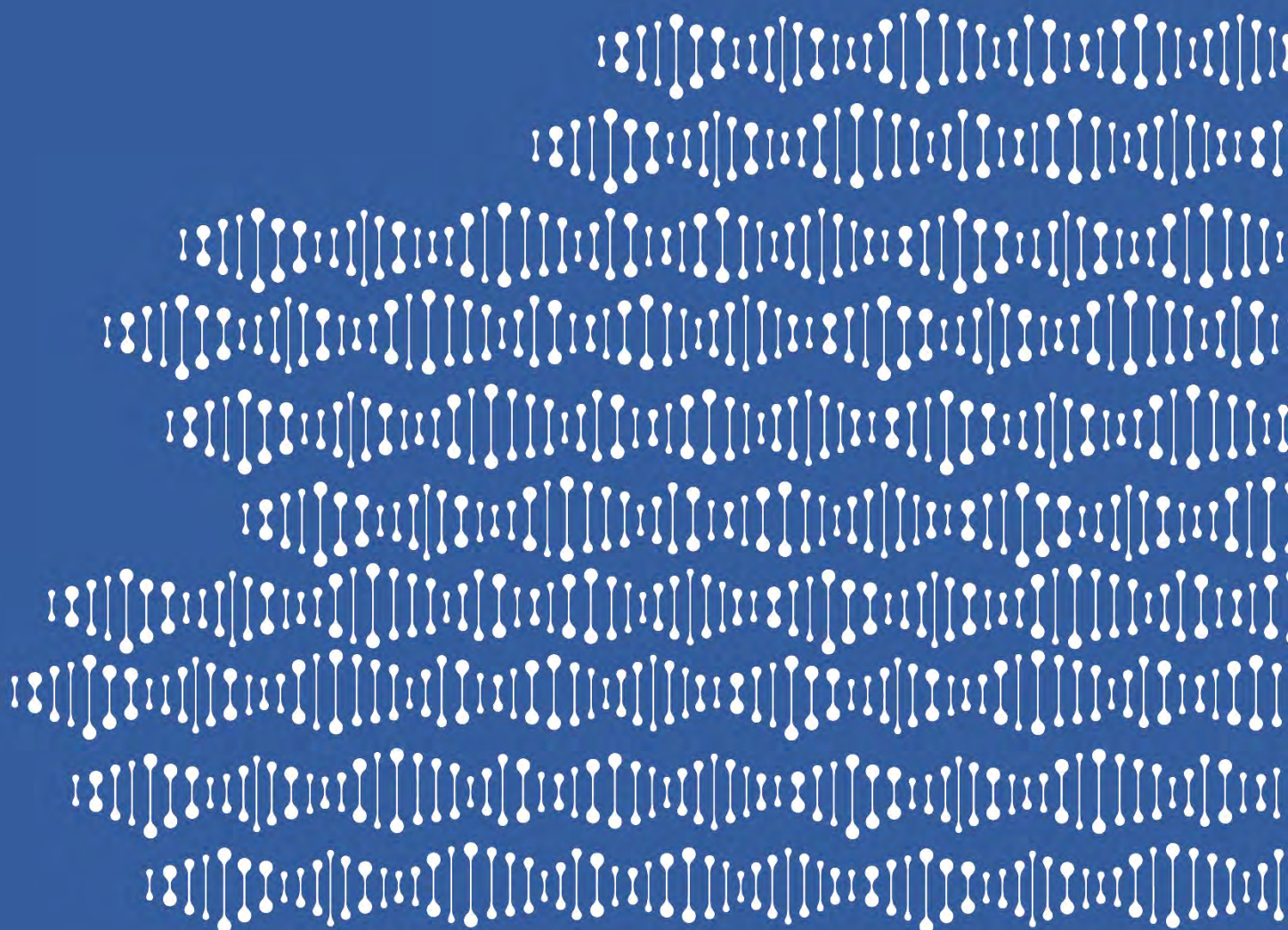




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

February 21, 2018



*Information in this packet is confidential until announced at
the February 21, 2018 Oversight Committee meeting.*



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE
FROM: JAMES WILLSON, MD, CHIEF SCIENTIFIC OFFICER
SUBJECT: ACADEMIC RESEARCH FY 2018 REVIEW CYCLE 1 AWARD
RECOMMENDATIONS; AND RECRUITMENT AWARD
RECOMMENDATIONS FY 2018 18.3, 18.4 AND 18.5.
DATE: FEBRUARY 21, 2018

The CPRIT Program Integration Committee (PIC) has completed its review and recommends funding **49** awards totaling **\$60,195,197**. These include 44 Individual Research Awards (IRA), encompassing targeted and non-targeted mechanisms, totaling \$46,195,197; and five Recruitment Recommendations for the FY 2018 second quarter (18.3, 18.4 and 18.5). Please note the Scientific Review Council recommended 50 awards; however, grant application RP180261(a non-targeted IRA) was withdrawn by applicant post SRC recommendation and is not included in award counts or funding amounts herein.

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

Table 1:

Grant Mechanism	PIC Recommendations	
	Awards	Funding
Individual Investigator Research Awards	26	\$23,147,620
Individual Investigator Research Awards for Cancer in Children and Adolescents	9	\$10,095,112
Individual Investigator Research Awards for Computational Biology	1	\$898,997
Individual Investigator Research Awards for Clinical Translation	5	\$9,456,989
Individual Investigator Research Awards for Prevention and Early Detection	3	\$2,596,479
Recruitment of Rising Stars	2	\$8,000,000
Recruitment of First-Time, Tenure Track Faculty Members	3	\$6,000,000
Total	49	\$60,195,197

Program Priorities Addressed:

The applications proposed to the Oversight Committee for funding address the following Academic Research Program Priorities: recruitment of outstanding cancer researchers to Texas, a

broad range of innovative, investigator-initiated research projects, prevention and early detection, computational biology and analytic methods, childhood cancers and population disparities and cancers of importance in Texas (lung, liver, cervix cancers). The summarization of program priorities addressed by the proposed slate of awards is displayed in Table 2 and Attachment 1.

Table 2

Program Priorities Addressed by Grant Recommendations		
# Awards	Program Priorities	Funding
5	Recruitment of outstanding cancer researchers to Texas	\$14,000,000
45	A broad range of innovative, investigator-initiated research projects	\$47,095,197
5	Prevention and early detection	\$7,496,479
2	Computational biology and analytic methods	\$4,898,997
9	Childhood cancers	\$10,098,112
10	Population disparities and cancers of importance in Texas (lung, liver, cervix cancers)	\$14,516,337
*Some grants awards address more than one program priority and are double counted.		

1. Individual Investigator Research Awards (RFA R-18.1 IIRA) Slate

Peer Review Recommendations:

The Scientific Review Council recommended 26 Individual Investigator Research Awards, totaling \$23,147,620.

Purpose of Individual Investigator Research Awards:

Supports applications for innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. Areas of interest include laboratory research, translational studies, and/or clinical investigations. Competitive renewal applications accepted.

Individual Investigator Research Awards Funding Levels:

Up to \$300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP180313	1.0	A somatic mutant p53 mouse model of metastatic triple negative breast cancer	Lozano, G.	The University of Texas M. D. Anderson Cancer Center	\$900,000	Disparities

RP180147	1.6	Prevalence of Rare Passenger Mutations in Biopsy Tissue as Cancer Stratification Markers	Zhang, D.	Rice University	\$900,000	Disparities
RP180047	1.7	A Novel Dual Suppressor of Cancer Bone Metastasis	Wan, Y.	The University of Texas Southwestern Medical Center	\$898,672	
RP180192	1.8	Dissecting the interplay between BAP1 and PBRM1 in renal cancer	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$897,633	
RP180343	1.8	Turn ON the Tumor Contrast in Lymph Node Metastases for Occult Disease Detection	Gao, J.	The University of Texas Southwestern Medical Center	\$885,684	
RP180178	1.8	Imaging glucose stimulated zinc secretion (GSZS) from the prostate by MRI: A potentially powerful method for early detection of prostate cancer	Sherry, D.	The University of Texas Southwestern Medical Center	\$900,000	
RP180220	1.9	Targeting the prion protein Doppel in brain tumor angiogenesis	McCarty, J.	The University of Texas M. D. Anderson Cancer Center	\$900,000	
RP180435	2.0	Fasting-induced inhibition of leukemia development	Zhang, C.	The University of Texas Southwestern Medical Center	\$900,000	
RP180275	2.0	Targeting Stromal ERalpha for Cervical Cancer Therapy	Chung, S.	University of Houston	\$811,617	Cancers of Importance to Texas (Cervix)
RP180410	2.2	Mechanisms of Nuclear Export in Cancer	Chook, Y.	The University of Texas Southwestern Medical Center	\$900,000	
RP180181	2.2	Targeting neutrophil elastase as a novel therapy for metastatic breast cancer	Watowich, S.	The University of Texas M. D. Anderson Cancer Center	\$900,000	
RP180504	2.2	Elucidating the Epigenetic and Metabolic Vulnerabilities of Myeloproliferative Neoplasms	Xu, J.	The University of Texas Southwestern Medical Center	\$900,000	
RP180268	2.2	Determining the role of polyploidization in liver cancer development	Zhu, H.	The University of Texas Southwestern Medical Center	\$900,000	Cancers of Importance to Texas (Liver)
RP180309	2.2	Inhibiting Oxidative Phosphorylation: A Novel Strategy in Leukemia	Konopleva, M.	The University of Texas M. D. Anderson Cancer Center	\$900,000	

