-clinical experimental data, a description of the API and proposed formulation, as well as proposed studies that will be conducted to comply with IND-enabling studies such as CMC materials and specification, planned toxicology studies, and an outline of the Phase IA/B study program. A list of questions to the FDA will be submitted.

Objective 1

Objective 2.1 Prepare IND Filings and Submission for Lead Drug Candidate, KOR-8287 (Y1/Q2)

For the IND submission, Korysso will respond to all questions that result from the pre-IND-package. The complete IND document will include the documentation on the engineering and GMP API production and formulation of drug product that will first be manufactured under current Good Manufacturing Practice (cGMP) regulations according to specifications in compliance with FDA. Results of toxicology studies for single and repeat dosing in 2 species conducted under cGLP and PK/PD assessments will be included. The IND document will further include clinical protocols for Phase IA/B design, patient education and the Investigator Brochure.

Objective 2

Objective 2.2 Submit KOR 8287 IND to U.S. FDA (Y1/Q3-4) Upon completion of all IND-enabling activities

Korysso will submit an application to FDA to open an IND for KOR-8287.

Goal 3: Initiate and Complete KOR-8287 Phase IA/B Study (Single and Multiple Ascending dose study) (Y2Q1-Q4)

The objectives of the Phase IA/B studies are to assess safety and tolerability, characterize dose-limiting adverse reactions, determine maximum dose associated with acceptable safety profile, measure pharmacokinetic parameters, and explore KOR-8387 drug metabolism. Additionally, in the 1B Multiple Ascending Dose (MAD) study, a subset of the participants will participate in an exploratory study of the PET Ligand under the previously approved IND (see Goal 1).

Objective 1

Objective 3.1 Finalize CRO Selection and Obtain IRB Approval (Y2Q1)

Select a best-in-class CRO and leverage, where possible, expertise of Texas Phase I trial sites. A single clinical trial protocol that includes both KOR-8287 and the exploratory biomarker PET Ligand will be submitted to a single IRB at a select center that will be used to run the two trials. Subjects for these Phase 1 trials will be NHVs as mandated by the FDA. Note that NHVs for these trials are usually recruited rapidly from existing patient panels which will allow the Phase IA/B study to accrue and proceed at a fairly rapid pace.

Objective 2

Objective 3.2 Initiate KOR-8287 Phase IA Single Ascending Dose (SAD) study in Normal Healthy Volunteers (Y2/Q1-2)

The objectives of the Phase IA/B studies are to assess safety and tolerability characterize dose-limiting adverse reactions and determine maximum dose associated with acceptable safety profile, measure pharmacokinetic parameters, and to explore drug metabolism. The MRSD approved by the FDA will be administered to 6 subjects; 2 will receive placebo (6+2). After overnight observation and comprehensive safety monitoring, plasma samples will be analyzed for drug levels. Subjects will be monitored for 1 week after dosing before moving to the next dose increment in 6+2 subjects, typically 2-3x the previous dose. Once exposure goals are reached or a dose-limiting toxicity identified (usually 5 dose groups for a total of 40 subjects), we will initiate the MAD study.

Objective 3

Objective 3.3 Initiate KOR-8287 Phase IB Multiple Ascending Dose (MAD) Study (Y2/Q3-4)

Once exposure goals are reached or a dose-limited toxicity identified in the Phase IA study, we will immediately initiate a Phase IB MAD study, which features essentially the same experimental goals and design but now exposes the subjects to 14 days of dosing, and PK will be taken on day 1 and day 14. The PET Ligand exploratory biomarker will be tested in a smaller subgroup of the 32 NHV from this study population. Subjects will be given 14 days oral dose, at 4 dose levels selected based on the human PK data cross-referenced with preclinical efficacy data, and infused at Tmax on the 14th day of dosing with [18F]-labeled DLK PET tracer. A receptor occupancy curve will be generated by measuring specific uptake of the tracer in the brain and comparing to plasma drug levels. This curve will allow a full understanding of the exposure/occupancy relationship. (See Development Plan for Contingency Plans and Go/No Go Process Points).

Objective 4

Objective 3.4 Aggregate, Evaluate and Communicate Phase IA/B KOR 8287 Trial Results to FDA (Y2/Q4)

Data from the Phase IA/B study will be aggregated, assessed and written up according to protocol and submitted in complete, audited final format to the FDA.

Goal 4: Proof-of-Concept: Initiate Phase II Multicenter Randomized Controlled Trial of

KOR-8287 in Stage III Chemotherapy Naïve Ovarian Cancer Patients (Y3/Q1-Q4)

Given the uniqueness of KOR-8287's study design and the patient's opportunity to participate in the trial while undergoing chemotherapy, Korysso and its CRO will work with its patient's advocate and national patient advocacy groups and patients well in advance of the FDA filing to develop patient and physician education materials to support appropriate recruitment materials for the trial. Upon demonstrating an acceptable safety profile, Korysso will submit a comprehensive protocol to the FDA to conduct a Phase II controlled, randomized clinical study to evaluate the safety and efficacy of KOR-8287 for the treatment of CIPN and chemo brain in chemotherapy naïve stage III ovarian cancer patients undergoing ovarian cancer SOC (debulking surgery followed by 20 weeks of oxaliplatin plus paclitaxel). As a contingency, Korysso will prepare the IND and a draft protocol amendment to support enrollment of newly diagnosed Stage III colon cancer patients receiving FOLFOX6 following surgery.

Objective 1

Objective 4.1 Obtain Protocol Approval and Initiate Site Enrollment for Phase II KOR -8287 POC study (Y3/Q1)

MDACC will be the initiating center for the trials with Texas cancer clinics engaged by the CRO as well as locations outside of Texas. The trial design (see Development Plan) provides for primary preventative dosing at the start of chemotherapy and continued dosing for the entire chemotherapy regimen (or at minimum, 13 weeks, equal to the treatment in the GLP toxicology study). This design provides the greatest opportunity to detect KOR-8287's neuroprotective benefit. The primary endpoint will be the percentage of the planned chemotherapy dosage that a patient received before presenting with a neuropathy as assessed by a composite score of the PRO, ClinRO, and FXN tests. Percentage of planned chemotherapy received is critical because it is possible that a drug reducing the incidence of CIPN will lead to greater adherence to planned chemotherapy as compared to placebo, and since CIPN is dose-dependent, higher risk of CIPN in the active treatment groups.

Objective 2

Objective 4.2 Continue Phase II Enrollment and Activate Strategies to Ensure Timely Enrollment in KOR-8287 Study (Y3/Q1-4)

Over the course of Year 3, patient enrollment in the Phase II trial will continue. Korysso management will ensure adherence to enrollment timelines and SOP. If it is determined that adequate enrollment is not proceeding in a timely manner, Korysso will implement its contingency strategy to amend the trial to allow enrollment of Stage III colon cancer patients. This strategy will have been discussed and reviewed in advance with the KOLs from the ACCTION nonprofit as well as with FDA staff as part of the IND filing as a possible contingency plan.

Goal 5: Identification and Development of Second Generation Molecules as Preventive Care for CIPN and CICD (Y1-Y3)

Objective 1

Objective 5.1 Preclinical Development and Pharmacology/Toxicology studies (Y1Q1-Y1Q4)

To drive value creation over the three-year life of the program, Korysso will continue to conduct preclinical studies on additional (1-2) pipeline compounds. These could be second-generation products for cancer related indications, including CIPN and CICD (chemo brain). We anticipate that these follow-on compounds would support other cancer indications as part of an overall product platform for preventative care. Preclinical studies would include chemical modification of analogs, such that all the potential combinations of metabolism- and brain penetration-enhancing side groups are synthesized around the potency-enhancing core. Molecules will be screened for enhanced in vivo potency in rodents and tested for safety, tolerability, and PK.

Objective 2

Objective 5.2 Efficacy and Preliminary Toxicology for Second Generation Molecules (Y1Q3-Y2Q2)

Preclinical candidates will be evaluated for potency and efficacy in cancer and tested for toxicity in preliminary non-GLP studies.

Objective 3

Objective 5.3 IND-enabling GLP/GMP Manufacture and Toxicology for Second Generation Molecules (Y2Q1-Y3Q2)

Supportive CMC studies will also be conducted to ensure cost effective manufacturing of drug product is possible.

Formation Biologics Corp. Proposed Texas Company Product Development Award

The CPRIT Product Development Review Council has completed its review and recommends awarding a Texas Company Product Development Research grant award to Formation Biologics Corporation for \$18,850,000.

Formation Biologics is developing an innovative pipeline of anti-cancer biotherapeutics called antibody-drug conjugates (ADCs). These next-generation treatments are designed to kill cancer cells while sparing healthy cells. Formation's lead ADC product, AVID100, has been extensively studied and has demonstrated excellent safety and efficacy. It efficiently kills cells from many deadly cancer types including breast, ovarian, head and neck, glioma, pancreatic, gastric and lung. AVID100 is now in early clinical trials in San Antonio exhibiting a good safety profile.

Formation is currently evaluating AVID100 in a Phase I clinical trial. This study demonstrated AVID100 is well-tolerated at doses expected to be therapeutically active. These data support the expectation that AVID100 will demonstrate significant single agent activity when evaluated in the proposed Phase II trials in which patients are selected for EGFR IHC3+ status.

Over the three years of the CPRIT funding cycle, Formation will evaluate AVID100 activity in approximately 100 EGFR IHC3+ patients across three carefully selected cohorts; non-small cell lung carcinoma (NSCLC), metastatic breast cancer (MBC) and squamous cell carcinoma of the head and neck (SCCHN).

At the end of the proposed 3-year project, Formation expects to acquire proof-of-principle efficacy data. The data from the Phase IIa trial and the design of further clinical studies will be discussed with the FDA at an end of Phase II meeting, including potential for accelerated approval. If the efficacy data is sufficiently compelling, discussion with the FDA could be held earlier during the 3-year funding period. Formation is well-positioned to rapidly launch development that could lead to accelerated approval of AVID100 in the US. In parallel with launching these studies, Formation will also seek to enter a partnership agreement with a global pharmaceutical company to commercialize AVID100 outside the US.

Mechanism of Support and Program Objectives:

Formation is recommended for a Texas Company Product Development Research award. The award mechanism supports the ongoing work of existing companies that intend to undertake product research and development in Texas with Texas-based employees.

The scientific rationale underlying Formation's product development research project is highly rated by the review panel, receiving an overall score of 3.0. In making the recommendations, the PDRC also considered the company's potential to: (1) to continue to develop new products for the diagnosis, treatment, supportive care, or prevention of cancer; (2) to establish infrastructure that is critical to the development of a robust industry; (3) support development of Texas companies and (4) to fill any treatment, industry, or research gaps.

Program Priorities:

Consistent with CPRIT's Product Development Research Program Priorities, the Texas Company mechanism funds projects at companies that are most likely to bring important cancer care products to the market. Development of a therapeutic to treat EGFR IHC+ cancers patents addresses a number of this program's priorities.

CPRIT Program Priorities Addressed:

Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies
Funding projects addressing large or challenging unmet medical needs
Investing in early stage projects where private capital is least available
Providing appropriate return on taxpayer investment

Project Summary

The proposed \$18,850,000 award to Formation supports the continued development of AVID 100, a novel therapy for treating multiple types of EGFR IHC3+ cancer including; non-small cell lung carcinoma (NSCLC), metastatic breast cancer (MBC) and squamous cell carcinoma of the head and neck (SCCHN) cancers.

AVID100 is a potent anti-EGFR ADC in development for the treatment of EGFR IHC3+ tumors. The agent has a well-understood mechanism of action, incorporates clinically-validated components, and has the potential to achieve rapid registration as a single agent in EGFR-overexpressing indications. The development strategy for AVID100 is modeled on development and registration paths of other ADCs (Kadcyla®, Adcetris®, and IMMU-132) and represents an attractive risk/reward profile.

Anti-EGFR antibodies are a validated class of agents that generate significant annual revenues. However, the anti-cancer activity of these agents is limited, and EGFR-overexpressing tumors still represent a significant unmet medical need. Formation Biologics values the addressable market at \$4 billion.

Scientific Rationale Underlying Lead Program AVID 100

The anticancer activities of antibodies against targets other than EGFR have been successfully enhanced by conjugation to highly cytotoxic payloads. Until now, the development of conjugated anti-EGFR antibodies has been avoided because of concerns of enhancing on-target EGFR toxicity, particularly skin toxicities.

AVID100 is based on the discovery that fully antagonistic anti-EGFR antibodies, such as cetuximab, are able to “protect” normal cells from damage by potent anti-microtubule payloads, thereby avoiding increased toxicity to normal tissues. This discovery resulted in the development of AVID100, a potent, yet well tolerated, EGFR-targeting ADC.

The AVID100 program is de-risked because it targets a well-characterized antigen and incorporates clinically validated components. Specifically, AVID100 incorporates an anti-EGFR antibody that shares its variable region with cetuximab (an FDA-approved antibody) linked to the potent SMCC-DM1 payload (the same payload used in Kadcyla®, an FDA-approved ADC). This streamlines and de-risks development.

The safety of AVID100 at therapeutically-relevant doses has been confirmed in the ongoing Phase I clinical study. As discussed in the Development Plan section, the study has progressed into the 7th cohort, where patients are treated with doses of 270 mg/m² (~7.1 mg/kg) once every three weeks. This compares favorably with Kadcyla, which is dosed at 3.6 mg/kg once every three weeks. Importantly, anti-cancer activity of ADCs is primarily a function of exposure, and initial PK results show that AVID100 exposure is similar to, or higher than, that of Kadcyla on its approved schedule.

This promising clinical safety and PK data, along with excellent anticancer activity in preclinical studies, indicates that AVID100 has the potential to achieve rapid registration as a monotherapy in one or more EGFR IHC3+ indications. This development strategy was used successfully for other ADCs. For example, several ADCs (Kadcyla®, Adcetris®, IMMU-132 (BLA under review)) were submitted for accelerated approval based on single arm Phase IIa studies.

Selected Reviewer Comments

The applicant is developing an anti-cancer biotherapeutic that is an antibody-drug conjugate (ADC). The product is intended to kill cancer cells and spare healthy cells. If successful, it is anticipated that this project will yield an effective treatment with less caustic patient reactions than standard chemotherapy. This is exciting as it improves patients' quality of life while they undergo treatment and would yield better patient outcomes. The company seems well positioned to develop the product. They are established and have highly qualified personnel to both manufacture and bring the product to market. The product is already in phase I in San Antonio with positive safety indications. The applicant has already been quite adept at raising funds as well as having other products in the pipeline. This Texas based company seems both capable and probable to develop this product if the research proves successful. The manufacturing in Texas of this product will be a benefit to the Texas economy and the success of this project has the potential to facilitate the creation of a robust targeted drug therapy cottage industry.

Current FDA approved EGFR therapeutic antibodies have impacted the treatment of colorectal and H&N cancers. However, there remains an unmet medical need for more effective anti-EGFR therapy. The success of TDM1, particularly in HER2+ breast cancers that have progressed on prior trastuzumab-based therapy reminds us that an ADC can salvage patients whose disease has progressed on the naked antibody alone. AVID100 is already in a phase I clinical trial. Early tox data looks like the drug is well tolerated with Grade 1 skin tox the predominant adverse events although 2 patients experience Grade 3 transaminitis. The potential impact of an EGFR ADC is significant and broad since a variety of epithelial tumors express EGFR at a 3+ level.

Grant Award Contract and Risk Mitigation

Investing in early stage translational cancer research is inherently risky. Therapies that show promise in the lab and in animals may not make a measurable difference in humans or the treatment's side effects may be so severe as to not justify the benefits. Along with the increased risk of scientific failure, human studies are more expensive than laboratory and animal studies. CPRIT addresses the risk associated with product development awards by tying disbursement of grant funds to achieving specific goals and objectives. The company only receives the entire amount of the award if all goals and objectives are met. Because goals are usually associated with project milestones, such as receiving FDA approval for an IND filing or completing a clinical trial, achieving all goals also means that the project is making meaningful progress on the way to becoming a treatment option.

A summary of the company's goals and objectives, along with the associated tranches, are set forth below. For a complete explanation of each goal and summary, please see the application.

Formation Biologics Project Goals and Objectives:

The bulk of CPRIT funding will support Phase II clinical development of AVID 100. Specific goals and objectives for each year of the grant project, described below, will be included in the executed grant contract.

Goals and Objectives to be included in the executed grant contract:

Goal 1 Clinical program: commence Phase IIa trial and identify most promising cohorts for expansion

Objective 1 Year 1 Launch Phase IIa Breast Cancer Cohort Y1Q1 Launch Phase IIa SCCHN Cohort Y1Q1 Launch Phase IIa NSCLC Cohort Y1Q2

Objective 2 Year 2 Enroll and assess response in approximately 15 Breast Cancer patients Go/No Go decision to expand Breast Cancer Cohort Y2Q2 Enroll and assess response in approximately 15 SCCHN patients Go/No Go decision to expand Phase IIa SCCHN Cohort Y2Q1 Enroll and assess response in approximately 15 NSCLC patients Go/No Go decision to expand Phase IIa NSCLC Cohort Y2Q2

Goal 2 Clinical program: Demonstrate AVID100 clinical proof-of-principle in expanded cohorts and identify a potential path to approval

Objective 1 Year 2 Commence enrollment into Expanded Cohorts Y2Q3

Objective 2 Year 3 Complete enrollment of patients into selected Phase IIa cohorts Y3Q3

Objective 3 Year 3 Compile Phase IIa data and present Phase IIa cohort data to the FDA Conduct End of Phase II meeting with FDA and discuss with the FDA possible paths to approval Y3Q4

Goal 3 Execute CMC program to support AVID100 development

Objective 1 Year 1 Produce and release 1st GMP Batch of AVID100 Y1Q3 **Objective 2** Year 1 Complete CMC process transfer and scale up Y1Q3

Objective 3 Year 2 Produce and release 2nd GMP Batch of AVID100 Y2Q3

Goal 4 Develop prototype companion diagnostic to support AVID100 development **Objective 1** Year 1 Development of new clinical prototype IHC assay Y1Q4 **Objective 2** Year 2 Complete bridging studies Y2Q4

Objective 3 Year 3 Complete companion diagnostic proof-of-concept studies Y3Q4

Goal 5 Execute preclinical and translational studies

Objective 1 Year 1 Complete preclinical testing of AVID100 in additional tumor types

Objective 2 Year 2 Complete preclinical testing of AVID100 in combination with other agents

Objective 3 Year 3 Complete analysis of biomarkers from samples collected during the clinical trials

Product Development Research Priorities Addressed by Recommended Award, August 15, 2018					
Funding novel projects that offer therapeutics or diagnostics not currently available, i.e., disruptive technologies	Funding projects addressing large or challenging unmet medical needs	Investing in early stage projects when private capital is least available	Stimulating commercialization of technologies developed at Texas institutions	Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life sciences expertise, especially C-level staff to lead seed clusters of life science expertise at various Texas locations	Providing appropriate return on Texas taxpayer investment
\$50,587,540 3 projects	\$50,587,540 3 projects	\$50,587,540 3 projects	\$31,737,540 2 projects	\$19,953,624 1 project	\$50,587,540 3 projects

July 23, 2018

Will Montgomery

Oversight Committee Chair

Cancer Prevention and Research Institute of Texas

Via email to wsmcpnit@gmail.com

Via email to Will Montgomery's assistant, Laura Blevins, lblevins@jw.com

Wayne R. Roberts

Program Integration Committee Chair

Cancer Prevention and Research Institute of Texas

Via email to wroberts@cpriti.texas.gov

Dear Will and Wayne,

On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's Product Development Research 18.2 grant award cycle . The PDRC met on July 11, 2018 and recommends that the Program Integration Committee and the Oversight Committee approve Product Development Research grant awards to the following applicants: Korysso Therapeutics, CerRx, Inc., and Formation Biologics Corporation. The attached table reflects the maximum recommended funding amounts and the overall evaluation scores for the three grant applications.

The PDRC did not make any changes to the goals, timelines, or budgets for the three projects recommended for funding. However, the PDRC's recommendation for funding Korysso Therapeutics is contingent upon the company completing licensing agreements necessary to establish clear ownership of the IP required to move towards a viable commercial product. The company should complete the license agreements prior to executing the CPRIT contract. The PDRC understands that CPRIT has authorized the Chief Product Development Officer to negotiate budgets with all three companies prior to the Program Integration Committee's consideration of the PDRC's recommendations. The PDRC supports this exercise to identify any budget items that may be reduced or eliminated.

Each recommendation reflects 50+ hours of individual review and panel discussion of the applicants' proposals as well as the PDRC's review of the due diligence reports. Our recommendations are consistent with one or more of the priorities set by the Oversight Committee for product development grant award funding. These standards include the potential of these companies to (1) bring important products to market; (2) promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and (3) develop tools and technologies of special relevance to cancer research, treatment and prevention.

I will also note that at its July 11 meeting, the PDRC decided that it needed additional information from two applicants in due diligence review before making final award decisions on DP180034 and DP180055. The PDRC will reconvene and evaluate the additional information before making final award decisions. We anticipate that our award recommendations, if any,

Product Development

regarding these proposals from the 18.2 cycle will be provided to the Program Integration Committee and Oversight Committee in November 2018.

Sincerely,

/JG/

Jack Geltosky, PhD

Chair, CPRIT Product Development Review Council

Attachment

Product Development Review Council Award Recommendations

FY 2018, Cycle 2

Rank	Application ID	Company Name	Project	Maximum Recommended Budget	Overall Score
1	DP180040	Formation Biologics Corp.	Clinical Evaluation of AVID100, a Highly Potent Antibody-Drug Conjugate, Focusing on Cancer Indications With High Unmet Medical Need	\$18,850,000	2.3
2	DP180048	Korysso Therapeutics, Inc.	Development of KOR-8287 for the Prevention of Chemotherapy-Induced Peripheral Neuropathy and Chemo Brain	\$19,953,624	3.1
3	DP180042	CerRx, Inc.	Combination Drug Therapy for Cutaneous T-Cell Lymphoma	\$11,783,916	3.6



CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

August 7, 2018

Oversight Committee Members,

Pursuant to 25 T.A.C. § 703.7(j), I request that the Oversight Committee approve authority for CPRIT to advance grant funds upon execution of grant contracts for three companies that will be considered for Product Development grant awards at the August 24, 2018, Oversight Committee meeting. The companies have been recommended for grant awards by the Program Integration Committee (PIC). The Oversight Committee will consider the PIC's recommendations at the August 24, 2018, Oversight Committee meeting.

Although CPRIT disburses most grant funds pursuant to requests for reimbursement, CPRIT may disburse grant funds in advance payments consistent with the General Appropriations Act, Article IX, § 4.03(a). Typically, the grant amount to be paid in advance is based upon the project year budget or tranche amount. All grant recipients, including those that receive advance payment of grant funds, are required to submit quarterly financial status reports that are reviewed and approved by CPRIT's financial staff. Failure to submit the financial status reports on a timely basis will result in forfeiture of reimbursement for expenses for the quarter and may result in grant termination and repayment of grant funds.

Advance payment of grant funds are needed because the projects proposed for grant awards involve clinical trials. Clinical trial contracts typically require substantial upfront payments. The cost structure for these contracted services is highly front loaded and service providers require substantial upfront payments. Advancing grant funds allows these projects to begin work as quickly as possible.

Sincerely,

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

Wayne R. Roberts,
CPRIT Chief Executive Officer



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
SUBJECT: T.A.C. § 702.19 WAIVER
DATE: JULY 16, 2018

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Michael Lang, CPRIT's Chief Product Development Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to three product development applicants, which are currently pending review by the Program Integration Committee (PIC). No Oversight Committee action is necessary.

The Product Development Review Council (PDRC) recommended Product Development application numbers DP180040, DP180042, and DP180048 to receive grant awards. The PDRC's recommendations are currently pending PIC review. The PIC will meet July 31, 2018, to consider the PDRC recommendations. CPRIT administrative rule § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process.

The waiver allows Mr. Lang to negotiate proposed grant budgets with the three grant applicants and discuss intellectual property contingent requirements with one of the three applicants. Good cause for the waiver exists because the communication may help find budget expenses to reduce or eliminate, thereby decreasing the overall amount of the proposed awards. In addition, clarifying intellectual property issues at this time may identify whether the applicant is able to address the proposed contingencies or if they will preclude contract execution.

Typically, these discussions occur as part of the contract negotiation process after the Oversight Committee approves the award recommendations. However, Mr. Lang's communications prior to the PIC meeting gives the PIC and the Oversight Committee the best information on the amount of grant funds available for awards in FY 2018. Since the PDRC recommended the three applications for grant awards, the appearance of more favorable treatment of these applications compared to the other applications not recommended for grants in this cycle is not an issue.

This waiver will be part of the grant record for these applications. The waiver will be publicly available when the Oversight Committee considers the applications.

Product Development



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 2
Texas Company Product Development
Awards

Request for Applications



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA C-18.2-TXCO

Texas Company Product Development Research Awards

**Please also refer to the Instructions for Applicants document,
which will be posted December 22, 2017**

Application Receipt Opening Date: December 22, 2017

Application Receipt Closing Date: February 7, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 12/15/17 RFA release

1. KEY POINTS

This Texas Company Product Development Research Award mechanism is governed by the following restrictions:

- All cancer-related sectors are eligible: therapeutics, diagnostics, devices, and tools.
- For therapeutics, Product Development Research awards are invested in preclinical research and early clinical research necessary to demonstrate initial clinical safety and efficacy (typically phase 1, phase 2A).
- Recipient companies must currently be or commit to be Texas based (see [section 8.1](#)). The Cancer Prevention and Research Institute of Texas (CPRIT) requires the use of Texas-based subcontractors and suppliers unless adequate justification is provided for the use of out-of-state entities.
- CPRIT requires recipient companies to raise a portion of the total project budget from external sources. For a company receiving an initial CPRIT award, CPRIT will contribute \$2.00 for every \$1.00 contributed in matching funds by the recipient company. CPRIT reserves the right to seek a higher matching funds contribution (ie, CPRIT will contribute \$1.00 for every \$1.00 contributed in matching funds by the company) from a company that has already received a CPRIT award and is approved for a second award. The demonstration of available matching funds must be made prior to the distribution of CPRIT grant funds, not at the time the application is submitted. CPRIT funds should, whenever possible, be spent in Texas. A company's matching funds must be dedicated to the CPRIT-funded project but may be spent outside of Texas.
- Applicants may request up to \$20 million in CPRIT funds. CPRIT receives many more applications each year than available funds can support. While all requests for funding must be well justified, a funding request at or near the maximum amount will be heavily scrutinized. Such a request must be exceptionally well justified to warrant dedicating a large percentage of CPRIT's product development research budget to the applicant's project.
- Funding will be tranching and tied to the achievement of contract-specified milestones.
- All award contracts include a revenue-sharing agreement. **A copy of the revenue-sharing agreement can be found at www.cprit.texas.gov in the Product Development**

Research Program section. Other contract provisions are specified in CPRIT's Administrative Rules, which are also available at www.cprit.texas.gov.

- An application last submitted but not funded (including resubmission) before December 22, 2015, may be submitted as a new application, even if it was previously resubmitted (see [section 8.2](#)).

2. ABOUT CPRIT

The State of Texas established 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 product or service development, thereby enhancing the potential for a medical or scientific breakthrough in the prevention, treatment, and possible 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
- Continue to develop and implement the Texas Cancer Plan by promoting the development and coordination of effective and efficient statewide public and private policies, programs, and services related to cancer and by encouraging cooperative, comprehensive, and complementary planning among the public, private, and volunteer sectors involved in cancer prevention, detection, treatment, and research.

CPRIT furthers cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research.

2.1. Product Development Research 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 Product Development Research Program's principles and priorities will also guide CPRIT staff and the Product Development 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:

- Moving forward the development of commercial products to diagnose and treat cancer and improve the lives of patients with cancer
- Creation of good, high-paying jobs for Texans
- Sound financial return on the monies invested
- Development of the Texas high-tech life sciences business environment

Product Development Research Program Priorities

- Funding novel projects that offer therapeutic or diagnostic benefits not currently available; ie, disruptive technologies
- Funding projects addressing large or challenging unmet medical needs
- Investing in early-stage projects when private capital is least available
- Stimulating commercialization of technologies developed at Texas institutions
- Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff, to lead to seed clusters of life science expertise at various Texas locations
- Providing appropriate return on Texas taxpayer investment

3. EXECUTIVE SUMMARY

CPRIT will foster cancer research as well as product and service development in Texas by providing financial support for a wide variety of projects relevant to cancer. This RFA solicits applications for the research and development of innovative products addressing critically important needs related to diagnosis, prevention, and/or treatment of cancer and the product development infrastructure needed to support these efforts. CPRIT encourages applicants who seek to apply or develop state-of-the-art products, services (eg, contract research organization services), technologies, tools, and/or resources for cancer research, prevention, or treatment. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and cure. To fulfill this vision, applications may address any topic or

issue related to cancer biology, causation, prevention, detection or screening, treatment, or cure. The overall goal of this award program is to improve outcomes of patients with cancer by increasing the availability of Food and Drug Administration (FDA)–approved therapeutic interventions with a primary focus on Texas-centric programs.

4. MECHANISM OF SUPPORT

The goal of the Texas Company Product Development Research Award is to finance the research and development of innovative products, services, and infrastructure with significant potential impact on patient care. These investments will provide companies or limited partnerships located and headquartered in Texas with the opportunity to further the research and development of new products for the diagnosis, treatment, supportive care, or prevention of cancer; to establish infrastructure that is critical to the development of a robust industry; or to fill a treatment, industry, or research gap. This award is intended to support companies that will be staffed with a majority of Texas-based employees, including C-level executives.