RP180031	2.2	Imaging of biochemical alterations in human breast malignancy using CEST-MRI	Vinogradov, E.	The University of Texas Southwestern Medical Center	\$900,000	
RP180244	2.3	Functional analyses of linkage-specific ubiquitination in the DNA damage response	Wang, B.	The University of Texas M. D. Anderson Cancer Center	\$900,000	
RP180349	2.4	Therapeutics Targeting Cancer-Associated HPV Replication	Chiang, C.	The University of Texas Southwestern Medical Center	\$900,000	Prevention and Cancers of Importance to Texas (Cervix)
RP180530	2.4	Hippo signaling in non-alcoholic fatty liver disease (NAFLD) and its progression to hepatocellular carcinoma	Johnson, R.	The University of Texas M. D. Anderson Cancer Center	\$821,669	Cancers of Importance to Texas (Liver)
RP180590	2.4	Development of an engineered & pharmacologically optimized human methionine-gamma-lyase drug candidate for the treatment of prostate cancer and glioblastoma	Stone, E.	The University of Texas at Austin	\$900,000	
RP180553	2.5	Structural and Functional Characterization of the DNA Double Strand Break Processing Complex of Mre11-Rad50	Latham, M.	Texas Tech University	\$850,876	
RP180259	2.5	PTEN Promotes Diabetic breast cancer metastasis	Lin, C.	The University of Texas M. D. Anderson Cancer Center	\$900,000	
RP180055	2.7	Mechanisms and Treatment of Hippocampal Cognitive Impairment Associated with Androgen Deprivation Therapy for Prostate Cancer	Morilak, D.	The University of Texas Health Science Center at San Antonio	\$899,547	
RP180472	2.8	Mucosal vaccine formulations for targeted therapy of HPV cancers	Sastry, J.	The University of Texas M. D. Anderson Cancer Center	\$883,146	Cancers of Importance to Texas (Cervix)
RP180457	2.8	Tumor Activated Enzyme Inhibitors for the Treatment of Cancer	Ready, J.	The University of Texas Southwestern Medical Center	\$898,776	
RP180177	3.5	Novel Small Molecule Probes Targeting Histone Acetyltransferase p300/CBP	Song, Y.	Baylor College of Medicine	\$900,000	
RP180288	3.5	Innate Immune Regulation of Cancer Cell Proliferation	Yan, N.	The University of Texas Southwestern Medical Center	\$900,000	

2. Individual Investigator Research Awards for Cancer in Children and Adolescents (RFA R-18.1 IIRACCA) Slate

Peer Review Recommendations:

The Scientific Review Council recommended 9 Individual Investigator Research Awards for Cancer in Children and Adolescents, totaling \$10,095,112.

Purpose of Individual Investigator Research Awards for Cancer in Children and Adolescents:

Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, progression, detection, or treatment of cancer in children and adolescents. Laboratory, clinical, or population-based studies are all acceptable. CPRIT expects the outcome of the research to reduce the incidence, morbidity, or mortality from cancer in children and/or adolescents in the near or long term. Competitive renewal applications accepted.

Individual Investigator Research Awards for Cancer in Children and Adolescents

Funding Levels:

Up to \$300,000 per year. Applicants that plan on conducting a clinical trial as part of the project may request up to \$500,000 in total costs. Exceptions permitted if extremely well justified; maximum duration: 4 years.

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP180463	1.9	Compound heterozygous mutations in pediatric cancer predisposition	Schlacher, K.	The University of Texas M. D. Anderson Cancer Center	*\$556,763	Childhood
RP180191	1.9	Understanding TFE3-mediated Tumorigenesis through Analysis of a Novel, Clinically-Relevant Mouse Model of Translocation Renal Cell Carcinoma	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$1,155,128	Childhood
RP180394	2.0	Targeting the metastatic sarcoma niche using leukocyte biomimetic nanoparticles	Tasciotti, E.	The Methodist Hospital Research Institute	\$1,199,617	Childhood
RP180131	2.1	DNA methylation signatures of cell-free DNA in CSF as a new response biomarker for pediatric medulloblastoma	Sun, D.	Texas A&M University System Health Science Center	\$1,200,000	Childhood

RP180196	2.1	Microwafers as Novel Drug or Gene Delivery Vehicles for Noninvasive Treatment of Retinoblastoma	Hurwitz, R.	Baylor College of Medicine	\$1,195,721	Childhood
RP180166	2.6	Molecular mechanisms of anthracycline response in cardiomyocytes and link to genetic susceptibility to cardiotoxicity in long-term childhood cancer survivors	Hildebrandt, M.	The University of Texas M. D. Anderson Cancer Center	\$1,194,520	Childhood
RP180634	2.9	Understanding metabolic regulation of pediatric glioma through mouse modeling and patient tumor interrogation in vivo.	Bachoo, R.	The University of Texas Southwestern Medical Center	\$1,200,000	Childhood
RP180073	3.4	Myeloid support of refractory and aggressive T-ALL at distinct tumor sites	Ehrlich, L.	The University of Texas at Austin	\$1,200,000	Childhood
RP180319	3.5	Rhabdomyosarcoma vulnerabilities: Prioritizing and extending to the clinic	Skapek, S.	The University of Texas Southwestern Medical Center	\$1,193,363	Childhood

*RP180463- Reflects budget reduced by Scientific Review Council who recommended to fund only Aim 1 and reduce the duration of the study from 4 years to 3.

3. Individual Investigator Research Awards for Computational Biology (RFA R-18.1 IIRACB) Slate

Peer Review Recommendations:

The Scientific Review Council recommended 1 Individual Investigator Research Award for Computational Biology, totaling \$898,997.

Purpose of Individual Investigator Research Awards for Computational Biology:

Supports applications for innovative mathematical or computational research projects addressing questions that will advance our knowledge in any aspect of cancer. Areas of interest include data analysis of cellular pathways, microarrays, cellular imaging, cancer imaging or genomic, proteomic, and metabolomic databases; descriptive mathematical models of cancer, as well as mechanistic models of cellular processes and interactions and use of artificial intelligence approaches to build new tools for mining cancer research and treatment databases.

Individual Investigator Research Awards for Computational Biology Funding Levels:

Up to \$300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP180248	1.9	Characterizing cancer genome instability and translational impact using new sequencing technologies	Chen, K.	The University of Texas M. D. Anderson Cancer Center	\$898,997	Computational Biology

4. Individual Investigator Research Awards for Clinical Translation (RFA R-18.1 IIRACT) SLATE

Peer Review Recommendations:

The Scientific Review Council recommended 5 Individual Investigator Research Awards for Clinical Translation, totaling \$9,456,989.

Purpose of Individual Investigator Research Awards for Clinical Translation:

Supports applications which propose innovative clinical studies that are hypothesis driven and involve patients enrolled prospectively on a clinical trial or involve analyses of biospecimens from patients enrolled on a completed trial for which the outcomes are known. Areas of interest include clinical studies of new or repurposed drugs, hormonal therapies, immune therapies, surgery, radiation therapy, stem cell transplantation, combinations of interventions, or therapeutic devices.

Individual Investigator Research Awards for Clinical Translation Funding Levels:

Up to \$400,000 per year. Maximum duration: 3 years. Applicants that plan on conducting a clinical trial as part of the project may request up to \$600,000 in total costs and a maximum duration of 4 years. Exceptions permitted if extremely well justified.

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP180381	2.0	Mass Spectrometry Imaging to Uncover Predictive Metabolic Markers of Ovarian Cancer Surgical Outcome and Treatment Response	Schiavinato Eberlin, L.	The University of Texas at Austin	\$1,092,048	
RP180473	2.2	Clinical trials of C188-9, an oral inhibitor of signal transducer and activator of transcription (STAT) 3, in patients with hepatocellular carcinoma (HCC)	Tweardy, D.	The University of Texas M. D. Anderson Cancer Center	\$2,399,905	Cancers of Importance to Texas (Liver)

RP180404	2.3	Noninvasive detection of anthracycline induced cardiotoxicity using hyperpolarized carbon 13 based magnetic resonance spectroscopic imaging	Zaha, V.	The University of Texas Southwestern Medical Center	\$2,397,204	
RP180466	2.6	Integrated single-cell biomarkers of T-cell efficacy	Varadarajan, N.	University of Houston	\$1,173,420	
RP180140	2.8	EXTernal beam radiation to Eliminate Nominal metastatic Disease (EXTEND): A randomized phase II basket trial to assess local control of oligometastatic disease	Tang, C.	The University of Texas M. D. Anderson Cancer Center	\$2,394,412	

5. Individual Investigator Research Awards for Prevention and Early Detection (RFA R-18.1 IIRAP) SLATE

Peer Review Recommendations:

The Scientific Review Council recommended 3 Individual Investigator Research Award for Prevention and Early Detection, totaling \$2,596,479.

Purpose of Individual Investigator Research Awards for Prevention and Early Detection:

Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, early-stage progression, and/or early detection of cancer. Research may be laboratory-, clinical-, or population- based, and may include behavioral/intervention, dissemination or health services/outcomes research to reduce cancer incidence or promote early detection. Competitive renewal applications accepted.

Individual Investigator Research Awards for Prevention and Early Detection Funding Levels:

Up to of \$300,000 per year for laboratory and clinical research; Up to \$500,000 per year for population-based research. Exceptions permitted if extremely well justified; maximum duration: 3 years.