5. OBJECTIVES

The long-term objective of this award is to support commercially oriented therapeutic and medical technology products, diagnostic- or treatment-oriented information technology products, diagnostics, tools, services, and infrastructure projects. Common to all applications under this RFA (with the exception of infrastructure applications) should be the intent to further the research and development of products that would eventually be approved and marketed for the diagnosis, prevention, and/or treatment of cancer. Eligible products or services include—but are not limited to—therapeutics (eg, small molecules and biologics), diagnostics, devices, and potential breakthrough technologies, including software and research discovery techniques.

CPRIT seeks to maximize the clinical impact of our funding. Hence we focus investment in translational research and development activities, including the following eligible stages:

- Studies that establish preclinical proof of concept;
- GLP studies to support INDs;
- Phase 1 to establish safety and a maximally tolerated dose;
- Phase 2 studies to determine safety and efficacy in initial targeted patient populations (up to 100 patients).

CPRIT typically does not fund efforts outside of these parameters. We do not consider studies larger than what are described as “translational” and, hence, such studies are outside the scope of our interest. Companies that have clinically demonstrated safety and efficacy should be able to acquire necessary capital via other sources. By exception, later clinical trials or later-stage product development projects may be considered where exceptional circumstances warrant CPRIT investment.

CPRIT’s objectives and program priorities are established by its Oversight Committee. Consistent with the above, these priorities include, “funding projects at Texas companies and relocating companies that are most likely to bring important products to the market.” A full description of CPRIT’s program priorities may be found at <http://www.cprit.texas.gov/about-cprit/reports/>.

6. FUNDING INFORMATION

This is a 3-year funding program. Financial support will be awarded based upon the breadth and nature of the research and development project proposed. Requested funds must be well justified. Funding will be milestone driven.

Funds may be used for salary and fringe benefits, research supplies, equipment, clinical trial expenses, intellectual property protection, external consultants and service providers, travel in support of the project, and other appropriate research and development costs, subject to certain limitations set forth by State of Texas law. If a company is working on multiple projects, care should be taken to ensure that CPRIT funds are used to support activities directly related to the specific project being funded. Requests for funds to support construction and/or renovation may be considered under compelling circumstances for projects that require facilities that do not already exist in the State of Texas. Texas state law limits the amount of awarded funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs).

For companies receiving an initial CPRIT award, CPRIT will award \$2.00 for every \$1.00 contributed in matching funds by the company. CPRIT reserves the right to seek a higher matching funds contribution (ie, CPRIT will contribute \$1.00 for every \$1.00 contributed in matching funds by the company) from a company that has already received a CPRIT award and is approved for a second award. The demonstration of available matching funds must be made

prior to the distribution of CPRIT funds, not at the time the application is submitted. The matching funds commitment may be made on a year-by-year basis.

7. KEY DATES

RFA release	December 15, 2017
Online application opens	December 22, 2017, 7 AM central time
Applications due	February 7, 2018, 4 PM central time
Invitations to present sent	April 2018
Notifications sent if not invited	April 2018
Presentations to CPRIT*	April 2018
Award Notification	August 2018
Anticipated Start Date	September 2018

* Applicants will be notified of their peer review panel assignments prior to the peer review meeting dates. Information on the timing of subsequent steps will be provided to applicants later in the process.

8. ELIGIBILITY

8.1. Applicants

- Recipient companies must be Texas based. A company is considered to be Texas based if it currently fulfills or commits to fulfilling a majority of the following criteria:
 1. The US headquarters are physically located in Texas.
 2. The Chief Executive Officer resides in Texas.
 3. A majority of the company's personnel, including at least 2 other C-level employees (or equivalent) reside in Texas.
 4. Manufacturing activities take place in Texas.
 5. At least 90% of grant award funds are paid to individuals and entities in Texas, including salaries and personnel costs for employees and contractors.

6. At least 1 clinical trial site is in Texas.
7. The company collaborates with a medical research organization in Texas, including a public or private institution of higher education.

In exceptional circumstances, the applicant may propose 1 or more alternative location requirements, which the Oversight Committee may approve by a majority vote in an open meeting.

Unless otherwise specified by the award contract, all location requirements identified by the applicant must be fulfilled within 1 year of receiving the initial disbursement of funds. Failure to maintain compliance with the location criteria will result in consequences ranging from suspension of grant funding to early termination of the grant contract and repayment of grant funds.

- An applicant may submit only 1 application under this RFA during this funding cycle.
- An application last submitted (including resubmissions) before December 22, 2015, may be submitted as a new application, even if it was previously resubmitted.
- Only 1 coapplicant may be included on the application. For the Product Development Research Program, a coapplicant is an individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. If so designated by the applicant organization, coapplicants share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple applicants are named, each is responsible and accountable for the proper conduct of the project, program, or activity, including the submission of all required reports. The presence of more than 1 applicant on an application or award diminishes neither the responsibility nor the accountability of any individual applicant.
- A company applicant is eligible to receive a grant award only if the applicant certifies that the company, including the company representative, any senior member or key personnel listed on the application, or any company officer or director (or any person related to 1 or more of these individual 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.

- A company applicant is not eligible to receive CPRIT funding if the company representative, any senior member or key personnel listed on the application, or any company officer or director is related to a CPRIT Oversight Committee member.
- The company applicant must report whether the company, company representative, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to 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. If the applicant or other individuals are ineligible to receive federal grant funds or have had a grant terminated for cause, the applicant may be contacted to provide more information.
- CPRIT grants will be awarded by contract to successful company applicants. Certain contractual requirements are mandated by Texas state law or by administrative rules. Although the company applicant need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should familiarize themselves with 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.

8.2. Resubmission Policy

- An application previously submitted to CPRIT within the last 2 years (after December 22, 2015) but not funded may be resubmitted once and must follow all resubmission guidelines (see [section 10.4.6](#)). **An application that was last submitted (including a resubmission to CPRIT) before December 22, 2015, may be submitted as a new application, even if the most recent submittal prior to December 22, 2015, was a resubmission.** It is expected that significant progress will have been made on the project; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to submit an application with such modest changes.
- 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 applicant or

company representative for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. An application that was administratively withdrawn by the applicant or by CPRIT prior to review by the review panel is not considered a submission for purposes of CPRIT's resubmission policy.

- Applicants who choose to resubmit should carefully consider the reasons for lack of prior success. Applications that received an overall numerical score 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.

9. APPLICATION REVIEW

9.1. Overview

Applications will be assessed based on evaluation of the quality of the company and the potential for continued product development. CPRIT requires the submission of a comprehensive development plan (see [section 10.4.7](#)) and a detailed business plan (see [section 10.4.8](#)). The review will address the commercial viability, product feasibility, scientific merit, and therapeutic impact as detailed in the company's business and development plans. The plans will be reviewed by an integrated panel of individuals with biotechnology expertise and experience in translational and clinical research as well as in the business development/regulatory approval processes for therapeutics, devices, and diagnostics. In addition, advocate reviewers will participate in the review process.

Funding decisions are made via the review process described below.

9.2. Review Process

- **Product Development and Scientific Review:** Applications that pass initial administrative review are assigned to independent CPRIT Product Development Peer Review Panel members for evaluation using the criteria listed below. Based on the initial evaluation and discussion by the Product Development Review Panel, a subset of company applicants may be invited to deliver in-person presentations to the review panel.
- **Due Diligence Review:** Following the in-person presentations, a subset of applications judged to be most meritorious by the Product Development Review Panels will be referred for additional in-depth due diligence, including—but not limited to—intellectual property, management, regulatory, manufacturing, and market assessments. Following the due diligence review, applications may be recommended for funding by the CPRIT Product Development Review Council based on the information set forth in the due diligence and intellectual property reviews, comparisons with applications from the Product Development Review Panels, and programmatic priorities.
- **Program Integration Committee Review:** Applications recommended by the Product Development 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.
- **Oversight Committee Approval:** 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 to 703.8](#).

9.2.1. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Product Development Peer Review Panel members, Product Development 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 Product Development Peer Review Panel members and Product Development Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **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](#).**

Any form of communication regarding any aspect of a pending application is prohibited between the company applicant (or someone on the grant applicant's behalf) and the following individuals: An Oversight Committee member, a PIC member, a Product Development Review Panel member, or a Product Development Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention 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. 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

Full peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of the individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers. A list of more detailed questions considered by CPRIT reviewers when assessing therapeutic applications is attached as Appendix 1 at the end of this document titled "Reviewer Evaluation Guidelines for Therapeutics."** Applicants engaged in the development of therapeutics are

encouraged to review this document and, to the extent possible, address the questions in this appendix within their application.

9.3.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study.

Primary criteria include the following:

Significance and Impact: Will the outcomes of this CPRIT-funded project result in the development of innovative products with significant product development potential? Will the intended product significantly address an unmet medical need in the diagnosis, treatment (including supportive care), prognosis, or prevention of cancer?

Market Plan: Is there a realistic assessment of the market size and expected penetration? Has the applicant addressed patients, market segments, value proposition, pricing, outcomes research, sales plans, marketing research plans, or results? If the applicant plans to seek acquisition by a strategic partner, is there a well-characterized analysis of exit strategy and valuation? Is there an appropriate basis for a reimbursement strategy? Considering the initial clinical indications for the product, its competitive strengths/weaknesses and pricing/reimbursement objectives, are market/segment penetration and sales/profitability projections reasonable?

Clinical/Regulatory Plan: Is the clinical and regulatory path well characterized and appropriate? Is the plan milestone driven, and does it address both positive and negative outcomes? Does the budget appropriately support the plan? Does the applicant demonstrate adequate familiarity with pertaining regulatory guidelines in major jurisdictions (eg, United States/European Union)? Do development proposals reflect specific regulatory authority input?

Competitive Landscape: Has the applicant carried out a comprehensive and realistic analysis of the likely strengths and weaknesses of the product compared to clinically relevant, competitive products, including potentially competitive agents in development? Are the applicant's assumptions regarding the strengths and weaknesses of the agent relative to likely competitors reasonable?

Intellectual Property: Considering patent type (Composition of Matter/ Formulation/ Manufacturing Process/Use) and duration of patent life, how strong is the intellectual property?

Are there opportunities for meaningful patent life extension? Has the applicant secured appropriate licenses conferring freedom to operate?

Development Plan: Are development proposals scientifically rational and sufficiently comprehensive considering development efforts and results to date? Will the proposed programs advance development of the product to commercially significant milestone(s), such as might attract either partner interest or the raising of further development funding? Are development milestones clear and adequately described? Is the overall project timeline realistic? Are potential research and developmental obstacles and unexpected outcomes discussed?

Management and Staffing: Does the management team have the appropriate level of experience and track record of relevant accomplishments to execute the development and commercialization strategy? Does the applicant have the necessary experienced and appropriately accomplished in-house personnel in such key areas as translational research, clinical development, regulatory affairs, and manufacturing? Does the team have access to experienced external assistance, facilities, and resources to accomplish all aspects of the proposed plan? If not, are there plans to address such deficiencies?

Financial Plan: Is there a comprehensive analysis of the aggregate funding required to market or exit and strategy to raise the required funding? If the applicant needs to raise further funds for the CPRIT matching requirement, how realistic are their assumptions about a successful fund-raising campaign? Do the development milestones and expected results of the research program reasonably support such assumptions? Has the applicant demonstrated that the returns are sufficient to justify the investment on a risk-adjusted basis?

Production/Manufacturing: How advanced is production /manufacturing development? Are there any sourcing issues? Has the applicant demonstrated that the product can be manufactured at commercial scale and with a reasonable cost? Are there significant technical difficulties still to be addressed?

9.3.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed research and development activities.

Secondary criteria include the following:

Budget and Duration of Support: Are the budget and duration of support appropriate and realistic for the proposed project? Will the amount requested enable the applicant to reach appropriate milestones? Is the use of the funds requested in line with the stated objectives of the applicant and CPRIT? Is there sufficient clarity in the budget proposal as to how funds will be expended? Is there sufficient clarity in the budget proposal as to the spending of funds in Texas? Do plans reflect a substantial commitment to Texas? Is it clear that no CPRIT funds will be sent out of Texas to a Corporate HQ?

10. SUBMISSION GUIDELINES

Applicants are advised to carefully review all instructions in this section to ensure the accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Applications that are missing 1 or more components, exceed the specified page or word limits, or that do not meet the eligibility requirements listed above will be administratively withdrawn without review.

10.1. Online Application Receipt System and Application Submission Deadline

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 was submitted. The company applicant must create a user account in the system to start and submit an application. The coapplicant, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (ASO) (an individual authorized to sign and submit an application on behalf of the company applicant) must also create a user account in CARS. An application may not be submitted without ASO approval. Only the ASO is authorized to officially submit the application to CPRIT. It is acceptable (and not uncommon) for the applicant to also serve as the designated ASO. However, if the applicant intends to also serve as the ASO, the system requires that the applicant and the ASO have 2 different accounts and user names. Applications will be accepted beginning at 7 AM central time on December 22, 2017, and must be submitted by 4 PM central time on February 7, 2018. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

10.2. Submission Deadline Extension

The submission deadline may be extended upon a showing of good cause. Late submissions are permitted only in exceptional instances, usually for technology failures in the CARS. It is imperative that applicants allow sufficient time to familiarize themselves with the application format and instructions to avoid unexpected issues. The applicant's failure to adequately plan is not sufficient grounds to justify approval of a late submission.

Peer review schedules are set far in advance and do not accommodate receipt of an application days after the deadline. Therefore, potential applicants that are unable to meet the deadline due to issues such as travel, sabbaticals, conferences, prolonged illness or other leave, etc, should not request additional time to submit an application but should instead consider submitting the application in the next review cycle.

A request to extend 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.

10.3. Product Development Review Fee

All applicants must submit a nonrefundable fee of \$1,000 for product development review. Payment should be made by check or money order payable to CPRIT; electronic and credit card payments are not acceptable. The application ID and the name of the submitter must be indicated on the payment. Unless a request to submit a late fee has been approved by CPRIT, all payments must be postmarked by the application submission deadline and mailed to the following address:

Cancer Prevention and Research Institute of Texas
P.O. Box 12097
Austin, TX 78711

10.4. Application Components

Applicants are advised to minimize repetition among application components to the extent possible. In addition, applicants should use discretion in cross-referencing sections in order to maximize the amount of information presented within the page limits.

Please note that letters of commitment and/or memoranda of understanding from community organizations, key faculty, etc, are **not** required or requested. If applicants choose to include such

letters, they may only be added to the Development or Budget Plan sections and will count toward the page limit for that section.

10.4.1. Layperson's Summary (1,500-character maximum)

Provide an abbreviated summary for a lay audience using clear, nontechnical terms. Describe specifically how the proposed project would support CPRIT's mission (see [section 2](#)). Would it fill a needed gap in patient care or in the development of a sustainable oncology industry in Texas? Would it synergize with Texas-based resources? Describe the overall goals of the work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the fields of diagnosis, treatment, or prevention of cancer. Clearly address how the company's work, if successful, will have a major impact on the care of patients with cancer. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. The layperson's summary will also be used by advocate reviewers in evaluating the significance and impact of the proposed work. Do not include any proprietary information in this section.

10.4.2. Slide Presentation (10-page maximum)

Provide a slide presentation summarizing the application. The presentation should be submitted in PDF format, with 1 slide filling each landscape-orientated page. The slides should succinctly capture all essential elements of the application and should stand alone.

10.4.3. Abstract and Significance (5,000-character maximum)

Coherently explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan. Address how the proposed project, if successful, will have a major impact on the care of patients with cancer. Describe how this application provides a path for acquiring proof-of-principle data necessary for next-stage commercial development. Clearly explain the product, service, technology, or infrastructure proposed; competition; market need and size; development or implementation plans; regulatory path; reimbursement strategy; and funding needs. Applicants must clearly describe the existing or proposed company infrastructure and personnel located in Texas for this endeavor.

10.4.4. Goals and Objectives (maximum of 1,200 characters each)

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success if the award is made. Identify time-specific references as follows: Year 1, Quarter 1 (Y1Q1), Y1Q2, etc. Do not specify actual calendar dates as this can be confusing when dates change.

10.4.5. Timeline (1-page maximum)

Provide a visual depiction of anticipated major milestones to be tracked in the form of a Gantt chart. Identify time-specific references as follows: Y1Q1, Y1Q2, etc, as opposed to naming specific months and years. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. 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.

10.4.6. Resubmission Summary (1-page maximum)

If this is a resubmission, upload a summary of the approach, including a summary of the applicant's response to previous feedback. 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. If this is not a resubmission, then no summary is required.

Note: An application submitted or resubmitted before December 22, 2015, may be submitted as a new application, even if it was previously resubmitted. For the “new” applications, no summary is required.

10.4.7. Development Plan (12-page maximum)

Present the rationale behind the proposed product or service, emphasizing the pressing problem in cancer care that will be addressed. Summarize the evidence gathered to date in support of the company's ideas. **Describe the label claims that the company ultimately hopes to make, and describe the plan to gather evidence to support these claims.** Outline the steps to be taken during the proposed period of the award, including the design of the translational and/or clinical

research, methods, and anticipated results. Describe potential problems or pitfalls and alternative approaches to these risks. If clinical research is proposed, present a realistic plan to accrue a sufficient number of human subjects meeting the inclusion criteria within the proposed time period.

The development plan should include a defined **target product profile (TPP)** or analogous document for a medical device, in vitro diagnostic, or service that projects a clear path to full commercialization (see

<http://www.fda.gov/downloads/drugs/guidancecomplianceregulatoryinformation/guidances/ucm080593.pdf>).

The TPP provides a statement of the *overall intent* of the product development program and gives information about the product *at a particular time* in development. Usually, the TPP is organized according to the key sections in the product package insert for a drug or biologic or medical device labeling and links development activities to specific concepts intended for inclusion in the product labeling. CPRIT recognizes that many applications are early in the development process and that not all elements of the TPP will be known at the time of application. Consequently, not only does the TPP serve as a snapshot in time of the development status of the program, but it additionally serves as an aspirational target upon eventual commercialization. The TPP should include the parameters below; the questions are intended to guide the thinking process and may include, but are not limited to, the examples provided.

- Identification of a target that is applicable to human cancer treatment. Is intervention with this target likely to lead to a therapeutic, medical device, diagnostic, or service that could be useful in the treatment of cancer?
- Selection of a lead compound, assay, or device technology based on the target. Is the identification of potential developmental candidates based on a set of in vitro tests followed by selection of a lead candidate based on considerations (as appropriate for the candidate) of pharmacodynamic parameters and the results of preclinical, in vivo, proof-of-principle studies in relevant animal models of disease?
- Description of a high-level clinical development plan detailing each of the clinical studies supporting marketing approval (phase 1, 2, and 3) the preclinical work is meant to support. Designing the preclinical program requires an understanding of the duration of the clinical studies required by regulatory authorities. Consequently, a brief outline of each of the phase 1, phase 2, and phase 3 studies necessary to obtain regulatory approval

and reimbursement funding must be sketched out prior to deciding which toxicology studies would be required.

Applicants developing cancer therapeutics are encouraged to become familiar with FDA guidance documents for submission of applications related to new product development. These documents provide a standard framework for new drug submissions and biologic license applications to the FDA. Utilizing this framework helps ensure that the submission to CPRIT contains all relevant elements and is optimally organized.

Additionally, for therapeutics, the following apply:

Intended route of administration and dosing regimen. Is the intended route of administration and dosing regimen consistent with accepted convention and medical need for the therapeutic, or will the use of this new agent require a paradigm shift (more frequent or less frequent dosing, new route or method of administration), and if so, what impact will it have on current standard of care?

Optimization of the lead to ensure desired characteristics, including, but not limited to, the following studies:

- Indication of the threshold of both the safety and efficacy necessary to be a competitive product when the product is introduced
- Absorption, distribution, metabolism, excretion, including, but not limited to, relevant studies based on route of administration
- Safety (studies as mandated by ICH guidelines)
- Biomarkers (assays) that potentially target specific patient populations for clinical trials
- Biomarkers (assays) that can serve as potential pharmacodynamic markers of clinical activity during early clinical trials designed to demonstrate proof of concept
- Proposed current good manufacturing practice (including estimated costs) that can be scalable from phase 1 through phase 2. Include information on whether there are plans for possible formulation.

The FDA's website provides "Common Technical Documents" (CTDs, see <http://www.ich.org/products/ctd.html>) guidance documents. There are 3 CTDs covering safety, efficacy, and quality. This guidance presents a standard format for the preparation of a well-

structured application. Applicants may condense or summarize the CTD format as they deem appropriate to meet page limitations.

While originally intended for regulatory authorities, these formats are also applicable for a CPRIT application. Many of our reviewers have extensive pharmaceutical development expertise and are familiar with these standard formats. Hence, utilizing the CTD format will simplify the review and ensure that the application contains all of the relevant elements.

CPRIT recognizes that many applications are early in the product development process. Hence, not all elements of the CTD will be known at time of CPRIT application. We encourage applicants to complete as much of the Safety and Efficacy CTD sections as possible and to follow the submission format prescribed.

References for the Development Plan section should be provided as a stand-alone document that will be separately uploaded into CARS. In the interests of brevity include only the most pertinent and current literature. While references will not count toward the Development Plan section page limit, it is essential to be concise and to select only those references relevant to the development plan. **Do not use the references to circumvent Development Plan section page limits by including data analysis or other nonbibliographic material.**

The development plan submitted must be of sufficient depth and quality to pass rigorous scrutiny by a highly qualified panel of reviewers. To the extent possible, the development plan should be driven by data. In the past, applications that have been scored poorly have been criticized for assuming that assertions could be taken on faith. Convincing data are much preferred. Please avoid redundancy!

10.4.8. Business Plan

CPRIT can only provide a portion of the funds required to successfully develop a novel product or service. Companies typically need to raise substantial funds from private sources to fully fund development. Hence, we require companies to provide a business plan that summarizes the rationale for investing in this project. Private investors will seek a financial return on their investment. They will need to be convinced that this project has high investment return potential based on its risk profile. They typically focus on market opportunity size, development path, and key risk issues.

Successful applicants will provide thoughtful, careful, and succinct rationale explaining why this program is an appropriate investment of CPRIT and private funds. Note that if the company is selected to undergo due diligence, additional information to support the application will be requested at that time. Award applicants will be evaluated based not only on the current status of the components of the business plan but also on whether current weaknesses and gaps are acknowledged and whether plans to address them are outlined.

Please provide an overview of the business rationale for investing in this project. The business rationale overview will be 2 pages maximum. In addition, please provide summaries of the following 10 key development issues with a maximum of 1 page each.

1. **Product and Market:** Provide an overview of the envisioned product and how the product will be administered to patients. Describe the initial market that will be targeted and how the envisioned product will fit within the standard of care (ie, primary therapy, second-line therapy, adjunctive to current therapies, etc). Information on patient populations and market segments is helpful.
2. **Competition and Value Proposition:** Provide an overview of the competitive environment (current and future) and how the envisioned product will compete in the marketplace. Provide information on how the clinical utility (efficacy, safety, cost, etc) of this therapy compares with current and potential future therapies. A clear delineation of competitive advantages and data demonstrating these advantages are helpful.
3. **Target Product Profile:** (as discussed in this RFA) An overview of how the product will be manufactured, including anticipated challenges, is helpful.
4. **Clinical and Regulatory Plans:** Provide a detailed regulatory plan, including preclinical and clinical activities and the regulatory pathway for major markets. Please describe how this is driven by interactions with the FDA, if possible. The regulatory plan should include regulatory communications (including all interactions to date with the FDA) and strategy, with clarity provided on regulatory matters and current regulatory strategies.
5. **Pricing and Reimbursement:** Provide an overview of the product cost and anticipated revenue. Cost, price, and reimbursement references from similar products

are helpful. An overview of how the company plans to obtain CMS and private insurance reimbursement approval is also helpful.

6. **Commercial Strategy:** Provide an overview of your financial projections and how you will generate a return on this investment. Describe how the company plans to bring the product to market. Information on physicians to be targeted, sales channels, etc, is helpful. Alternatively, many drugs are acquired by large pharma firms in the late development stages. If the company plans to seek acquisition, please provide an overview of similar transactions.
7. **Risk Analysis:** Describe the specific risks inherent to the product plan and how they would be mitigated. Key risk issues typically include efficacy versus competitors, toxicity, clinical trials, FDA approval, dosage and delivery, CMC synthesis, changing competitive environment, etc.
8. **Funding to Date:** Provide an overview of the funding received, including a list of funding sources and a comprehensive capitalization table that should comprise all parties who have investments, stock, or rights in the company. A template exemplifying an appropriate capitalization table is provided among the application materials. The identities of all parties must be listed. It is not appropriate to list any funding source as anonymous.
9. **Intellectual Property:** Provide a concise discussion of the intellectual property issues related to the project. List any relevant issued patents and patent applications. Please include the titles and dates the patents were issued/filed/published. List any licensing agreements that the company has signed that are relevant to this application.
10. **Key Personnel Located in Texas and Any Key Management Located Outside of Texas:** For each member of the senior management and scientific team, provide a paragraph briefly summarizing his or her present title and position, prior industry experience, education, and any other information considered essential for evaluation of qualifications. Key personnel are the Principal Investigator/Project Director as well as other individuals who contribute to the development or the execution of the project in a substantive, measurable way. *Substantive* means they have a critical role in the overall success of the project and that their absence from the project would have a significant impact on executing the approved scope of the project. *Measurable* means

that they devote a specified percentage of time to the project. The indicated time is an obligatory commitment, regardless of whether or not they request salaries or compensation. “Zero percent” effort or “TBD” or “as needed” are not acceptable levels of involvement for those designated as key personnel. While all participants that meet these criteria should be identified as “key,” it is expected that the number of key personnel will be kept to a minimum.

The entire Business Plan section shall typically comprise a maximum of 12 pages: a 2-page overview and ten, 1-page key issue summaries. Please avoid redundancy. Note that the section “Funding to Date” above may exceed this 1-page limit if necessary.

10.4.9. Biographical Sketches of Key Scientific Personnel (8-page maximum)

Provide a biographical sketch for up to 4 key scientific personnel that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 2 pages. You may use the “Product Development Research Programs: Biographical Sketch” template but are not required to do so. (In addition, information on the members of the senior management and scientific team should be included in the “Key Personnel” section of the Business Plan [see [section 10.4.8](#)]).

10.4.10. Budget

In preparing the requested budget, applicants should be aware of the following:

- Each award mechanism allows for up to a 3-year funding program with an opportunity for extension after the term expires. **The budget must be aligned with the proposed milestones.** Financial support will be awarded based upon the breadth and nature of the project proposed. Requested funds must be well justified. Funding will be tranching and milestone driven.
- CPRIT considers equipment to be items having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit. If awarded, management of your grant will be facilitated if specific equipment is clearly identified in the application using plain language. **Equipment not listed in the applicant’s budget must be specifically approved by CPRIT subsequent to the award contract.**
- Texas state law limits the amount of grant funds that may be spent on indirect costs 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, which are available at www.cprit.texas.gov.

- The total amount of CPRIT funds allowed for an annual salary of an individual for FY 2018 is \$200,000. In other words, an individual may request salary proportional to the percentage effort up to a maximum of \$200,000. Salary amounts in excess of this limit must be paid from matching funds. Salary does not include fringe benefits. CPRIT FY 2018 is from September 1, 2017, through August 31, 2018.

Additionally, adjustments of up to a 3% increase in annual salary are permitted for Years 2 and 3 up to the cap of \$200,000. The salary cap may be revised at CPRIT's discretion.

The Budget section is composed of 4 subtabs that must be completed:

- A. Budget for All Project Personnel:** Provide the name, role, appointment type, percent effort, salary requested, and fringe benefits for all personnel participating on this project.
- B. Detailed Budget for Year 1:** This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project. Provide the amount requested from CPRIT for direct costs in the first year of the project. Direct cost categories include Travel, Equipment, Supplies, Consultant Charges, Contractual (Subaward/Consortium), Research Related, or Other. Applicants will be required to itemize costs.
- C. Budget for Entire Proposed Period of Performance:** This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project. Provide the amount requested from CPRIT for direct costs for all subsequent years. Amounts for *Budget Year 1* will be automatically populated based on the information provided on the previous subtabs; namely, *Budget for All Project Personnel* and *Detailed Budget for Year 1*.
- D. Budget Justification:** Please specify your CPRIT-requested funds and other amounts that will comprise the total budget for the project, including the use of matching funds. Please specify each line item from your CPRIT budget as well as other funds (including matching funds). Provide a compelling justification for the budget for each line item of the entire proposed period of support, including salaries and benefits, supplies, equipment, patient

care costs, animal care costs, and other expenses. **If travel costs will include out-of-state or international travel, make that clear here.** The budget must be aligned with the proposed milestones.

11. AWARD ADMINISTRATION

Texas law requires that CPRIT awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to entities, 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 to 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 termination of the award contract. Forms and instructions will be made available at www.cprit.texas.gov.

Project Revenue Sharing: Recipients should also be aware that the funding award contract will include a revenue-sharing agreement, which can be found at www.cprit.texas.gov and will

require CPRIT to have input on any future patents, agreements, or other financial arrangements related to the products, services, or infrastructure supported by the CPRIT investment. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cpritis.texas.gov.

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

Texas state law requires that prior to disbursement of CPRIT grant funds, the award recipient demonstrate that it has appropriate matching funds. For companies receiving an initial CPRIT award, the company must contribute \$1.00 in matching funds for every \$2.00 awarded by CPRIT. CPRIT reserves the right to seek a higher matching funds contribution (ie, the company will contribute \$1.00 in matching funds for every \$1.00 awarded by CPRIT) from a company that has already received a CPRIT award and is approved for a second award. Matching funds need not be in hand when the application is submitted, nor does the entire amount of matching funds for the full 3 years of the project need to be available at the start of the grant. However, the appropriate amount of matching funds for each specific tranche must be obtained before each tranche of CPRIT funds will be released for use. CPRIT funds must, whenever possible, be spent in Texas. A company's matching funds must be targeted for the CPRIT-funded project but may be spent outside of Texas. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements associated with the requirement to demonstrate available funds.