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP180505	1.4	Circulating Exosomes as Biomarkers for Lung Cancer Early Detection	Taguchi, A.	The University of Texas M. D. Anderson Cancer Center	\$799,085	Prevention
RP180607	2.4	Blood-based biomarkers for the early detection of pancreatic cancer	Killary, A.	The University of Texas M. D. Anderson Cancer Center	\$900,000	Prevention
RP180588	2.5	Novel Computer Aided Diagnosis System For Early Detection Of Oral Cancer Based On Quantitative Autofluorescence Imaging	Jo, J.	Texas Engineering Experiment Station	\$897,394	Prevention

6. Recruitment of Rising Stars Slate FY 18.3, 18.4, and 18.5

Peer Review Recommendations

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

Purpose of Recruitment of Rising Stars Awards:

Recruits 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 Established Investigators Awards:

Up to \$4 million over a period of five years

Recommended Awards:

The Scientific Review Council recommended two candidates for a Rising Stars Award. Candidates nominating institutions are: The University of Texas Health Science Center at Houston and The University of Texas Southwestern Medical Center. Below is a listing of the candidates with associated expertise.

RR180016

Candidate: Yujin Hoshida, M.D., Ph.D.

Funding Mechanism: Recruitment of Rising Stars

Applicant Organization: The University of Texas Southwestern Medical Center

Original Organization of Nominee: Icahn School of Medicine at Mount Sinai 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: \$4,000,000

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas, Cancers of Importance to Texas (Liver); Prevention and Early Detection.

Description:

Dr. Yujin Hoshida is being nominated for a CPRIT Rising Star Award to recruit him to UT Southwestern as Associate Professor of Internal Medicine from the Mount Sinai School of Medicine. Dr. Hoshida is a member of the Tisch Cancer Institute at Mount Sinai, recognized as one of the nation's leading hepatocellular cancer (HCC) research centers, and Dr. Hoshida is conducting research to delineate the genomic and molecular determinants that portend a high-risk of developing HCC.

RR180012

Candidate: Xiaoqian Jian, Ph.D.

Funding Mechanism: Recruitment of Rising Stars

Applicant Organization: The University of Texas Health Science Center at Houston

Original Organization of Nominee: University of California San Diego

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

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

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

Description:

Xiaoqian Jian, Ph.D., is nominated for a CPRIT Rising Stars Recruitment Award to support his recruitment to the School of Biomedical Informatics at UT Health from the University of California San Diego. Dr. Jian is a national leader in cancer informatics and will be appointed Director of Center for Health Data Security and Phenotyping at the UT Health Science Center at Houston.

He has an impressive record of peer reviewed publications and is considered a national leader in privacy technology and computational phenotyping across distributed data sources and has also demonstrated a strong record of training.

7. Recruitment First-Time Tenure Track Faculty Members Slate FY 18.3, 18.4 and 18.5

Peer Review Recommendations

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

Purpose of First Time Tenure Track Faculty Recruitment

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

Funding levels for First Time Tenure Track Faculty Members Recruitment

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

Recommended Projects:

Three candidates are being recommended for Recruitment of First-Time, Tenure Track Faculty Member Awards. Candidates nominating institutions are: The University of Texas Health Science Center at Houston and The University of Texas Southwestern Medical Center.

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

RR180011

Candidate: Rohit Bose, M.D., 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: Memorial Sloan Kettering Cancer Center

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

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

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas

Description:

Rohit Bose, M.D., Ph.D., is a physician scientist who is nominated for a First-Time Tenure-Track Recruitment Award to support his recruitment to MD Anderson from Memorial Sloan Kettering Cancer Center. Members of the CPRIT Scientific Review Council reviewing his nomination noted that "Dr. Bose is an exceptional physician-scientist who has already published major papers of very high quality, replete with clean data, robust arguments, and astute observations and he has already generated significant grant support." At MD Anderson he plans to pursue studies of prostate cancer carcinogenesis with potential for new therapeutic intervention strategies.

RR180014

Candidate: Zhenyu Zhong, 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

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

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

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas, Cancers of Importance to Texas (Liver).

Description:

Zhenyu Zhong Ph.D. is nominated for a First-Time Tenure-Track Faculty recruitment award to support his recruitment to UT Southwestern following completing his post-doctoral training at the University of California San Diego. Dr. Zhong uses innovative approaches to unravel fundamental molecular mechanisms that control inflammation and to determine how these mechanisms promote the development of liver cancers. CPRIT reviewers commented that Dr. Zhong is “an outstanding, highly original investigator who has made seminal observations regarding the role of macrophage mitochondria in the initiation and control of inflammation” and predicted that he will excel and elucidate novel pathways relevant to cancer.

RR180017

Candidate: Wen Jiang, M.D., 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 Texas MD Anderson Cancer Center

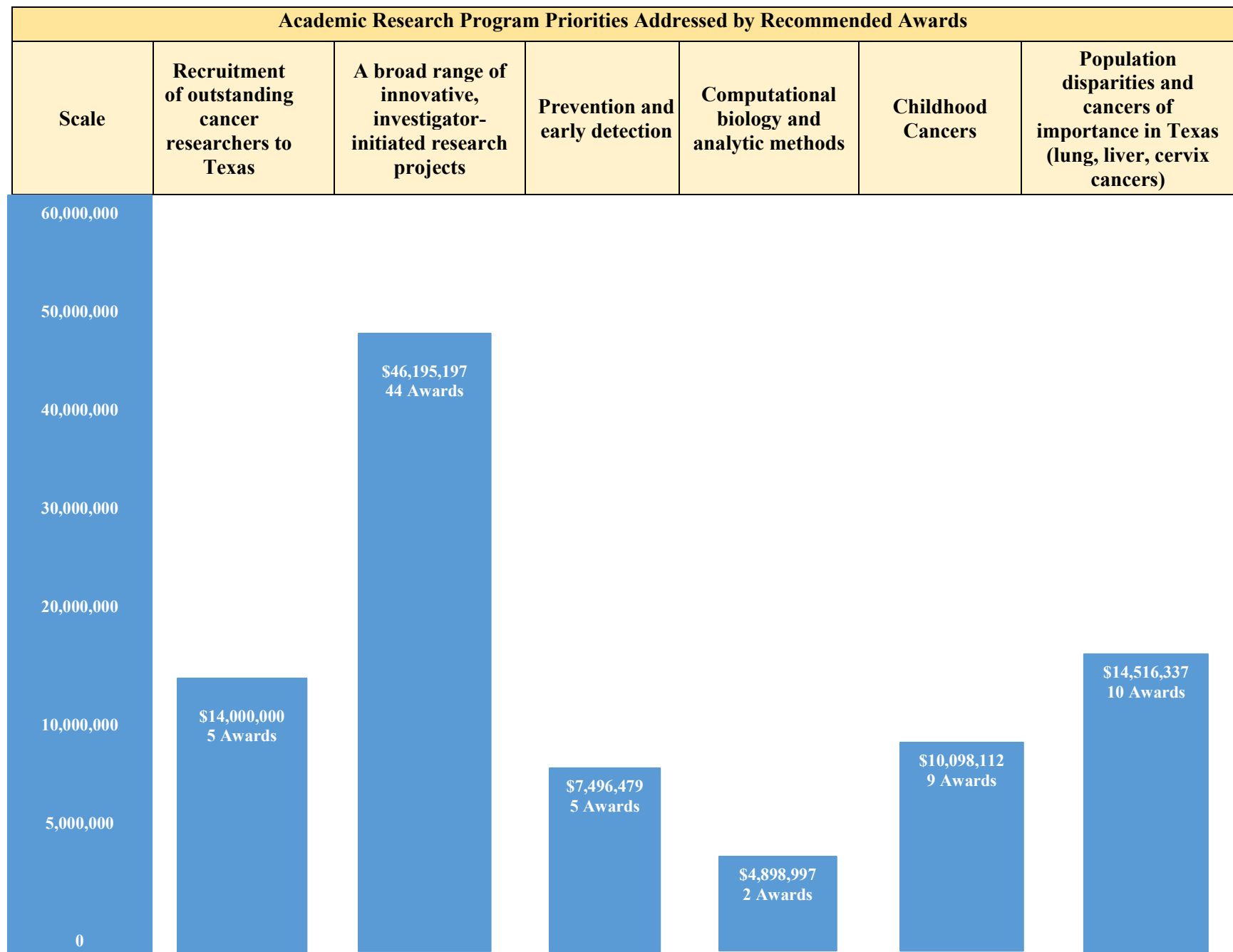
Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.0**

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

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

Description:

Dr. Wen Jiang is completing residency training in radiation oncology at M D Anderson Cancer Center and is nominated for a First Time Tenure Track recruitment award to support his recruitment to UT Southwestern. Dr. Jiang has pursued a non-traditional yet illustrious career path having begun his career in engineering working on nanostructures during his Ph.D. training before attending Stanford Medical School. He has published more than fifty manuscripts, including several high impact publications, and he has been awarded two U.S. patents. He has taken his knowledge of nanostructures into the area of nanomedicine with the specific goal of using these to enhance the immune response to radiation therapy.



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



- **Individual Investigator Research Awards**

Supports applications for innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. Areas of interest include laboratory research, translational studies, and/or clinical investigations. Competitive renewal applications accepted.

Award: Up to \$300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.

- **Individual Investigator Research Awards for Cancer in Children and Adolescents**

Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, progression, detection, or treatment of cancer in children and adolescents. Laboratory, clinical, or population-based studies are all acceptable. CPRIT expects the outcome of the research to reduce the incidence, morbidity, or mortality from cancer in children and/or adolescents in the near or long term. Competitive renewal applications accepted.

Award: Up to \$300,000 per year. Applicants that plan on conducting a clinical trial as part of the project may request up to \$500,000 in total costs. Exceptions permitted if extremely well justified; maximum duration: 4 years.

- **Individual Investigator Research Awards for Computational Biology**

Supports applications for innovative mathematical or computational research projects addressing questions that will advance our knowledge in any aspect of cancer. Areas of interest include data analysis of cellular pathways, microarrays, cellular imaging, cancer imaging or genomic, proteomic, and metabolomic databases; descriptive mathematical models of cancer, as well as mechanistic models of cellular processes and interactions and use of artificial intelligence approaches to build new tools for mining cancer research and treatment databases.

Award: Up to \$300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.

- **Individual Investigator Research Awards for Prevention and Early Detection**

Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, early-stage progression, and/or early detection of cancer. Research may be laboratory-, clinical-, or population- based, and may include behavioral/intervention, dissemination or health services/outcomes research to reduce cancer incidence or promote early detection. Competitive renewal applications accepted.

Award: Up to of \$300,000 per year for laboratory and clinical research; Up to \$500,000 per year for population-based research. Exceptions permitted if extremely well justified; maximum duration: 3 years.

- **Individual Investigator Research Awards for Prevention and Early Detection**
 Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, early-stage progression, and/or early detection of cancer. Research may be laboratory-, clinical-, or population- based, and may include behavioral/intervention, dissemination or health services/outcomes research to reduce cancer incidence or promote early detection. Competitive renewal applications accepted.
 Award: Up to of \$300,000 per year for laboratory and clinical research; Up to \$500,000 per year for population-based research. Exceptions permitted if extremely well justified; maximum duration: 3 years.
- **Individual Investigator Research Awards for Clinical Translation**
 Supports applications which propose innovative clinical studies that are hypothesis driven and involve patients enrolled prospectively on a clinical trial or involve analyses of biospecimens from patients enrolled on a completed trial for which the outcomes are known. Areas of interest include clinical studies of new or repurposed drugs, hormonal therapies, immune therapies, surgery, radiation therapy, stem cell transplantation, combinations of interventions, or therapeutic devices.
 Award: Up to \$400,000 per year. Maximum duration: 3 years. Applicants that plan on conducting a clinical trial as part of the project may request up to \$600,000 in total costs and a maximum duration of 4 years. Exceptions permitted if extremely well justified.
- **Recruitment of Rising Stars**
 Recruits outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.
 Award: Up to \$4 million over a period of five years.
- **Recruitment of First-Time Tenure Track Faculty Members**
 Supports very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.
 Award: Up to \$2 million over a period of five years.

**Ludwig Institute for
Cancer Research Ltd**

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January 16, 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

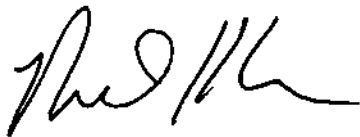
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Clinical Translation (IIRACT) and Individual Investigator Research Awards for Prevention and Early Detection (IIRAP). The SRC met on December 14, 2017 to consider the applications recommended by the peer review panels following their meetings that were held October 16, 2017 – October 24, 2017.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$47,095,197.

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

Academic Research

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
1	RP180313	IIRA	1.0	A somatic mutant p53 mouse model of metastatic triple negative breast cancer	Lozano, G.	The University of Texas M. D. Anderson Cancer Center	\$900,000
2	RP180505	IIRAP	1.4	Circulating Exosomes as Biomarkers for Lung Cancer Early Detection	Taguchi, A.	The University of Texas M. D. Anderson Cancer Center	\$799,085
3	RP180147	IIRA	1.6	Prevalence of Rare Passenger Mutations in Biopsy Tissue as Cancer Stratification Markers	Zhang, D.	Rice University	\$900,000
4	RP180047	IIRA	1.7	A Novel Dual Suppressor of Cancer Bone Metastasis	Wan, Y.	The University of Texas Southwestern Medical Center	\$898,672
5	RP180192	IIRA	1.8	Dissecting the interplay between BAP1 and PBRM1 in renal cancer	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$897,633
6	RP180343	IIRA	1.8	Turn ON the Tumor Contrast in Lymph Node Metastases for Occult Disease Detection	Gao, J.	The University of Texas Southwestern Medical Center	\$885,684
7	RP180178	IIRA	1.8	Imaging glucose stimulated zinc secretion (GSZS) from the prostate by MRI: A potentially powerful method for early detection of prostate cancer	Sherry, D.	The University of Texas Southwestern Medical Center	\$900,000
8	RP180463	IIRACCA	1.9	Compound heterozygous mutations in pediatric cancer predisposition	Schlacher, K.	The University of Texas M. D. Anderson Cancer Center	\$556,763*
9	RP180248	IIRACB	1.9	Characterizing cancer genome instability and translational impact using new sequencing technologies	Chen, K.	The University of Texas M. D. Anderson Cancer Center	\$898,997

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
10	RP180191	IIRACCA	1.9	Understanding TFE3-mediated Tumorigenesis through Analysis of a Novel, Clinically-Relevant Mouse Model of Translocation Renal Cell Carcinoma	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$1,155,128
11	RP180220	IIRA	1.9	Targeting the prion protein Doppel in brain tumor angiogenesis	McCarty, J.	The University of Texas M. D. Anderson Cancer Center	\$900,000
12	RP180435	IIRA	2.0	Fasting-induced inhibition of leukemia development	Zhang, C.	The University of Texas Southwestern Medical Center	\$900,000
13	RP180275	IIRA	2.0	Targeting Stromal ERalpha for Cervical Cancer Therapy	Chung, S.	University of Houston	\$811,617
14	RP180381	IIRACT	2.0	Mass Spectrometry Imaging to Uncover Predictive Metabolic Markers of Ovarian Cancer Surgical Outcome and Treatment Response	Schiavinato Eberlin, L.	The University of Texas at Austin	\$1,092,048
15	RP180394	IIRACCA	2.0	Targeting the metastatic sarcoma niche using leukocyte biomimetic nanoparticles	Tasciotti, E.	The Methodist Hospital Research Institute	\$1,199,617
16	RP180131	IIRACCA	2.1	DNA methylation signatures of cell-free DNA in CSF as a new response biomarker for pediatric medulloblastoma	Sun, D.	Texas A&M University System Health Science Center	\$1,200,000
17	RP180196	IIRACCA	2.1	Microwafers as Novel Drug or Gene Delivery Vehicles for Noninvasive Treatment of Retinoblastoma	Hurwitz, R.	Baylor College of Medicine	\$1,195,721
18	RP180410	IIRA	2.2	Mechanisms of Nuclear Export in Cancer	Chook, Y.	The University of Texas Southwestern Medical Center	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
19	RP180181	IIRA	2.2	Targeting neutrophil elastase as a novel therapy for metastatic breast cancer	Watowich, S.	The University of Texas M. D. Anderson Cancer Center	\$900,000
20	RP180504	IIRA	2.2	Elucidating the Epigenetic and Metabolic Vulnerabilities of Myeloproliferative Neoplasms	Xu, J.	The University of Texas Southwestern Medical Center	\$900,000
21	RP180268	IIRA	2.2	Determining the role of polyploidization in liver cancer development	Zhu, H.	The University of Texas Southwestern Medical Center	\$900,000
22	RP180309	IIRA	2.2	Inhibiting Oxidative Phosphorylation: A Novel Strategy in Leukemia	Konopleva, M.	The University of Texas M. D. Anderson Cancer Center	\$900,000
23	RP180261	IIRA	2.2	Multi-Loading Strategy for Constructing Potent Antibody-Drug Conjugates	Tsuchikama, K.	The University of Texas Health Science Center at Houston	\$900,000
24	RP180473	IIRACT	2.2	Clinical trials of C188-9, an oral inhibitor of signal transducer and activator of transcription (STAT) 3, in patients with hepatocellular carcinoma (HCC)	Tweardy, D.	The University of Texas M. D. Anderson Cancer Center	\$2,399,905
25	RP180031	IIRA	2.2	Imaging of biochemical alterations in human breast malignancy using CEST-MRI	Vinogradov, E.	The University of Texas Southwestern Medical Center	\$900,000
26	RP180244	IIRA	2.3	Functional analyses of linkage-specific ubiquitination in the DNA damage response	Wang, B.	The University of Texas M. D. Anderson Cancer Center	\$900,000
27	RP180404	IIRACT	2.3	Noninvasive detection of anthracycline induced cardiotoxicity using hyperpolarized carbon 13 based magnetic resonance spectroscopic imaging	Zaha, V.	The University of Texas Southwestern Medical Center	\$2,397,204