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 are not in a position to answer questions regarding scientific and product development aspects of applications. **Before contacting the helpdesk, please refer to the *Instructions for Applicants* document, which provides a step-by-step guide on using CARS. In addition, for Frequently Asked Programmatic Questions, please go [here](#) and for Frequently Asked Technical Questions, please go [here](#).**

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

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Programmatic Questions

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

Tel: 512-305-7676

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

14. APPENDIX

Reviewer Evaluation Guidelines for Therapeutics

Unmet medical need: Target Product Profile (TPP)

- Assuming successful accomplishment of development objectives, as reflected in the target product profile, will the intended product significantly address an unmet medical need, either in the diagnosis, treatment (including supportive care), prognosis, or prevention of cancer?
- In terms of incidence/prevalence of the patient populations or subpopulations intended to be targeted by the development of this product, what is the extent of the unmet need?

Target Validation

- If this is a “targeted” agent, to what extent has the target been validated, eg, through knockdown studies and/or pharmacological intervention?
- Has engagement of the target with the agent been demonstrated by biochemical assay? What is the potency of the agent?
- Are there validated downstream pharmacodynamic (PD) markers of target modulation? How extensive is the in vitro evidence for expected PD effects? Has the agent shown biologically significant modulation of the target in vivo, especially in tumor tissue?
- Is the target uniquely or substantially overexpressed by tumor versus normal cells?
- Does the target represent an activating mutation? If so, has binding of the agent to the target and other activating mutations been characterized?
- Has the company’s demonstration of target validation been externally/independently confirmed?
- Are there known mechanisms of resistance to the modulation of this target? If so, has the company proposed possible mitigation/preemptive approaches, such as combination chemotherapy?

Preclinical Characterization: Efficacy Proof of Concept

- Considering in vivo preclinical efficacy characterization and the patient populations or subpopulation(s) representing the initial clinical indication(s) for the drug, what is the clinical relevance of the preclinical models? To elaborate, were in vivo/xenograft studies

carried out in cell line-based models or PDX-derived models? In how many such models have studies been carried out? To what extent do these models reflect standard of care (SOC) for refractory versus drug-naïve tumors? At the time of treatment initiation, were tumors established and measurable, or was treatment initiated shortly after tumor inoculation?

- Was antitumor activity predominantly growth inhibition or tumor regression? Were sustained complete remissions or “cures” achieved in the majority of animals and models? Were comparisons with optimally dosed SOC agents made? Where the agent is intended to be added to the SOC, is there compelling evidence of in vitro/in vivo synergy with SOC agents?
- Have results of preclinical efficacy studies carried out by the company been externally/independently confirmed?
- Overall, considering clinical relevance and study results, how strong is the preclinical efficacy profile of the agent?
- How strongly does the preclinical efficacy profile support the clinical efficacy expectations reflected in the TPP?

Preclinical Characterization: Safety

- How extensive is the in vitro and in vivo preclinical safety characterization carried out so far?
- Has the agent undergone CEREP-type screening for interactions with targets with known safety liabilities, eg, CYP 450, hERG?
- Considering potency and target selectivity, what is the potential both for off-target and pharmacologically on-target deleterious effects?
- Can exposures associated with substantial antitumor efficacy/PD effects be achieved safely in vivo?
- Do preclinical pharmacokinetics (PK) studies indicate potential for clinical safety issues, eg, accumulation, variability, lack of dose proportionality?
- Have PK/PD issues been investigated with alternate dosing schedules in order to optimize the therapeutic index of the agent?
- Are there any issues with the distribution or metabolism of the agent?

- Overall, are results of safety characterization carried out so far such that the agent can be considered reasonably derisked from a safety perspective, or are there red flags? Alternatively, is the extent of preclinical safety characterization carried out so far insufficient to address this question?

Pharmaceutical Properties/Chemistry and Pharmacy

- In the case of agents intended for oral absorption, are there any issues with water solubility? Do formulation studies indicate the feasibility of oral administration?
- Were Lipinski-type criteria applied during the lead optimization process such that the lead compound has demonstrated properties that make it likely to be an orally active drug in humans?
- Are there any issues with the stability of the drug substance or the drug product?
- Is there scope for further lead optimization through structure-activity studies?
- In the case of biologicals, has a high-quality cell line been developed yet? Are yields acceptable? Does the purification process appear reasonable and scalable?
- Have analytical methods been adequately developed?
- Has the (lead) protein been adequately characterized biochemically, immunogenetically, and biophysically? Has absence of aggregate formation been demonstrated in stability studies?

Development Plan/Regulatory Aspects

- Are development proposals scientifically rational and sufficiently comprehensive considering development efforts and results to date?
- Does the applicant demonstrate adequate familiarity with pertaining regulatory guidelines in major jurisdictions (United States/European Union)? Do development proposals reflect specific regulatory authority input; eg, from pre-IND interactions? Alternatively, has regulatory authority interaction been insufficient so far?
- In the case of clinical studies, are patient populations adequately described and consistent with those representing the initial target indication(s)?
- Are efficacy end points appropriate for study designs? Is the sample size statistically adequately justified in terms of the target effect size?

- In the case of potentially pivotal clinical trials, moreover, are the proposed primary efficacy end points and target effect sizes consistent with regulatory precedence?
- Considering target indication prevalence, will the agent qualify for orphan drug designation? If so, does the applicant intend to apply for this?
- Has the applicant demonstrated reasonable diligence in researching patient availability, competitive clinical trial activity, and recruitment issues such that patient enrollment projections can be considered realistic?
- Will the proposed programs advance development of the agent to commercially significant milestone(s), such as might attract either partner interest or the raising of further development funding?
- Are development milestones clear and adequately described? Is the overall project timeline realistic?

Budget

- Are the budget and duration of support appropriate for the program of studies described in the application?
- Is there sufficient clarity in the budget proposal as to how funds will be expended?
- Is there sufficient clarity in the budget proposal as to the spending of funds in Texas?
- Do plans reflect a substantial commitment to Texas? Is it clear that no CPRIT funds will be sent out of Texas to a Corporate HQ?

Competitive Analysis

- Has the applicant carried out a comprehensive and realistic analysis of the likely strengths and weaknesses of the agent compared to clinically relevant competitive products, including potentially competitive agents in development?
- Are the applicant's assumptions regarding the strengths and weaknesses of the agent relative to likely competitors reasonable, considering the preclinical efficacy and safety data on the agent generated so far?

Intellectual Property/Freedom to Operate

- Have IP and freedom-to-operate aspects been addressed in the application?

- Considering patent type (Composition of Matter/Formulation/Manufacturing Process/Use) and duration of patent life, how strong is the IP?
- Are there opportunities for meaningful patent life extension?
- Has the applicant secured appropriate licenses conferring freedom to operate?

Chemistry, Manufacturing and Controls (CMC)

- How advanced is CMC and manufacturing development?
- Are there any sourcing issues?
- Has the applicant demonstrated the likelihood that the product can be manufactured at commercial scale and with a reasonable cost of goods?
- Are there significant technical difficulties within CMC/manufacturing scale up still to be addressed?

Business/Commercial Aspects

- Does the applicant need to raise further funds for the CPRIT matching requirement? In this case, how realistic are the applicant's assumptions about a successful fund-raising campaign? Does the applicant have a track record of success in raising development funding?
- Does the applicant indicate intentions for attracting a development partner or for outright acquisition? Do the development milestones and assumed results of the research program of studies reasonably support such expectations?
- Considering the initial clinical indications for the product, its competitive strengths and weaknesses, and pricing/reimbursement objectives, are market/segment penetration and sales and profitability projections reasonable?
- Has the applicant articulated a coherent plan for using results on clinical end points in pivotal trials as a basis for cost-effectiveness analyses in order to support pricing and reimbursement?

Management Team

- Does the management team have the appropriate level of experience and track record of relevant accomplishments to execute the development and commercialization strategy?

- Does the company have experienced and appropriately accomplished in-house personnel in such key areas as translational research, clinical development, regulatory affairs, and CMC/manufacturing? If not, are there plans to address such deficiencies?
- Has the applicant demonstrated appropriate engagement of outside development expertise through, for example, a scientific advisory board, individual consultantships, and regulatory authority interactions?

Third Party Observer Reports



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

Report No. 2018-03-26_PDP_18.2 Panel 1
Program Name: Product Development Research
Panel Name: Product Development Panel 1 (Cycle 18.2 Panel 1)
Panel Date: March 26, 2018
Report Date: March 27, 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 Product Development Cycle 18.2 Panel 1. The meeting was conducted via teleconference on March 26, 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 Product Development Panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Product Development Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in observing the Product Development Panel. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the teleconference:

- Eight applications were discussed; two were not
- Participants: one panel chair, seven peer reviewers and two advocate reviewers participated on the panel;
- Three CPRIT staff members and two CSRA staff 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 were two COIs identified prior to or during the meeting. Both COIs were excluded from discussions concerning the application for which there was a conflict, respectively. 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 CPRIT Product Development Cycle 18.2 Panel 1 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,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
March 27, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



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

Report No. 2018-03-26_PDP_18.2 Panel 2
Program Name: Product Development Research
Panel Name: Product Development Panel 2 (Cycle 18.2 Panel 2)
Panel Date: March 27, 2018
Report Date: March 27, 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 Product Development Cycle 18.2 Panel 2. The meeting was conducted via teleconference on March 27, 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 Product Development Panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Product Development Panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in observing the Product Development Panel. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the teleconference:

- Eight applications were discussed; two were not;
- Participants: one panel chair, four peer reviewers and two advocate reviewers participated on the panel;
- Three CPRIT staff members and two CSRA staff 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 COI identified prior to or during the meeting. COIs were 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 CPRIT Product Development Cycle 18.2 Panel 2 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,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
March 27, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



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

Report No. 2018-04-23_PDP_18.2 Panel 1 Onsite
Program Name: Product Development Research
Panel Name: Product Development Panel 1 Onsite (Cycle 18.2)
Panel Date: April 23, 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 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 the third-party observer in December 2016.

Introduction

The subject of this report is the CPRIT Product Development Cycle 18.2 Panel 1 Onsite Review meeting. The meeting was chaired by Jack Geltosky and conducted in person on April 23, 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 Product Development panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Product Development panel meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Four (4) applications were discussed;
- Panelists: One (1) panel chair, seven (7) expert reviewers and two (2) advocate reviewers;
- Three (3) CPRIT staff members, five (5) CSRA staff members, and two (2) ICON staff members 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 concerning the merits of the applications;
- Panelists' discussions were limited to the evaluation criteria.

There were two (2) COIs identified prior to and/or during the meeting. The COIs were 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 the COI procedures and objectives. A completed sign-in log was provided following the meeting, to confirm all attendees and COIs.

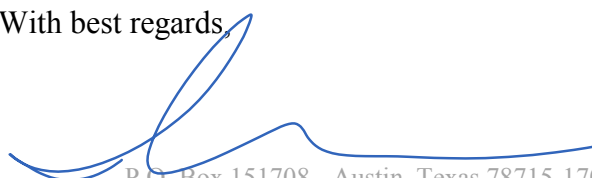
Conclusion

In conclusion; we observed that the activities of CPRIT Product Development Cycle 18.2 Panel 1 Onsite 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,



P.O. Box 151708 - Austin, Texas 78715-1708 - Telephone 512.366.8183 FAX 512.597-4321

info@BFS-SP.com

Mara Ash, CIA, CGAP, CGFM, CMRA

Senior Partner

Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



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

Report No. 2018-04-25_PDP_18.2 Panel 2 Onsite
Program Name: Product Development Research
Panel Name: Product Development Panel 2 Onsite (Cycle 18.2)
Panel Date: April 25, 2018 and April 26, 2018
Report Date: April 27, 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 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 the third-party observer in December 2016.

Introduction

The subject of this report is the CPRIT Product Development Cycle 18.2 Panel 2 Onsite Review meeting. The meeting was chaired by David Shoemaker and conducted in person on April 25, 2018 and April 26, 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 Product Development panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Product Development panel meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Four (4) applications were discussed on Day 1; and Two (2) applications were discussed on Day 2;
- Panelists: One (1) panel chair, six (6) expert reviewers and two (2) advocate reviewers;
- Five (5) CPRIT staff members and four (4) CSRA staff employees participated in the meeting on Day 1; and Four (4) CPRIT staff members; four (4) CSRA staff employees; and two (2) ICON staff employees participated in the meeting on Day 2;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- Panelists' discussions were limited to the evaluation criteria.

There was one (1) COI identified prior to and/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 the COI procedures and 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 CPRIT Product Development Cycle 18.2 Panel 2 meeting 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,



Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
April 27, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Product Development Research Due Diligence Panel

Observation Report

Report No. **2018-07-11-DD_PDR_18.2**

Program Name: **Product Development Research**

Panel Name: **FY 18.2 Product Development Research Due Diligence Panel**

Panel Date: **7/11/2018**

Report Date: **7/17/2018**

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 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 the third-party observer in December 2016.

Introduction

The subject of this report is the FY 18.2 Product Development Research Due Diligence Panel review. Although the meeting did not have a designated chairperson stated, Jack Geltosky performed the duties of the chair except for the application for which he had a conflict and conducted the teleconference on July 11, 2018. During his absence, Kim Lyerly conducted the discussion on the conflicted application as the primary reviewer and chair.

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 FY 18.2 Product Development Research Due Diligence Panel review focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the FY 18.2 Product Development Research Due Diligence Panel meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: 6 applications were discussed and considered in the panel review.
- Panelists: No (0) panel chair, ten (10) expert reviewers and no (0) advocate reviewers;
- Seven (7) ICON employees participated in the meeting;
- Two (2) CPRIT staff members and three (3) CSRA staff employees were present on the phone and participated in the meeting; there were no other CSRA staff employees who assisted with the meeting.
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions concerning the merits of the applications;
- Panelists' discussions were limited to the evaluation criteria.

There were two (2) COIs identified prior to and/or during the meeting. Both COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

A list of all attendees, a sign-in log, and informational materials were provided by CSRA staff to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

Conclusion

In conclusion; we observed that the activities of the FY 18.2 Product Development Research Due Diligence Panel meeting 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 blue ink, appearing to read 'Mara Ash', with a long horizontal flourish extending to the right.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC
July 17, 2018

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Product Development Research 18.2 Applications
(Product Development Cycle 18.2 Awards Announced at August 24, 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 Product Development Research Cycle 18.2 include *Company Relocation Product Development Awards* and *Texas Company Product Development Awards*. 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			
DP180032	Arjun Surya	Curadev Pharma	Jack Geltosky
DP180033	Steven Hayes	Third Coast Therapeutics	Neil Spector
DP180041	Amato Giaccia	Aravive Biologics, Inc.	George Trainor
DP180034	Jonathan Feldmann	Affigen Holdings, LLC	Renzo Canetta

High Level Summary of Due Diligence

High Level Summary of CPRIT Product Development Diligence and Recommendation

The Product Development Review Council (PDRC) recommends that the Program Integration Committee and the Oversight Committee approve the following product development research grant awards;

- Formation Biologics Corporation for \$18,850,000. No contract contingencies were recommended by the PDRC.
- CerRx Inc. \$11,783,916. No contract contingencies were recommended by the PDRC.
- Korysso Therapeutics, Inc. for \$19,953,624. The PDRC recommend contract contingencies for this award.