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
28	RP180349	IIRA	2.4	Therapeutics Targeting Cancer-Associated HPV Replication	Chiang, C.	The University of Texas Southwestern Medical Center	\$900,000
29	RP180530	IIRA	2.4	Hippo signaling in non-alcoholic fatty liver disease (NAFLD) and its progression to hepatocellular carcinoma	Johnson, R.	The University of Texas M. D. Anderson Cancer Center	\$821,669
30	RP180607	IIRAP	2.4	Blood-based biomarkers for the early detection of pancreatic cancer	Killary, A.	The University of Texas M. D. Anderson Cancer Center	\$900,000
31	RP180590	IIRA	2.4	Development of an engineered & pharmacologically optimized human methionine-gamma-lyase drug candidate for the treatment of prostate cancer and glioblastoma	Stone, E.	The University of Texas at Austin	\$900,000
32	RP180553	IIRA	2.5	Structural and Functional Characterization of the DNA Double Strand Break Processing Complex of Mre11-Rad50	Latham, M.	Texas Tech University	\$850,876
33	RP180259	IIRA	2.5	PTEN Promotes Diabetic breast cancer metastasis	LIN, C.	The University of Texas M. D. Anderson Cancer Center	\$900,000
34	RP180588	IIRAP	2.5	Novel Computer Aided Diagnosis System For Early Detection Of Oral Cancer Based On Quantitative Autofluorescence Imaging	Jo, J.	Texas Engineering Experiment Station	\$897,394
35	RP180166	IIRACCA	2.6	Molecular mechanisms of anthracycline response in cardiomyocytes and link to genetic susceptibility to cardiotoxicity in long-	Hildebrandt, M.	The University of Texas M. D. Anderson Cancer Center	\$1,194,520

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
				term childhood cancer survivors			
36	RP180466	IIRACT	2.6	Integrated single-cell biomarkers of T-cell efficacy	Varadarajan, N.	University of Houston	\$1,173,420
37	RP180055	IIRA	2.7	Mechanisms and Treatment of Hippocampal Cognitive Impairment Associated with Androgen Deprivation Therapy for Prostate Cancer	Morilak, D.	The University of Texas Health Science Center at San Antonio	\$899,547
38	RP180472	IIRA	2.8	Mucosal vaccine formulations for targeted therapy of HPV cancers	Sastry, J.	The University of Texas M. D. Anderson Cancer Center	\$883,146
39	RP180457	IIRA	2.8	Tumor Activated Enzyme Inhibitors for the Treatment of Cancer	Ready, J.	The University of Texas Southwestern Medical Center	\$898,776
40	RP180140	IIRACT	2.8	EXTERNAL beam radiation to Eliminate Nominal metastatic Disease (EXTEND): A randomized phase II basket trial to assess local control of oligometastatic disease	Tang, C.	The University of Texas M. D. Anderson Cancer Center	\$2,394,412
41	RP180634	IIRACCA	2.9	Understanding metabolic regulation of pediatric glioma through mouse modeling and patient tumor interrogation in vivo.	Bachoo, R.	The University of Texas Southwestern Medical Center	\$1,200,000
42	RP180073	IIRACCA	3.4	Myeloid support of refractory and aggressive T-ALL at distinct tumor sites	Ehrlich, L.	The University of Texas at Austin	\$1,200,000
43	RP180177	IIRA	3.5	Novel Small Molecule Probes Targeting Histone Acetyltransferase p300/CBP	Song, Y.	Baylor College of Medicine	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
44	RP180288	IIRA	3.5	Innate Immune Regulation of Cancer Cell Proliferation	Yan, N.	The University of Texas Southwestern Medical Center	\$900,000
45	RP180319	IIRACCA	3.5	Rhabdomyosarcoma vulnerabilities: Prioritizing and extending to the clinic	Skapek, S.	The University of Texas Southwestern Medical Center	\$1,193,363

*RP180463 Reflects budget as reduced by the SRC. SRC recommended to fund only Aim 1 and reduce the duration of the study from 4 years to 3.

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January 16, 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
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Cancer Prevention and Research Institute of Texas
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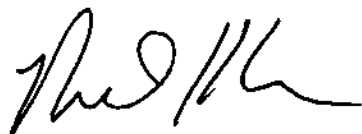
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on November 16, 2017 (REC Cycles 18.3 and 18.4) and December 14, 2017 (REC Cycle 18.5) to consider the applications submitted to CPRIT under the Recruitment of Rising Stars and Recruitment for First-Time Tenure Track Faculty Members. requests for applications for Recruitment Cycles REC 18.3, 18.4 and 18.5.

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 \$14,000,000.

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	RR180011	Bose, Rohit	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.0
2	RR180014	Zhong, Zhenyu	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
3	RR180017	Jiang, Wen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.0
4	RR180016	Hoshida, Yujin	RRS	The University of Texas Southwestern Medical Center	\$4,000,000	2.0
5	RR180012	Jian, Xiaoqian	RRS	The University of Texas Health Science Center at Houston	\$4,000,000	2.8

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: CPRIT OVERSIGHT COMMITTEE
FROM: REBECCA GARCIA, PH.D., CHIEF PREVENTION AND COMMUNICATIONS OFFICER
SUBJECT: PREVENTION AWARD RECOMMENDATIONS – FY 2018 CYCLE 1 & DISSEMINATION AWARD RECOMMENDATIONS FY2018 18.2
DATE: FEBRUARY 6, 2018

The Program Integration Committee (PIC) has completed its review and recommends awarding eight (8) projects totaling \$13,105,573. These include seven (7) projects in FY 2018 Cycle 1 totaling \$12,806,002 and one (1) Dissemination project for the FY 2018 second quarter (18.2) totaling \$299,571. The grant recommendations are presented in four (4) slates. The PIC recommends reducing the budgets of PP170078 and PP170121 by 10% 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>	\$ 2,972,915
1	<i>Colorectal Cancer Prevention Coalition</i>	\$ 4,034,507
4	<i>Evidence-Based Cancer Prevention Services</i>	\$ 5,798,580
1	<i>Dissemination of CPRIT-Funded Cancer Control Interventions</i>	\$ 299,571

Cycle 18.1

Three RFAs were released June 22, 2017. Thirty-five (35) prevention grant applications were submitted by the September 21 deadline. One (1) application was withdrawn during administrative review. Peer review was conducted December 11-14, 2017, and the programmatic review by the Prevention Review Council (PRC) was conducted January 18, 2018.

Dissemination Cycle 18.2

One application was received by December 5, 2017. The PRC reviewed and recommended this application on January 17, 2018.

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.

Number of Applications Addressing Priorities	
8	Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence
7	Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence
8	Prioritize underserved populations

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): \$2,972,915

Six (6) applications were submitted in this mechanism. Two (2) tobacco control and lung cancer screening projects are recommended.

Project Descriptions

PP180016, Equitable Access to Lung Cancer Screening and Smoking Cessation Treatment: A Comprehensive Primary Care and Community Health Approach

Program Director: Roger Zoorob

Applicant Organization: Baylor College of Medicine

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

Recommended Total Budget Award and Duration: \$1,472,918/3 years

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

This project aims to develop and implement a comprehensive primary care and community health program for delivery of lung cancer screening (LCS) and smoking cessation treatment (SCT) for high-risk underserved residents of Harris County. The multi-level strategy will develop a critical mass of 220 providers educated and trained in LCS and SCT, a detailed LCS program implementation guide, coordination of services through process flow maps, EMR enhancement, and clinic-specific plans for integration. The program will also add currently unavailable integrative pharmacotherapy and behavioral therapy services onsite.

In Harris County, there are no up-to-date, evidence-based LCS programs with integrated SCT services, nor are Primary Care Providers (PCPs) adequately trained to engage high-risk patients in making shared decisions about the risks and benefits of LCS. The impact of the program is likely to be scalable and sustainable given strong institutional support and partnerships led by Baylor College of Medicine and MD Anderson Cancer Center.

PP180025, Lung Cancer Screening and Patient Navigation (LSPAN)

Program Director: Keith Argenbright

Applicant Organization: The University of Texas Southwestern Medical Center **Overall**

Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 3.3

Recommended Total Budget Award and Duration: \$1,499,997/3 years

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 program will provide clinical services to screen-eligible patients as defined by the U.S. Preventive Services Task Force. The lung cancer screening program provides an opportunity to capitalize on a “teachable moment” for tobacco cessation, harnessing patient motivation, while providing evidence-based resources as well as provider referrals for pharmacotherapy interventions. In addition to telephone-based counseling, tobacco cessation efforts will also include evidence-based print materials, and mini-clinics to be held on the mobile health unit. Smokers will have the opportunity to meet face-to-face with a certified navigator or using telemedicine, a licensed psychologist or mid-level provider should additional care be required.

The program builds on previously CPRIT funded work, leveraging existing Moncrief Cancer Institute(MCI) screening and navigation infrastructure in combination with UTSWMC research screening protocol. These combined resources will enable the program to expand screening beyond a traditionally integrated urban safety-net system in collaboration with an established network of community partners and supported with the MCI custom-built mobile health unit.

Colorectal Cancer Prevention Coalition

Mechanism: This award mechanism seeks to fund projects that will deliver a comprehensive and integrated colorectal cancer screening project that includes provision of screening, diagnostic, and navigation services in conjunction with outreach and education of the target population through a coalition of partners. The proposed project should be designed to reach and serve as many people as possible by its simultaneous implementation in multiple clinical sites. The award has no funding cap and is up to 3 years, depending on the type of project proposed.

Recommended projects (1): \$4,034,507

This application was submitted in the colorectal cancer prevention coalition mechanism in cycle 17.2 but was deferred due to budgetary constraints. It is recommended for the current cycle. A 10% budget reduction was recommended by the PRC.

Project Description

PP170078, Alliance for Colorectal Cancer Testing 2.0 (ACT 2.0)

Program Director: Lewis E Foxhall

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

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 3.1

Recommended Total Budget Award and Duration: \$4,034,507/3 years

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 Alliance for Colorectal Cancer Testing 2.0 (ACT 2.0) is a regional coalition of clinical service providers using an evidence-based approach to increase colorectal cancer screening (CRCS) through fecal immunochemical test (FIT)-based screening followed by colonoscopy. The program is an adaptation of the successful “Flu FIT” program. This has been successfully implemented by MD Anderson in collaboration with the ACS through a current CPRIT-funded grant and the Texas Medicaid 1115 Transformation Waiver. The ACT 2.0 regional coalition includes clinics in East and Southeast Texas as well as clinics with limited or no CRCS programs in Central, West and South Texas. The total geographic service area of the ACT 2.0 regional coalition covers 42-counties in Central, East, Southeast and West Texas with 90 individual clinic sites.

The program will implement system- level changes establishing uniform CRCS clinic policies, increasing EHR reminders and measuring practice performance in coalition clinics. Patients identified as being at increased risk based on family history or findings at colonoscopy will be offered genetic testing and counseling.

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 (4): \$5,798,580

Twenty-eight (28) applications were submitted in this mechanism. Four (4) evidence-based cancer prevention services projects are recommended.

One of the applications, PP170121, was submitted in cycle 17.2 but was deferred due to budgetary constraints. It is recommended for the current cycle. A 10% budget reduction was recommended by the PRC.

PP180031, Get FIT to Stay FIT. Stepping Up to Fight Colorectal Cancer in the Panhandle

Program Director: Izi D. Obokhare

Applicant Organization: Texas Tech University Health Sciences Center

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

Recommended Total Budget Award and Duration: \$1,498,476/3 years

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 goal of this project is to continue to improve colorectal cancer (CRC) screening rates in the entire Panhandle area comprised of 26 counties. The program will continue to address two critical barriers to screening: 1) lack of knowledge and awareness of CRC and CRC screening and 2) lack of access to screening and diagnostic services. The program targets low income, undereducated and minority populations. Program components include: outreach and education via Community Health Workers (CHWs), in-house outreach, social and local media; no cost CRC screening tests and clinical services; patient navigation to support test completion and treatment to care. New features include: 1) expanding to additional counties in the panhandle that were not part of the original grant 2) facilitating repeat screening of enrolled participants, FIT/colonoscopy eligible 3) facilitating the creation of a CRC screening coalition to sustain screening services and referrals to care 4) facilitating the dissemination of the Get FIT to Stay Fit program, focusing on applicability to other rural regions in Texas. 5) offering diagnostic colonoscopies to uninsured/underinsured patients referred by area primary care providers.

PP180037, Advancing an Established Colorectal Cancer Prevention Program for Rural and Underserved Texans through A&M's Family Medicine Residency

Program Director: David A. McClellan

Applicant Organization: Texas A&M University System Health Science Center **Overall**

Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 3.3

Recommended Total Budget Award and Duration: \$1,499,202/3 years

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

This project will provide colorectal cancer (CRC) prevention education, screening and patient navigation across the continuum of care to residents of 21 TX counties, including 15 that are rural, in the Greater Brazos Valley and several counties inland of the Coastal Bend region. The project will build on previous projects to provide CRC screening while training family practice resident physicians in colonoscopy. Through previous grants, Texas A&M Health Science Center (TAMHSC) established the Cancer Screening, Training, Education and Prevention Program (TX C-STEP), using a community health worker model to enhance the ability of the TX A&M Physicians Family Medicine Center and residency program to provide accessible CRC screenings to those uninsured/underinsured. This continuation grant will allow TAMHSC to expand the number of counties served from 17 to 21; increase the number of low-income, underserved and rural Texans who receive CRC screening via colonoscopy or fecal immunochemical test, improve access to culturally appropriate CRC prevention education and navigation, increase the pool of family medicine physicians receiving colonoscopy training.

PP180003, BEST 2: Breast Cancer Education Screening and Navigation (BEST) Program for El Paso and West Texas

Program Director: Navkiran K Shokar

Applicant Organization: Texas Tech University Health Sciences Center at El Paso

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.7

Recommended Total Budget Award and Duration: \$1,499,908/3 years

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 BEST (**B**reast **C**ancer **E**ducation **S**creening and **N**avigation) intervention is a culturally tailored, bilingual, multicomponent intervention that was developed and implemented in El Paso and Hudspeth County. The BEST intervention included outreach, education, no-cost service delivery, and navigation and was tailored to the barriers identified in the target population. This project will expand BEST services to new areas and improve program components based on prior experiences and on the ongoing needs identified in West Texas. BEST 2 will continue as a community wide partnership led by Texas Tech University Health Sciences Center, El Paso, in collaboration with over 150 organizations including key new partners. Specifically, the project will: 1) expand the intervention beyond the original two counties to 21 new West Texas counties; 2) increase the number of screenings through efficiencies in delivery of services; 3) enhance previous screening services through the addition of a high-risk assessment and referral pathway, a repeat screening protocol, and activities to reduce the recall rate and; 4) develop a video version of the education to expand our reach into new settings.

PP170121, Evidence-Based Hepatocellular Cancer Prevention through Targeted Hepatitis C Screening and Navigation

Program Director: Mamta Jain

Applicant 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: \$1,300,994/3 years

CPRIT Priorities addressed: Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations

This project leverages current Hepatocellular cancer (HCC) prevention experiences at Parkland Health and Hospital System and implements an evidence-based program for hepatitis C virus (HCV) screening at John Peter Smith (JPS) Health System, a safety-net health system serving Tarrant County. The program will leverage screening opportunities through existing early detection and outreach programming at Moncrief Cancer Institute to implement a mobile HCV screening program in rural and medically underserved populations across a nine-county service area. Specifically, the project screens for HCV using an electronic medical record (EMR)-based best practice alert (BPA), supported by a multi-disciplinary clinic involving hepatology, infectious disease, pharmacy, and patient navigation to treat newly diagnosed HCV patients. Linkage to care, including HCV evaluation and treatment will be navigated by care coordinators and delivered by physicians in each of these settings. The program team will implement HCV screening within the 12 community and hospital based primary care clinics at JPS.

Dissemination of CPRIT-Funded Cancer Control Interventions

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

Project Description

PP180065, Disseminating Cancer Control Framework and Strategies, a UT System Partnership
Program Director: Keith Argenbright
Applicant Organization: The University of Texas Southwestern Medical Center
Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.3
Recommended Total Budget Award and Duration: \$299,571/24 months.

This project will disseminate a successful service delivery model for cancer screening and patient navigation developed at Moncrief Cancer Institute (MCI) that is made up of three core elements, 1) Outreach and Health Promotion, 2) Delivery and Navigation, and 3) Centralized Reimbursement. It will provide a step-by-step action guide for implementation to UT Health Northeast and other adopters through the UT System that demonstrate readiness. The centralized regional delivery model addresses fundamental access barriers to care and can be applied in both urban and rural areas.

The project includes key elements of the MCI delivery model that can be selected, adapted and implemented to address the identified needs of the adopter. MCI will work with potential adopters to evaluate the menu of available elements, understand which are variable, best align with their institution, and consider internal and external factors like resources and culture. They will provide education and training for the core program components and facilitate program implementation in collaboration with local partners. Dissemination activities will begin at UT Health Northeast in Tyler, but MCI will also collaborate with UT System, their development partner, to cultivate additional candidates from its 14 institutions.

Prevention Grant Award Recommendations

App. ID	Mech.	Application Title	PD	Organization	Score	Rank Order	Budget
PP170121	EBP	Evidence-Based Hepatocellular Cancer Prevention through Target Hepatitis C Screening and Navigation	Jain, Mamta	The University of Texas Southwestern Medical Center	1.3	1	\$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 Science Center at El Paso	1.7	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 Science Center	1.8	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	2	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	3.1	5	\$4,034,507
PP180025	TCL	Lung Cancer Screening and Patient Navigation (LSPAN)	Argenbright, Keith E	The University of Texas Southwestern Medical Center	3.3	6	\$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	3.3	7	\$1,499,202

EBP: Evidence Based Cancer Prevention Services
TCL: Tobacco Control and Lung Cancer Screening
CRC: Colorectal Cancer Prevention Coalition

Prevention Grant Award Recommendations – Dissemination Cycle 18.2

App. ID	Mech.	Application Title	PD	Organization	Score	Rank Order	Budget
PP180065	DI	Disseminating Cancer Control Framework and Strategies, a UT System Partnership	Argenbright, Keith	The University of Texas Southwestern Medical Center	2.3	1	\$299,571

DI: Dissemination of CPRIT-Funded Cancer Control Interventions

Prevention Program Priorities Addressed by Recommended Award February 21, 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
<div style="border: 1px solid black; padding: 5px; text-align: center;"> \$13,105,573 8 projects </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> \$11,804,579 7 projects </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> \$13,105,573 8 projects </div>
<ul style="list-style-type: none"> • PP170078 – UTMDACC (colorectal) (\$4,034,507) • PP170121 – UTSW (liver) (\$1,300,994) • PP180003 -- TTUHSC El Paso (breast) (\$1,499,908) • PP180016 – BCM (lung, tobacco) (\$1,472,918) • PP180025 – UTSW (lung, tobacco) (\$1,499,997) • PP180031 – TTUHSC (colorectal) (\$1,498,476) • PP180037 – TAMUHSC (colorectal) (\$1,499,202) • PP180065 – UTSW (breast, cervix, colorectal, lung) 	<ul style="list-style-type: none"> • PP170078 – UTMDACC (colorectal) (\$4,034,507) • PP180003 -- TTUHSC El Paso (breast) (\$1,499,908) • PP180016 – BCM (lung, tobacco) (\$1,472,918) • PP180025 – UTSW (lung, tobacco) (\$1,499,997) • PP180031 – TTUHSC (colorectal) (\$1,498,476) • PP180037 – TAMUHSC (colorectal) (\$1,499,202) 	<ul style="list-style-type: none"> • PP170078 – UTMDACC (colorectal) (\$4,034,507) • PP170121 – UTSW (liver) (\$1,300,994) • PP180003 -- TTUHSC El Paso (breast) (\$1,498,476) • PP180016 – BCM (lung, tobacco) (\$1,472,918) • PP180025 – UTSW (lung, tobacco) (\$1,499,997) • PP180031 – TTUHSC (colorectal) (\$1,498,476) • PP180037 – TAMUHSC (colorectal) (\$1,499,202)

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.