Formation Biologics Corporation

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

Formation Biologics is developing an innovative pipeline of anti-cancer biotherapeutics called antibody-drug conjugates (ADCs). These next-generation treatments are designed to kill cancer cells while sparing healthy cells. Formation's lead ADC product, AVID100, has been extensively studied and has demonstrated excellent safety and efficacy. It efficiently kills cells from many deadly cancer types including breast, ovarian, head and neck, glioma, pancreatic, gastric and lung. AVID100 is now in early clinical trials in San Antonio exhibiting a good safety profile.

One reviewer summarized the significance and impact as follows: *"Current FDA approved EGFR therapeutic antibodies have impacted the treatment of colorectal and H&N cancers. However, there remains an unmet medical need for more effective anti-EGFR therapy. The success of TDM1, particularly in HER2+ breast cancers that have progressed on prior trastuzumab-based therapy reminds us that an ADC can salvage patients whose disease has progressed on the naked antibody alone. AVID100 is already in a phase I clinical trial. Early tox data looks like the drug is well tolerated with Grade 1 skin tox the predominant adverse events although 2 patients experience Grade 3 transaminitis. The potential impact of an EGFR ADC is significant and broad since a variety of epithelial tumors express EGFR at a 3+ level."*

CerRx Inc

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

CerRx Inc. is developing a new cancer drug with improved effectiveness and fewer side-effects than current treatments. CerRx's lead drug candidate, intravenous (IV) fenretinide, has been shown in human clinical trials to be particularly effective in treating T-cell lymphomas (in some cases completely abolishing the cancers), while having fewer side-effects than competitive therapies.

One reviewer summarized the significance and impact as follows: *"This is a well-seasoned management team and a company that already has 42 issued and pending patents. They have received \$ 8 million in NCI funding. They would be able to leverage their existing partnerships and by using the same sites. PI's, IND, and contracted drug supplier, they could potentially quickly and efficiently accrue a phase I run-in and phase 2A trial."*

Korysso Therapeutics, Inc.

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

Korysso Therapeutics, Inc. is developing novel medicines to prevent the side effects of chemotherapy. Chemotherapy is frontline treatment for millions of cancer patients, but it can cause devastating side effects. Some side effects, like nausea, are managed by medicine. But the most common serious side effect, the burning pain, tingling, and loss of sensation in hands and feet, has no effective treatment. This condition, known as chemotherapy induced peripheral neuropathy (CIPN), is the main reason why patients fail to complete their treatments. Currently, there are no medicines to prevent CIPN.

Chemotherapy may also damage the brain, causing problems with memory and higher cognitive function. This troubling mental fog is called chemotherapy induced cognitive dysfunction (CICD) or 'chemo brain', and in some patients, may cause permanent disability. Again, there are no medicines to treat this condition. Korysso is starting clinical trials with its first drug candidate, KOR-8287. This drug is based on technology invented at MD Anderson Cancer Center.

The PDRC recommendation is subject to certain contingencies related to how this new company will be structured and how the IP will be licensed from MD Anderson to the company. The company indicated is amenable to these changes and is in process of modifying legal documents and contracts to meet CPRIT's requests.

One reviewer summarized the significance and impact as follows: *"CIPN is a common and potentially dose-limiting side effect of neurotoxic chemotherapy agents (e.g., taxane- or platinum-derived compounds). A safe and effective agent that allows for completes dosing of chemotherapeutic agents will be a meaningful addition for oncologist. The patients will appreciate minimizing chemo therapeutic side effects that dramatically impact quality of life. The early data is compelling from safety and initial efficacy which needs to be proven out patient in trials"*

De-Identified Overall Evaluation Scores

Texas Company Product Development Research Awards

Product Development Research Cycle 18.2

Application ID	Final Overall Evaluation Score
DP180040*	2.3
DP180048*	3.1
ha**	3.0
DP180042*	3.6
Hb	4.4
Hc	4.8
Hd	5.3
He	5.3
Hf	5.8
Hg	6.3
Hh	6.5

* Recommended for funding

** The Product Development Review Council is seeking additional information from the applicant following due diligence review. The PDRC has not made a final award recommendation for this application.

Final Overall Evaluation Scores and Rank Order Scores

July 23, 2018

Will Montgomery

Oversight Committee Chair

Cancer Prevention and Research Institute of Texas

Via email to wsmcpruit@gmail.com

Via email to Will Montgomery's assistant, Laura Blevins, lblevins@jw.com

Wayne R. Roberts

Program Integration Committee Chair

Cancer Prevention and Research Institute of Texas

Via email to wroberts@cpruit.texas.gov

Dear Will and Wayne,

On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's Product Development Research 18.2 grant award cycle . The PDRC met on July 11, 2018 and recommends that the Program Integration Committee and the Oversight Committee approve Product Development Research grant awards to the following applicants: Korysso Therapeutics, CerRx, Inc., and Formation Biologics Corporation. The attached table reflects the maximum recommended funding amounts and the overall evaluation scores for the three grant applications.

The PDRC did not make any changes to the goals, timelines, or budgets for the three projects recommended for funding. However, the PDRC's recommendation for funding Korysso Therapeutics is contingent upon the company completing licensing agreements necessary to establish clear ownership of the IP required to move towards a viable commercial product. The company should complete the license agreements prior to executing the CPRIT contract. The PDRC understands that CPRIT has authorized the Chief Product Development Officer to negotiate budgets with all three companies prior to the Program Integration Committee's consideration of the PDRC's recommendations. The PDRC supports this exercise to identify any budget items that may be reduced or eliminated.

Each recommendation reflects 50+ hours of individual review and panel discussion of the applicants' proposals as well as the PDRC's review of the due diligence reports. Our recommendations are consistent with one or more of the priorities set by the Oversight Committee for product development grant award funding. These standards include the potential of these companies to (1) bring important products to market; (2) promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and (3) develop tools and technologies of special relevance to cancer research, treatment and prevention.

I will also note that at its July 11 meeting, the PDRC decided that it needed additional information from two applicants in due diligence review before making final award decisions on DP180034 and DP180055. The PDRC will reconvene and evaluate the additional information before making final award decisions. We anticipate that our award recommendations, if any,

regarding these proposals from the 18.2 cycle will be provided to the Program Integration Committee and Oversight Committee in November 2018.

Sincerely,

/JG/

Jack Geltosky, PhD

Chair, CPRIT Product Development Review Council

Attachment

Product Development Review Council Award Recommendations

FY 2018, Cycle 2

Rank	Application ID	Company Name	Project	Maximum Recommended Budget	Overall Score
1	DP180040	Formation Biologics Corp.	Clinical Evaluation of AVID100, a Highly Potent Antibody-Drug Conjugate, Focusing on Cancer Indications With High Unmet Medical Need	\$18,850,000	2.3
2	DP180048	Korysso Therapeutics, Inc.	Development of KOR-8287 for the Prevention of Chemotherapy-Induced Peripheral Neuropathy and Chemo Brain	\$19,953,624	3.1
3	DP180042	CerRx, Inc.	Combination Drug Therapy for Cutaneous T-Cell Lymphoma	\$11,783,916	3.6



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP180040
Texas Company Product Development Awards

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 *Texas Company Product Development Awards* Request for Applications (RFA). CPRIT received 11 applications for this RFA. This application was assigned to the Product Development Panel 1 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:

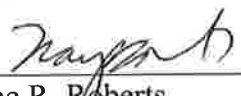
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating 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

I note that the Product Development Review Council (PDRC) is seeking additional information from an applicant in this mechanism following due diligence review. The PDRC has not made a final award recommendation for this application. As a result, the PDRC recommends one application with a lower final overall evaluation score ahead of an application with a more favorable score.

Pursuant to TAC § 702.19(e), I granted the Chief Product Development Officer (CPDO) a waiver from the general prohibition on communication upon a finding that the waiver was in the best interest of the Institute and was not intended to give one applicant advantage over another. The Oversight Committee was notified of the waiver on July 17, 2018, in writing. The waiver allows the CPDO to discuss application budgets with applicants recommended during this review 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).

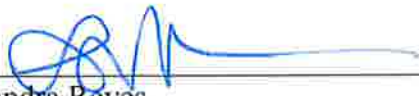
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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

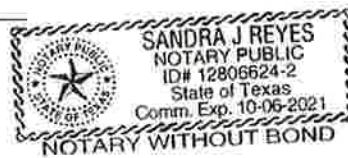


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 02 Aug 2018 08:55 AM

FY:	2018		
CYCLE:	2		
PROGRAM:	Product Development		
MECHANISM:	Texas Company Product Development Research Awards		
APPLICATION ID:	DP180040		
APPLICATION TITLE	Clinical Evaluation of AVID100, a Highly Potent Antibody-Drug Conjugate, Focusing on Cancer Indications With High Unmet Medical Need		
APPLICANT NAME:	Tikhomirov, Iliia		
ORGANIZATION:	Formation Biologics Corp.		
PANEL NAME:	18.2 Product Development Panel-1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA approved by CPDO	30 Nov 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	22 Dec 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	22 Dec 2017	18 May 2018
	CPRIT Application Receipt System (CARS) closed	07 Feb 2018	18 May 2018
	Date application submitted	07 Feb 2018	04 Jul 2018
	Method of submission	CARS	04 Jul 2018
	Within receipt period	YES	04 Jul 2018
	Request for extension to submit application after CARS closed	NA	04 Jul 2018
	Request for extension for late application submission accepted	NA	04 Jul 2018
	Submission of application fee	YES	31 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	NA	04 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	04 Jul 2018
	Assigned to primary reviewers	02 Mar 2018	12 Jul 2018
		22 Feb 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	22 Feb 2018	12 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	20 Feb 2018	12 Jul 2018
	Primary Reviewer 3 COI signed	26 Feb 2018	12 Jul 2018
	Primary Reviewer 4 COI signed	24 Feb 2018	12 Jul 2018
Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	09 Apr 2018	04 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	26 Mar 2018	04 Jul 2018
	Primary Reviewer 3 critique submitted	26 Mar 2018	04 Jul 2018
	Primary Reviewer 4 critique submitted	09 Apr 2018	04 Jul 2018
	COI indicated by non-primary reviewer	NONE	04 Jul 2018
	COI recused from participation	NA	04 Jul 2018
	Screening Teleconference Meeting	26 Mar 2018	19 Jun 2018
	Post-Screening Teleconference score report	26 Mar 2018	19 Jun 2018
	Post review statements signed	09 Apr 2018	19 Jun 2018
	Third Party Observer Report	27 Mar 2018	19 Jun 2018
	Recommended for On-Site Meeting	YES	04 Jul 2018
Peer Review Meeting	COI indicated by non-primary reviewer	NONE	04 Jul 2018
	COI recused from participation	NA	04 Jul 2018
	Peer Review Meeting	23 Apr 2018	12 Jul 2018
	Post review statements signed	23 Apr 2018	12 Jul 2018
	Third Party Observer Report	24 Apr 2018	12 Jul 2018
	Score report delivered to CPDO	03 May 2018	12 Jul 2018
		YES	04 Jul 2018
	Recommended for due diligence and IP review		
		28 Jun 2018	30 Jul 2018
Due Diligence and IP Review	Final due diligence review submitted to PDRC		
	Intellectual Property conflict check	16 May 2018	30 Jul 2018
	Final intellectual property review submitted	27 Jun 2018	30 Jul 2018
Final PDRC Recommendation	COI indicated by PDRC member	NONE	12 Jul 2018
	COI recused from participation	NA	12 Jul 2018
	Due Diligence Evaluation Meeting / PDRC Meeting	11 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	20 Jul 2018
	Recommended for grant award	YES	12 Jul 2018
	PDRC Chair Notification to PIC and OC	25 Jul 2018	01 Aug 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI Indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:		Created Date	Created By
Comment			
No Comment			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP180042
Texas Company Product Development Awards

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 *Texas Company Product Development Awards Request for Applications (RFA)*. CPRIT received 11 applications for this RFA. This application was assigned to the Product Development Panel 1 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

I note that the Product Development Review Council (PDRC) is seeking additional information from an applicant in this mechanism following due diligence review. The PDRC has not made a final award recommendation for this application. As a result, the PDRC recommends one application with a lower final overall evaluation score ahead of an application with a more favorable score.

Pursuant to TAC § 702.19(e), I granted the Chief Product Development Officer (CPDO) a waiver from the general prohibition on communication upon a finding that the waiver was in the best interest of the Institute and was not intended to give one applicant advantage over another. The Oversight Committee was notified of the waiver on July 17, 2018, in writing. The waiver allows the CPDO to discuss application budgets with applicants recommended during this review 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."

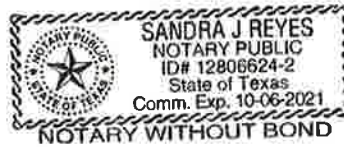


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02 Aug 2018 08:55 AM

FY:	2018		
CYCLE:	2		
PROGRAM:	Product Development		
MECHANISM:	Texas Company Product Development Research Awards		
APPLICATION ID:	DP180042		
APPLICATION TITLE	Combination Drug Therapy for Cutaneous T-Cell Lymphoma		
APPLICANT NAME:	Barnhart, Kerry M		
ORGANIZATION:	CerRx, Inc.		
PANEL NAME:	18.2 Product Development Panel-1		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA approved by CPDO	30 Nov 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	22 Dec 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	22 Dec 2017	18 May 2018
	CPRIT Application Receipt System (CARS) closed	07 Feb 2018	18 May 2018
	Date application submitted	05 Feb 2018	12 Jul 2018
	Method of submission	CARS	12 Jul 2018
	Within receipt period	YES	12 Jul 2018
	Request for extension to submit application after CARS closed	NA	12 Jul 2018
	Request for extension for late application submission accepted	NA	12 Jul 2018
	Submission of application fee	YES	31 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	23 Feb 2018	12 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	12 Jul 2018
	Assigned to primary reviewers	02 Mar 2018	12 Jul 2018
		22 Feb 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	26 Feb 2018	12 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	20 Feb 2018	12 Jul 2018
	Primary Reviewer 3 COI signed	22 Feb 2018	12 Jul 2018
	Primary Reviewer 4 COI signed	22 Feb 2018	12 Jul 2018
Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	26 Mar 2018	12 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	09 Apr 2018	12 Jul 2018
	Primary Reviewer 3 critique submitted	09 Apr 2018	12 Jul 2018
	Primary Reviewer 4 critique submitted	09 Apr 2018	12 Jul 2018
	COI indicated by non-primary reviewer	NONE	12 Jul 2018
	COI recused from participation	NA	12 Jul 2018
	Screening Teleconference Meeting	26 Mar 2018	19 Jun 2018
	Post-Screening Teleconference score report	26 Mar 2018	19 Jun 2018
	Post review statements signed	09 Apr 2018	19 Jun 2018
	Third Party Observer Report	27 Mar 2018	19 Jun 2018
	Recommended for On-Site Meeting	YES	12 Jul 2018
Peer Review Meeting	COI indicated by non-primary reviewer	NONE	12 Jul 2018
	COI recused from participation	NA	12 Jul 2018
	Peer Review Meeting	23 Apr 2018	12 Jul 2018
	Post review statements signed	23 Apr 2018	12 Jul 2018
	Third Party Observer Report	24 Apr 2018	12 Jul 2018
	Score report delivered to CPDO	03 May 2018	12 Jul 2018
		YES	12 Jul 2018
	Recommended for due diligence and IP review		
		28 Jun 2018	30 Jul 2018
Due Diligence and IP Review	Final due diligence review submitted to PDRC		
	Intellectual Property conflict check	15 May 2018	30 Jul 2018
	Final intellectual property review submitted	26 Jun 2018	30 Jul 2018
Final PDRC Recommendation	COI indicated by PDRC member	NONE	12 Jul 2018
	COI recused from participation	NA	12 Jul 2018
	Due Diligence Evaluation Meeting / PDRC Meeting	11 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	20 Jul 2018
	Recommended for grant award	YES	12 Jul 2018
	PDRC Chair Notification to PIC and OC	25 Jul 2018	01 Aug 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP180048
Texas Company Product Development Awards

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 *Texas Company Product Development Awards Request for Applications (RFA)*. CPRIT received 11 applications for this RFA. This application was assigned to the Product Development Panel 2 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


I note that the Product Development Review Council (PDRC) is seeking additional information from an applicant in this mechanism following due diligence review. The PDRC has not made a final award recommendation for this application. As a result, the PDRC recommends one application with a lower final overall evaluation score ahead of an application with a more favorable score.