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 wsmcpritch@gmail.com
Via email to Will Montgomery assistant, Laura Blevins, lblevins@jw.com

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

Dear Mr. Roberts and Mr. Montgomery;

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for CPRIT Prevention grant awards. The PRC met on January 18, 2018, to consider the applications submitted to CPRIT under the Dissemination request for applications for Dissemination cycle 18.2. The PRC reviewed one application.

The PRC recommends one dissemination application, PP180065, for funding this cycle. The recommended funding amount and the overall evaluation score are provided on the attached document. There were no recommended changes to the funding amount, goals, timelines, or project objectives requested.

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

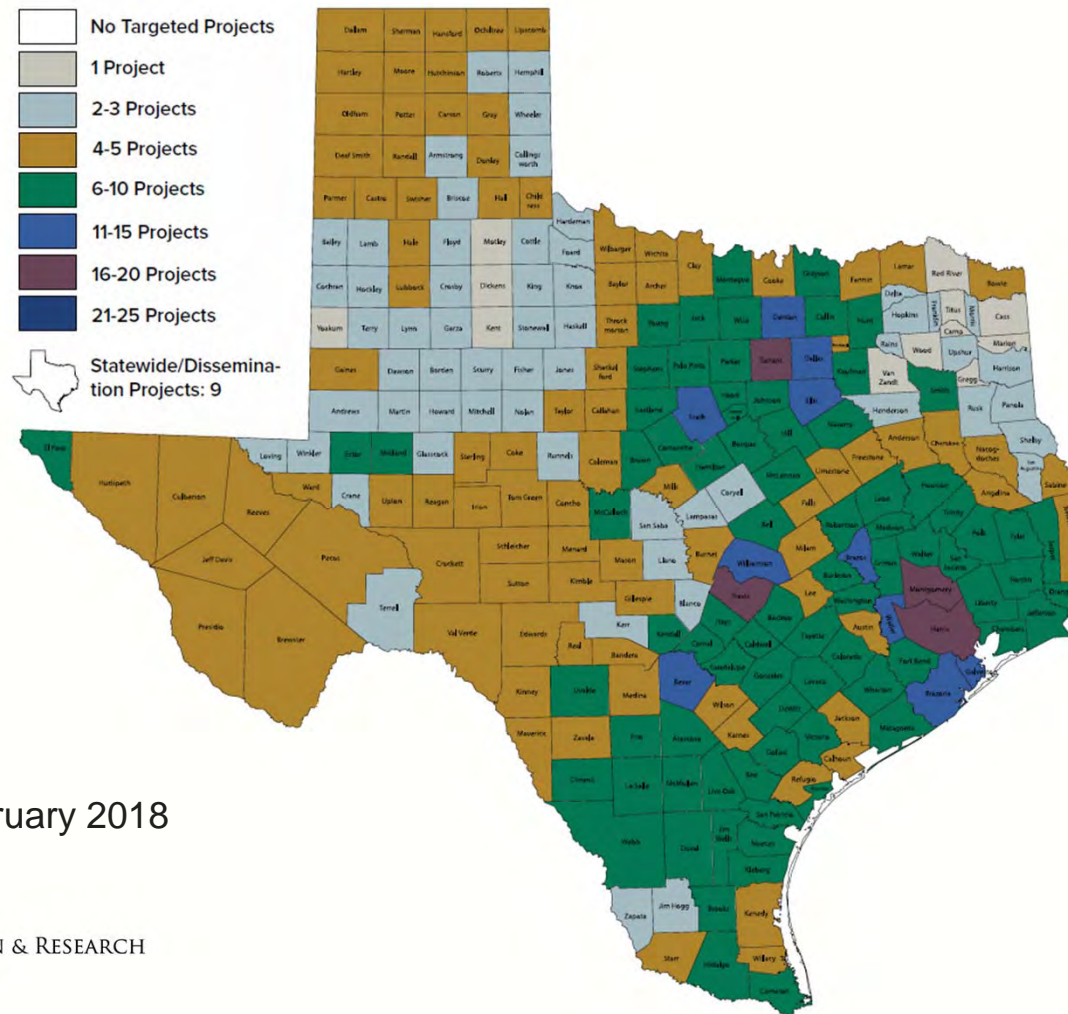
Sincerely,

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

Application ID	Mechanism	Application Title	PD	Organization	Req. Budget	Score	SD	PRC Funding Recommendation	Rank Order	Comments	Rec Budget
PP180065	DI	Disseminating Cancer Control Framework and Strategies, a UT System Partnership	Argenbright, Keith	The University of Texas Southwestern Medical Center	\$299,571	2.3	0.6	Yes	1		\$ 299,571

Counties of Residence of Populations Served by CPRIT Prevention Projects

66 Projects – Active + Proposed



February 2018



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS



February 7, 2018

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 57 grant applications totaling \$73,300,770. The PIC recommendations for 49 academic research grant awards and 8 prevention awards are attached.

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

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

The award recommendations will not be considered final until the Oversight Committee meeting on February 21, 2018. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

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

Sincerely,
Wayne R. Roberts
Chief Executive Officer

Academic Research Award Recommendations –

The PIC unanimously recommends approval of 49 academic research grant proposals totaling \$60,195,197. The recommended grant proposals were submitted in response to seven grant mechanisms: Individual Investigator Research Awards; Individual Investigator Research Awards for Cancer in Children and Adolescents; Individual Investigator Research Awards for Computational Biology; Individual Investigator Research Awards for Prevention and Early Detection; Individual Investigator Research Awards for Clinical Translation; Recruitment of First-Time, Tenure-Track Faculty Members; and Recruitment of Rising Stars. The SRC provided the prioritized list of recommendations for the Recruitment awards to the presiding officers on January 19, 2018. One application, RP180261, recommended by the SRC was withdrawn by the applicant prior to the PIC meeting; therefore, the PIC did not consider the application.

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

- could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- strengthen and enhance fundamental science in cancer research;
- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional;
- address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention or cures for cancer;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- have a demonstrable economic development benefit to this state;
- enhance research superiority at institutions of higher education in this state by creating new research superiority, attracting existing research superiority from institutions not located in this state and other research entities, or enhancing existing research superiority by attracting from outside this state additional researchers and resources; and
- address the goals of the Texas Cancer Plan.

Academic Research Grant Award Recommendations

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
1	RP180313	IIRA	1.0	A somatic mutant p53 mouse model of metastatic triple negative breast cancer	Lozano, G.	The University of Texas M. D. Anderson Cancer Center	\$900,000
2	RP180505	IIRAP	1.4	Circulating Exosomes as Biomarkers for Lung Cancer Early Detection	Taguchi, A.	The University of Texas M. D. Anderson Cancer Center	\$799,085
3	RP180147	IIRA	1.6	Prevalence of Rare Passenger Mutations in Biopsy Tissue as Cancer Stratification Markers	Zhang, D.	Rice University	\$900,000
4	RP180047	IIRA	1.7	A Novel Dual Suppressor of Cancer Bone Metastasis	Wan, Y.	The University of Texas Southwestern Medical Center	\$898,672
5	RP180192	IIRA	1.8	Dissecting the interplay between BAP1 and PBRM1 in renal cancer	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$897,633
6	RP180343	IIRA	1.8	Turn ON the Tumor Contrast in Lymph Node Metastases for Occult Disease Detection	Gao, J.	The University of Texas Southwestern Medical Center	\$885,684
7	RP180178	IIRA	1.8	Imaging glucose stimulated zinc secretion (GSZS) from the prostate by MRI: A potentially powerful method	Sherry, D.	The University of Texas Southwestern Medical Center	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
				for early detection of prostate cancer			
8	RP180463	IIRACCA	1.9	Compound heterozygous mutations in pediatric cancer predisposition	Schlacher, K.	The University of Texas M. D. Anderson Cancer Center	\$556,763
9	RP180248	IIRACB	1.9	Characterizing cancer genome instability and translational impact using new sequencing technologies	Chen, K.	The University of Texas M. D. Anderson Cancer Center	\$898,997
10	RP180191	IIRACCA	1.9	Understanding TFE3-mediated Tumorigenesis through Analysis of a Novel, Clinically-Relevant Mouse Model of Translocation Renal Cell Carcinoma	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$1,155,128
11	RP180220	IIRA	1.9	Targeting the prion protein Doppel in brain tumor angiogenesis	McCarty, J.	The University of Texas M. D. Anderson Cancer Center	\$900,000
12	RP180435	IIRA	2.0	Fasting-induced inhibition of leukemia development	Zhang, C.	The University of Texas Southwestern Medical Center	\$900,000
13	RP180275	IIRA	2.0	Targeting Stromal ERalpha for Cervical Cancer Therapy	Chung, S.	University of Houston	\$811,617
14	RP180381	IIRACT	2.0	Mass Spectrometry Imaging to Uncover Predictive Metabolic Markers of Ovarian Cancer	Schiavinato Eberlin, L.	The University of Texas at Austin	\$1,092,048