Pursuant to TAC § 702.19(e), I granted the Chief Product Development Officer (CPDO) a waiver from the general prohibition on communication upon a finding that the waiver was in the best interest of the Institute and was not intended to give one applicant advantage over another. The Oversight Committee was notified of the waiver on July 17, 2018, in writing. The waiver allows the CPDO to discuss application budgets with applicants recommended during this review 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."



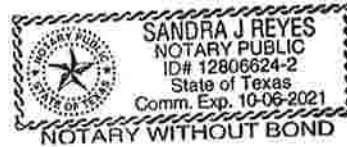
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of August, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02 Aug 2018 08:55 AM

FY:	2018		
CYCLE:	2		
PROGRAM:	Product Development		
MECHANISM:	Texas Company Product Development Research Awards		
APPLICATION ID:	DP180048		
APPLICATION TITLE	Development of KOR-8287 for the Prevention of Chemotherapy-Induced Peripheral Neuropathy and Chemo Brain		
APPLICANT NAME:	Handel, Libby		
ORGANIZATION:	Korysso Therapeutics, Inc.		
PANEL NAME:	18.2 Product Development Panel-2		
Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA approved by CPDO	30 Nov 2017	16 Jul 2018
	RFA published in Texas.gov eGrants	22 Dec 2017	16 Jul 2018
	CPRIT Application Receipt System (CARS) opened	22 Dec 2017	18 May 2018
		07 Feb 2018	18 May 2018
	CPRIT Application Receipt System (CARS) closed		
	Date application submitted	07 Feb 2018	12 Jul 2018
	Method of submission	CARS	12 Jul 2018
	Within receipt period	YES	12 Jul 2018
	Request for extension to submit application after CARS closed	NA	12 Jul 2018
	Request for extension for late application submission accepted	NA	12 Jul 2018
	Submission of application fee	YES	31 Jul 2018
Receipt, Referral, and Assignment	Administrative review notification	23 Feb 2018	12 Jul 2018
	Donation(s) made to CPRIT / foundation	NO	12 Jul 2018
	Assigned to primary reviewers	09 Mar 2018	12 Jul 2018
		22 Feb 2018	04 Jul 2018
	Applicant notified of review panel assignment		
	Primary Reviewer 1 COI signed	20 Feb 2018	12 Jul 2018
	Primary (Advocate) Reviewer 2 COI signed	20 Feb 2018	12 Jul 2018
	Primary Reviewer 3 COI signed	26 Feb 2018	12 Jul 2018
	Primary Reviewer 4 COI signed	22 Feb 2018	12 Jul 2018
Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	09 Mar 2018	12 Jul 2018
	Primary (Advocate) Reviewer 2 critique submitted	27 Mar 2018	12 Jul 2018
	Primary Reviewer 3 critique submitted	27 Mar 2018	12 Jul 2018
	Primary Reviewer 4 critique submitted	09 Mar 2018	12 Jul 2018
	COI indicated by non-primary reviewer	NONE	12 Jul 2018
	COI recused from participation	NA	12 Jul 2018
	Screening Teleconference Meeting	27 Mar 2018	04 Jul 2018
	Post-Screening Teleconference score report	27 Mar 2018	04 Jul 2018
	Post review statements signed	09 Apr 2018	04 Jul 2018
	Third Party Observer Report	27 Mar 2018	04 Jul 2018
	Recommended for On-Site Meeting	YES	12 Jul 2018
Peer Review Meeting	COI indicated by non-primary reviewer	NONE	12 Jul 2018
	COI recused from participation	NA	12 Jul 2018
	Peer Review Meeting	25 Apr 2018	12 Jul 2018
	Peer Review Meeting end date	26 Apr 2018	12 Jul 2018
	Post review statements signed	01 May 2018	18 Jul 2018
	Third Party Observer Report	27 Apr 2018	18 Jul 2018
	Score report delivered to CPDO	03 May 2018	18 Jul 2018
		YES	12 Jul 2018
	Recommended for due diligence and IP review		
		28 Jun 2018	30 Jul 2018
Due Diligence and IP Review	Final due diligence review submitted to PDRC		
	Intellectual Property conflict check	16 May 2018	30 Jul 2018
	Final Intellectual property review submitted	27 Jun 2018	30 Jul 2018
Final PDRC Recommendation	COI indicated by PDRC member	NONE	12 Jul 2018
	COI recused from participation	NA	12 Jul 2018
	Due Diligence Evaluation Meeting / PDRC Meeting	11 Jul 2018	18 Jul 2018
	Third Party Observer Report	17 Jul 2018	20 Jul 2018
	Recommended for grant award	YES	12 Jul 2018
	PDRC Chair Notification to PIC and OC	25 Jul 2018	01 Aug 2018
PIC Review	COI indicated by PIC member	NONE	31 Jul 2018
	COI recused from participation	NA	31 Jul 2018
	PIC Review Meeting	31 Jul 2018	31 Jul 2018
	Recommended for grant award	YES	31 Jul 2018
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
		NA	
	COI indicated by Oversight Committee member		
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	
Comments:			
Comment		Created Date	Created By
No Comment			

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

August 3, 2018

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 64 grant applications totaling \$177,066,228. The PIC recommendations for 51 academic research grant awards, 10 prevention awards, and 3 product development research awards are attached.

Dr. Jim Willson, CPRIT's Chief Scientific Officer, Dr. Becky Garcia, CPRIT's Chief Prevention Officer, and Mr. Michael Lang, CPRIT's Chief Product Development Officer, have prepared overviews of the academic research, prevention, and product development research 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 August 15, 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, Dr. Garcia, and Mr. Lang 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 51 academic research grant proposals totaling \$112,156,309. The recommended grant proposals were submitted in response to six grant mechanisms: Core Facility Support Awards; Multi-Investigator Research Awards; High-Impact/High-Risk Research Awards; Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Established Investigators; and Recruitment of Rising Stars. The SRC provided the prioritized list of recommendations for the Recruitment awards to the presiding officers on July 24, 2018.

At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of each of the 10 Core Facility Support Award recommendations by 8%. The recommendation was approved unanimously by PIC members; therefore, the awards are recommended to the Oversight Committee with a lower budget. The initial calculation of the 8% budget reduction resulted in some dollar amounts that were not whole amounts. When this occurred, the recommended budget was rounded to the nearest whole dollar.

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;
- expedite innovation and communication, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or Technology research capabilities; and
- address the goals of the Texas Cancer Plan.

Academic Research Grant Award Recommendations

The recommended budget amounts reflect changes, where applicable, by the Scientific Review Council and Program Integration Committee.

Rank	ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Recommended Budget
1	RP180684	CFSA	1.1	Integrated Single Cell Genomics Core Facility	Navin	The University of Texas M. D. Anderson Cancer Center	\$4,897,577
2	RP180778	MIRA	1.3	Metabolic Enablers of Melanoma Progression	Morrison	The University of Texas Southwestern Medical Center	\$5,998,327
3	RP180785	CFSA	1.5	CARMIT (Children's Access to Regenerative Medicine in Texas)	Gee	Baylor College of Medicine	\$5,306,052
4	RP180804	CFSA	1.9	Protein Array and Analysis Core (PAAC)	Bedford	The University of Texas M. D. Anderson Cancer Center	\$2,594,107
5	RP180755	HIHRRRA	1.9	The Early-Life Exposome and Risk of Pediatric Acute Lymphoblastic Leukemia	Lupo	Baylor College of Medicine	\$199,140
6	RP180770	CFSA	1.9	Preclinical Radiation Core Facility (PCRCF)	Story	The University of Texas Southwestern Medical Center	\$3,723,260
7	RP180700	HIHRRRA	2.0	Mechanisms of Drug Resistance in Lung Cancer	Alto	The University of Texas Southwestern Medical Center	\$200,000
8	RP180835	HIHRRRA	2.0	Targeted Proteolysis of Glucocorticoid Receptor as a Therapeutic Strategy in Antiandrogen Treatment-Resistant Prostate Cancer	Lissanu Deribe	The University of Texas M. D. Anderson Cancer Center	\$199,999
9	RP180805	CFSA	2.0	Pediatric Cancer Data Core	Xie	The University of Texas Southwestern Medical Center	\$5,394,842 ***
10	RP180748	CFSA	2.1	GCC Center for Comprehensive PK/PD and Formulation	Liang	Texas Southern University	\$5,106,420
11	RP180694	HIHRRRA	2.2	TREX2 Inhibitors to Treat BCR-ABL- Cancers	Hasty	The University of Texas Health Science Center at San Antonio	\$200,000
12	RP180769	HIHRRRA	2.2	A Novel Anti-BCR-ABL Approach for Leukemia Therapy	Rao	The University of Texas Health Science Center at San Antonio	\$200,000

PIC Recommendation
FY2018 (August)

Rank	ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Recommended Budget
13	RP180813	MIRA	2.2	BRCA Answers From Cancer Interactome Structures (BACIS)	Tainer	The University of Texas M. D. Anderson Cancer Center	\$5,969,140
14	RP180672	CFSA	2.2	Advanced Multiparameter Cytometry and Cell Sorting Core	Beeton	Baylor College of Medicine	\$5,177,994
15	RP180712	MIRA	2.2	Rational Combination Treatment Options to Reverse Resistance in Hormone Receptor–Positive Breast Cancer Refractory to Standard Therapy	Hunt	The University of Texas M. D. Anderson Cancer Center	\$5,992,274
16	RP180819	CFSA	2.2	Pediatric Solid Tumors Comprehensive Data Resource Core	Gorlick	The University of Texas M. D. Anderson Cancer Center	\$5,005,246 ***
17	RP180716	HIHRRRA	2.2	Noninvasive Diagnostic Imaging of Brain Cancer Using Hyperpolarized ¹³ C-Labeled L-Tryptophan and L-Methionine	Lumata	The University of Texas at Dallas	\$200,000
18	RP180670	CFSA	2.3	Small Animal Imaging Core Facility for Cancer Research at UT Dallas	Hoyt	The University of Texas at Dallas	\$3,580,949
19	RP180880	HIHRRRA	2.3	Targeting BRAF- and RAS-Mutant Cancers by Small Molecule–Induced Proteolysis of ERK1/2	Dalby	The University of Texas at Austin	\$200,000
20	RP180734	CFSA	2.3	UTHealth Cancer Genomics Core (UTHealth CGC)	Zhao	The University of Texas Health Science Center at Houston	\$4,429,126
21	RP180674	MIRA	2.4	Predictive Biomarkers and Novel Therapies for High-Risk Pediatric Liver Cancers	Lopez-Terrada	Baylor College of Medicine	\$5,982,208
22	RP180848	HIHRRRA	2.5	Autoimmune-Prone Mouse Models for Studying Immune-Related Adverse Events Associated With Cancer Immunotherapy	Yan	The University of Texas Southwestern Medical Center	\$200,000
23	RP180826	HIHRRRA	2.5	Integrative Analysis of Structural Variants in Cancer Genomes	Xu	The University of Texas Southwestern Medical Center	\$200,000

PIC Recommendation
FY2018 (August)

Rank	ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Recommended Budget
24	RP180690	HIHRRA	2.6	Engineering Cancer Immunotherapeutics for Enhanced Activity in the Low pH Tumor Microenvironment	Maynard	The University of Texas at Austin	\$200,000
25	RP180812	HIHRRA	2.6	Fluorescently Labeled Somatostatin Analogs for Image-Guided Surgery in Neuroendocrine Tumors	Azhdarinia	The University of Texas Health Science Center at Houston	\$200,000
26	RP180736	HIHRRA	2.7	Nanoparticle-Mediated Hyperthermia to Improve Chemotherapeutic Efficacy in HIPEC	Holder	The Methodist Hospital Research Institute	\$199,998
27	RP180751	HIHRRA	2.8	Methods for Assessment and Quantification of Imperfect dsDNA Break Repair	Otwinowski	The University of Texas Southwestern Medical Center	\$200,000
28	RP180801	HIHRRA	2.8	Targeting the Menopause Transition to Decrease the Risk for Obesity-Associated Postmenopausal Breast Cancer	Giles	Texas A&M University	\$200,000
29	RP180725	MIRA	2.8	Targeting Tumor Tissues Increases DNA Sensing to Bridge Innate and Adaptive Immunity	Fu	The University of Texas Southwestern Medical Center	\$6,000,000
30	RP180863	HIHRRA	2.9	Chemoprevention of Colon Cancer Progression in FAP Children	Hu	University of Houston	\$200,000
31	RP180771	HIHRRA	2.9	Small Molecule for Selective Targeting of Epithelial-Mesenchymal Transition-Induced Cancer Stem Cells	Taube	Baylor University	\$199,951
32	RP180810	HIHRRA	2.9	Controlling the Activity of Anticancer T Cells by Inducing Replicative Senescence	Mamonkin	Baylor College of Medicine	\$200,000
33	RP180875	HIHRRA	2.9	Cyanine-Conjugated Kinase Inhibitors (Cy-KIs) as Potential Glioblastoma Theranostics	Sitcheran	Texas A&M University System Health Science Center	\$200,000
34	RP180882	HIHRRA	3.0	Developing a Clinically Relevant Drug Testing Platform	Yun	The Methodist Hospital Research Institute	\$199,700

PIC Recommendation
FY2018 (August)

Rank	ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Recommended Budget
35	RP180846	HIHRRA	3.0	Molecular Opening of the Blood-Brain Barrier by Molecular Hyperthermia	Qin	The University of Texas at Dallas	\$200,000
36	RP180827	HIHRRA	3.1	Polymer Nanodiscs: Novel Lipoprotein-Mimicking Nanocarriers With High Stability and Long Circulation Time for Enhanced Anticancer Drug Delivery	Liang	Texas Tech University Health Sciences Center	\$200,000
37	RP180844	HIHRRA	3.2	Regulating Androgen Receptor as a Corepressor by Neurofibromin (NF1)	Chang	Baylor College of Medicine	\$200,000
38	RP180873	HIHRRA	3.2	Molecular Targeted Magnetic Resonance Reporter for Cancer Detection	Carson	Rice University	\$200,000
39	RP180862	HIHRRA	3.3	Microfluidic Cancer Assay for Liquid Biopsies and Early Detection	Pappas	Texas Tech University	\$199,999
40	RP180851	HIHRRA	3.4	Targeting MYCN-Driven Metabolism in Neuroblastoma	Barbieri	Baylor College of Medicine	\$200,000

CFSA: Core Facility Support Awards

HIHRRA: High-Impact/High Risk Research Awards

MIRA: Multi-Investigator Research Awards

***RP1800805 and RP180819 - The Scientific Review Council notes that Core Facility Support Award applications from UT Southwestern (RP180805) and MD Anderson (RP180819) propose separate comprehensive data cores to support pediatric cancer research in Texas. The goals of the individual applications complement each other and together represent a unique opportunity to

build a statewide resource that will accelerate pediatric cancer research in Texas. To realize the full potential of the CPRIT investment in these cores, the Council recommends that prior to finalizing a funding plan for each core that the PIs and their respective institutions develop a plan that will maximize opportunities for the two cores to work together and to incorporate that plan into their core's goals and budget. (See letter from Scientific Review Council Chairman)

Academic Research Recruitment Grant Award Recommendations

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR180061	Chao Cheng, Ph.D.	RRS	Baylor College of Medicine	\$4,000,000	1.0
2	RR180066	Xuebing Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.2
3	RR180060	Yejing Ge, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.2
4	RR180072	Tao Wu, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.4
5	RR180032	Peng (George) Wang, Ph.D.	REI	Baylor College of Medicine	\$6,000,000	1.5
6	RR180051	Glen P. Liszczak, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
7	RR180050	Peter Ly, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.8
8	RR180056	Anke Henning, Ph.D.	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.0
9	RR180067	Fuguo Jiang, Ph.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	2.0
10	RR180042	Can Cenik, Ph.D.	RFTFM	The University of Texas at Austin	\$2,000,000	2.0
11	RR180071	Sung-Man (Kenneth) Chen, M.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.4

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members

Prevention Award Recommendations –

The PIC unanimously recommends approval of 10 prevention grant proposals totaling \$14,322,379. The recommended grant proposals were submitted in response to the following mechanisms: Evidence Based Cancer Prevention Services; Tobacco Control and Lung Cancer Screening; and Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations. The Prevention Review Council (PRC) provided its recommendation to the presiding officers on July 24, 2018.

Three of the recommended awards from the mechanism Evidence-Based Cancer Prevention Services are from cycle 18.1 At their meeting on January 18, 2018, the PRC took no action on the three applications in response to this RFA. The PRC considered these applications at their meeting on July 6, 2018, and voted to recommend the applications, which were reviewed and recommended by the PIC at their meeting on July 31, 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 prevention proposals met the following CPRIT funding priorities:

- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional (the PIC chose this factor for Established Company Awards);
- 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 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 impact to this state;
 - This factor only applies to the following mechanisms: Tobacco Control and Lung Cancer Screening; Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
- address the goals of the Texas Cancer Plan.

Prevention Grant Award Recommendations

Application ID	Mech.	Application Title	PD	Organization	Score	Rank Order	recommended budget
PP180080	EBP	HPV Vaccination in a Pediatric Minority-Based Community Oncology Network	Grimes, Allison	The University of Texas Health Science Center at San Antonio	1.6	1	\$1,010,690
PP180091	EPS	STOP-HCC Expansion Grant	Jain, Mamta	The University of Texas Southwestern Medical Center	1.9	2	\$2,592,731
PP180026	EBP	Pasos Para Prevenir Cancer: Obesity-related Cancer Prevention in El Paso	Salinas, Jennifer J	Texas Tech University Health Sciences Center at El Paso	2.0	3	\$1,244,512
PP180086	EBP	Liver Cancer Prevention among those with Experiences of Homelessness	Schick, Vanessa R	The University of Texas Health Science Center at Houston	2.3	4	\$1,159,751
PP180082	EBP	West Texas HCV Screening and Linkage to Care Program	Gallegos, Patricia	Centro San Vicente	2.4	5	\$1,349,700
PP180018	EBP	BSPAN4: Optimizing Spatial Access to High-Quality Breast Screening & Patient Navigation for Rural Underserved Women across North Texas	Lee, Simon Craddock	The University of Texas Southwestern Medical Center	2.5	6	\$1,349,700
PP180077	TCL	Increasing Access to Smoking Cessation and Smoke Free Home Services for Low-Income Pregnant Women in Northeast Texas	Blalock, Janice A	The University of Texas M. D. Anderson Cancer Center	2.6	7	\$1,346,919
PP180092	TCL	Tobacco Services for Primary Care & Cancer Patients at UT Health San Antonio	Ramirez, Amelie G	The University of Texas Health Science Center at San Antonio	2.6	8	\$1,324,982
PP180012	EBP	Vaccinating medically underserved women against HPV	Berenson, Abbey B	The University of Texas Medical Branch at Galveston	2.7	9	\$1,344,926
PP180089	EPS	Adolescent Vaccination Program (AVP): Expanding a Successful Clinic-based Multicomponent HPV Vaccination Program to the San Antonio Area	Vernon, Sally W	The University of Texas Health Science Center at Houston	2.8	10	\$1,598,468

EPB: Evidence-Based Cancer Prevention Services

TCL: Tobacco Control and Lung Cancer Screening

EPS: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

Product Development Research Award Recommendations –

The PIC unanimously recommends approval of three product development research grant proposals totaling \$50,587,450. The recommended grant proposals were submitted in response to the following mechanism: Texas Company Product Development Awards. The Product Development Review Council (PDRC) provided its recommendation to the presiding officers on July 25, 2018.

The Product Development Review Council (PDRC) is seeking additional information from an applicant in this mechanism following due diligence review. The PDRC has not made a final award recommendation for this application. As a result, the PDRC recommends one application with a lower final overall evaluation score ahead of an application with a more favorable score.

Pursuant to TAC § 702.19(e), I granted the Chief Product Development Officer (CPDO) a waiver from the general prohibition on communication upon a finding that the waiver was in the best interest of the Institute and was not intended to give one applicant advantage over another. The Oversight Committee was notified of the waiver on July 17, 2018, in writing. The waiver allows the CPDO to discuss application budgets with applicants recommended during this review cycle.

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 product development 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;
- expedite innovation and communication, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or Technology research capabilities; and
- address the goals of the Texas Cancer Plan.

Product Development Research Grant Award Recommendations

Rank	Application ID	Company Name	Project	Maximum Recommended Budget	Overall Score
1	DP180040	Formation Biologics Corp	Clinical Evaluation of AVID100, a Highly Potent Antibody-Drug Conjugate, Focusing on Cancer Indications With High Unmet Medical Need	\$18,850,000	2.3
2	DP180048	Korysso Therapeutics, Inc.	Development of KOR-8287 for the Prevention of Chemotherapy-Induced Peripheral Neuropathy and Chemo Brain	\$19,953,624	3.1
3	DP180042	CerRx, Inc.	Combination Drug Therapy for Cutaneous T-Cell Lymphoma	\$11,783,916	3.6



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT: COMPLIANCE CERTIFICATION – AUGUST 2018 AWARDS
DATE: AUGUST 1, 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 Rising Stars
- Recruitment of First-Time, Tenure-Track Faculty Members
- Recruitment of Established Investigators
- High Impact/High Risk Research Awards
- Core Facility Support Awards
- Multi-Investigator Research Awards
- Texas Company Product Development Awards
- Tobacco Control and Lung Cancer Screening
- Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
- Evidence-Based Cancer Prevention Services

I have conferred with staff at CPRIT and CSRA, International (CSRA), CPRIT's contracted third-party grants administrator, and Business and Financial Management Solutions (BFS), CPRIT's contracted third-party observer, regarding the academic research, product development 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 note that the following mechanism received applications; however, none were recommended by the Review Councils or considered by the PIC: Company Relocation Product Development Awards and the Dissemination of CPRIT-

Funded Cancer Control Interventions. I certify the academic research, product development research, and prevention award recommendations for the Oversight Committee's consideration.

One of the above mechanisms, Evidence-Based Cancer Prevention Services, consists of three awards that were discussed at the Prevention Review Council (PRC) in Cycle 18.1 but no action was taken by the PRC at that time. These three awards have now been recommended. I certified this mechanism for the February 21, 2018, meeting; therefore, I will not repeat the certification here but instead will make available copies of those previous certifications.

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 18.10, 18.11, and 18.12, five applications were received for the Recruitment of Established Investigators RFA, three applications were received in response to the Recruitment of Rising Stars RFA, and 15 applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA. Two recruitment applications were administratively withdrawn prior to the Scientific Review Council (SRC) and three were withdrawn by the applicant after the SRC meeting.

In response to the academic, non-recruitment RFAs for Cycle 18.2, CPRIT received 203 applications. Four non-recruitment applications were administratively withdrawn prior to Peer Review. Of the remaining 199 non-recruitment applications, 75 were discussed during the on-site peer review meetings. Texas Administrative Code § 703.6(c)(4) allows a panel chairperson to determine which grant applications are discussed when the peer review panel meets, if there is insufficient time to discuss all applications.

All academic research RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. No applicant requested an extension to submit an application after the deadline in Cycle 18.2.

Product Development:

For Cycle 18.2, 11 applications were received for the Texas Company Product Development Awards RFA, and nine applications were received for the Company Relocation Product Development Awards RFA.

All product development research RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. One Product Development applicant requested an extension to submit an application after the deadline. The program officer determined that there was good cause and the deadline was extended.

Prevention:

For Cycle 18.2, nine applications were received for the Tobacco Control and Lung Cancer Screening RFA, nine applications were received for the Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations RFA, and 13 applications were received for the Evidence-Based Cancer Prevention Services RFA. For Cycle 18.4, one application was received for the Dissemination of CPRIT-Funded Cancer Control Interventions RFA.

All prevention RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. Three Prevention applicants requested an extension to submit an application after the deadline. The program officer determined that there was good cause and the deadline was extended for all three requests.

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 are assigned to the Scientific Review Council members for peer 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:

A total of six applications (recruitment and non-recruitment) were administratively withdrawn prior to Peer Review. In addition, three recruitment applications were withdrawn by the applicant after the Scientific Review Committee (SRC) meeting but prior to the Program Integration Committee (PIC) meeting.

Product Development:

No applications were administratively withdrawn prior to Peer Review.

Prevention:

No applications were administratively withdrawn prior to Peer Review.

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 18.10, 18.11, and 18.12, no conflicts of interest were declared by the SRC.

I reviewed and confirmed that the post review conflict of interest statements were signed by the seven SRC members that attended the Recruitment Review Panel meeting on May 17, 2018, the six SRC members that attended the Recruitment Review Panel meeting on June 21, 2018, and the six SRC members that attended the Recruitment Review Panel meeting on July 12, 2018.

Academic Research applications (non-recruitment) are reviewed by peer review panels and recommended to the Scientific Review Council. As documented by CSRA, reviewers with conflicts of interest did not participate in review of those applications. I reviewed supporting documentation, such as conflict of interest statements (COIs), third-party observer reports, and sign out sheets. All

declared COI's left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.

Product Development:

Product Development Research awards go through a peer review teleconference screening call to determine which applications will be invited to in-person review. Those applicants that attend in-person review are once again evaluated by peer reviewers. Applicants recommended after in-person review must then go through due diligence, which is conducted by outside contractors and outside intellectual property counsel. The Product Development Review Council (PDRC) recommends awards after due diligence to the PIC. I have verified from CSRA documentation and the third-party observer reports that those reviewers with conflicts did not participate in review of applications for which they indicated a conflict of interest. All declared COI's left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.

I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each panel as well as the six PDRC members and four primary reviewers that attended the Review Council meeting on July 11, 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. All other Prevention applications are reviewed by peer review panels and then sent to the Prevention Review Council (PRC).

I reviewed the supporting documentation, including sign-out sheets, third-party observer reports, and post-review peer reviewer statements. As documented by CSRA and verified by third-party observer reports, reviewers with conflicts of interest did not participate in review of those applications. All declared COI's left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.

I reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for Prevention Panel 1 on May 22-23, 2018 and Prevention Panel 2 on May 24-25, 2018, and the Dissemination of CPRIT-Funded Cancer Control Interventions Panel on July 20, 2018, as well as the three PRC members that attended the PRC meeting on July 6, 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.

To the extent that any Review Council member identified a conflict of interest, I reviewed documentation confirming that the review council member did not participate in the discussion or vote on the application(s).

I also 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, Product Development 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:

I note that some applications in the High-Impact/High-Risk Research Award mechanism that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. Each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding.

No individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1 for example, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

Product Development:

For Cycle 18.2, six applications went through due diligence. The Product Development Review Council (PDRC) recommended three of those six applications to the Program Integration Committee (PIC). I note that pursuant to § 702.19(e), Wayne Roberts, Chief Executive Officer, granted Michael Lang, Chief Product Development Officer, a waiver from the general prohibition against communicating with grant applicants. This waiver is applicable to three product development applicants, which were recommended by the Product Development Review Council to the Program Integration Committee. The waiver allowed Mr. Lang to negotiate proposed grant budgets with the

three grant applicants and discuss intellectual property contingent requirements with one of the three applicants. Since the PDRC recommended the three applications for grant awards, the appearance of more favorable treatment of these applications compared to other applications not recommended for grants in this cycle is not an issue.

I note that the PDRC is seeking additional information from an applicant in the Texas Company Product Development mechanism following due diligence review. The PDRC has not made a final award recommendation for this application. As a result, the PDRC recommends one application with a lower final overall evaluation score ahead of an application with a more favorable score.

Prevention:

At their meeting on January 18, 2018, the Prevention Review Council (PRC) took no action on three applications in response to the Evidence-Based Cancer Prevention Services (cycle 18.1) RFA. The PRC considered these applications at their meeting on July 6, 2018, and voted to recommend the applications. As allowed in 25 T.A.C. § 703.6(d)(1), the PRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

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 July 31, 2018, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered 64 applications. All 64 applications were recommended to move forward to the Oversight Committee. Of the 64 applications, the PIC approved an 8% reduction in budget recommended by the Chief Scientific Officer for each of the 10 recommended Core Facility Support Award applications. A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.