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
				Surgical Outcome and Treatment Response			
15	RP180394	IIRACCA	2.0	Targeting the metastatic sarcoma niche using leukocyte biomimetic nanoparticles	Tasciotti, E.	The Methodist Hospital Research Institute	\$1,199,617
16	RP180131	IIRACCA	2.1	DNA methylation signatures of cell-free DNA in CSF as a new response biomarker for pediatric medulloblastoma	Sun, D.	Texas A&M University System Health Science Center	\$1,200,000
17	RP180196	IIRACCA	2.1	Microwafers as Novel Drug or Gene Delivery Vehicles for Noninvasive Treatment of Retinoblastoma	Hurwitz, R.	Baylor College of Medicine	\$1,195,721
18	RP180410	IIRA	2.2	Mechanisms of Nuclear Export in Cancer	Chook, Y.	The University of Texas Southwestern Medical Center	\$900,000
19	RP180181	IIRA	2.2	Targeting neutrophil elastase as a novel therapy for metastatic breast cancer	Watowich, S.	The University of Texas M. D. Anderson Cancer Center	\$900,000
20	RP180504	IIRA	2.2	Elucidating the Epigenetic and Metabolic Vulnerabilities of Myeloproliferative Neoplasms	Xu, J.	The University of Texas Southwestern Medical Center	\$900,000
21	RP180268	IIRA	2.2	Determining the role of polyploidization in liver cancer development	Zhu, H.	The University of Texas Southwestern Medical Center	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
22	RP180309	IIRA	2.2	Inhibiting Oxidative Phosphorylation: A Novel Strategy in Leukemia	Konopleva, M.	The University of Texas M. D. Anderson Cancer Center	\$900,000
24	RP180473	IIRACT	2.2	Clinical trials of C188-9, an oral inhibitor of signal transducer and activator of transcription (STAT) 3, in patients with hepatocellular carcinoma (HCC)	Tweardy, D.	The University of Texas M. D. Anderson Cancer Center	\$2,399,905
25	RP180031	IIRA	2.2	Imaging of biochemical alterations in human breast malignancy using CEST-MRI	Vinogradov, E.	The University of Texas Southwestern Medical Center	\$900,000
26	RP180244	IIRA	2.3	Functional analyses of linkage-specific ubiquitination in the DNA damage response	Wang, B.	The University of Texas M. D. Anderson Cancer Center	\$900,000
27	RP180404	IIRACT	2.3	Noninvasive detection of anthracycline induced cardiotoxicity using hyperpolarized carbon 13 based magnetic resonance spectroscopic imaging	Zaha, V.	The University of Texas Southwestern Medical Center	\$2,397,204
28	RP180349	IIRA	2.4	Therapeutics Targeting Cancer-Associated HPV Replication	Chiang, C.	The University of Texas Southwestern Medical Center	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
29	RP180530	IIRA	2.4	Hippo signaling in non-alcoholic fatty liver disease (NAFLD) and its progression to hepatocellular carcinoma	Johnson, R.	The University of Texas M. D. Anderson Cancer Center	\$821,669
30	RP180607	IIRAP	2.4	Blood-based biomarkers for the early detection of pancreatic cancer	Killary, A.	The University of Texas M. D. Anderson Cancer Center	\$900,000
31	RP180590	IIRA	2.4	Development of an engineered & pharmacologically optimized human methionine-gamma-lyase drug candidate for the treatment of prostate cancer and glioblastoma	Stone, E.	The University of Texas at Austin	\$900,000
32	RP180553	IIRA	2.5	Structural and Functional Characterization of the DNA Double Strand Break Processing Complex of Mre11-Rad50	Latham, M.	Texas Tech University	\$850,876
33	RP180259	IIRA	2.5	PTEN Promotes Diabetic breast cancer metastasis	LIN, C.	The University of Texas M. D. Anderson Cancer Center	\$900,000
34	RP180588	IIRAP	2.5	Novel Computer Aided Diagnosis System For Early Detection Of Oral Cancer Based On Quantitative Autofluorescence Imaging	Jo, J.	Texas Engineering Experiment Station	\$897,394

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
35	RP180166	IIRACCA	2.6	Molecular mechanisms of anthracycline response in cardiomyocytes and link to genetic susceptibility to cardiotoxicity in long-term childhood cancer survivors	Hildebrandt, M.	The University of Texas M. D. Anderson Cancer Center	\$1,194,520
36	RP180466	IIRACT	2.6	Integrated single-cell biomarkers of T-cell efficacy	Varadarajan, N.	University of Houston	\$1,173,420
37	RP180055	IIRA	2.7	Mechanisms and Treatment of Hippocampal Cognitive Impairment Associated with Androgen Deprivation Therapy for Prostate Cancer	Morilak, D.	The University of Texas Health Science Center at San Antonio	\$899,547
38	RP180472	IIRA	2.8	Mucosal vaccine formulations for targeted therapy of HPV cancers	Sastry, J.	The University of Texas M. D. Anderson Cancer Center	\$883,146
39	RP180457	IIRA	2.8	Tumor Activated Enzyme Inhibitors for the Treatment of Cancer	Ready, J.	The University of Texas Southwestern Medical Center	\$898,776
40	RP180140	IIRACT	2.8	EXTernal beam radiation to Eliminate Nominal metastatic Disease (EXTEND): A randomized phase II basket trial to assess local control of oligometastatic disease	Tang, C.	The University of Texas M. D. Anderson Cancer Center	\$2,394,412

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
41	RP180634	IIRACCA	2.9	Understanding metabolic regulation of pediatric glioma through mouse modeling and patient tumor interrogation in vivo.	Bachoo, R.	The University of Texas Southwestern Medical Center	\$1,200,000
42	RP180073	IIRACCA	3.4	Myeloid support of refractory and aggressive T-ALL at distinct tumor sites	Ehrlich, L.	The University of Texas at Austin	\$1,200,000
43	RP180177	IIRA	3.5	Novel Small Molecule Probes Targeting Histone Acetyltransferase p300/CBP	Song, Y.	Baylor College of Medicine	\$900,000
44	RP180288	IIRA	3.5	Innate Immune Regulation of Cancer Cell Proliferation	Yan, N.	The University of Texas Southwestern Medical Center	\$900,000
45	RP180319	IIRACCA	3.5	Rhabdomyosarcoma vulnerabilities: Prioritizing and extending to the clinic	Skapek, S.	The University of Texas Southwestern Medical Center	\$1,193,363

IIRA: Individual Investigator Research Awards;

IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents;

IIRACB: Individual Investigator Research Awards for Computational Biology;

IIRAP: Individual Investigator Research Awards for Prevention and Early Detection;

IIRACT: Individual Investigator Research Awards for Clinical Translation

Academic Research Recruitment Grant Award Recommendations

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR180011	Bose, Rohit	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.0
2	RR180014	Zhong, Zhenyu	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
3	RR180017	Jiang, Wen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.0
4	RR180016	Hoshida, Yujin	RRS	The University of Texas Southwestern Medical Center	\$4,000,000	2.0
5	RR180012	Jian, Xiaoqian	RRS	The University of Texas Health Science Center at Houston	\$4,000,000	2.8

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members

Prevention Award Recommendations –

The PIC unanimously recommends approval of eight prevention grant proposals totaling \$13,105,573. The recommended grant proposals were submitted in response to the following mechanisms: Evidence Based Cancer Prevention Services; Tobacco Control and Lung Cancer Screening; Colorectal Cancer Prevention Coalition; and Dissemination of CPRIT-Funded Cancer Control Interventions. The Prevention Review Council (PRC) provided its recommendation to the presiding officers on January 19, 2019.

I will note that two awards are recommended from cycle 17.2. The PRC took no action on the awards previously and recommended them for funding at their meeting on January 18, 2018. The PIC unanimously recommends the two awards to the Oversight Committee.

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:

- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional (the PIC chose this factor for Established Company Awards);
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- have a demonstrable economic development benefit to this state; and
- address the goals of the Texas Cancer Plan.

Prevention Grant Award Recommendations

App. ID	Mech.	Application Title	PD	Organization	Score	Rank Order	Budget
PP170121	EBP	Evidence-Based Hepatocellular Cancer Prevention through Targeted Hepatitis C Screening and Navigation	Jain, Mamta	The University of Texas Southwestern Medical Center	1.3	1	\$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	1.7	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	1.8	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	2	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	3.1	5	\$4,034,507
PP180025	TCL	Lung Cancer Screening and Patient Navigation (LSPAN)	Argenbright, Keith E	The University of Texas Southwestern Medical Center	3.3	6	\$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	3.3	7	\$1,499,202

App. ID	Mech.	Application Title	PD	Organization	Score	Rank Order	Budget
PP180065	DI	Disseminating Cancer Control Framework and Strategies, a UT System Partnership	Argenbright, Keith	The University of Texas Southwestern Medical Center	2.3	1	\$299,571

EBP: Evidence Based Cancer Prevention Services

TCL: Tobacco Control and Lung Cancer Screening

CRC: Colorectal Cancer Prevention Coalition

DI: Dissemination of CPRIT-Funded Cancer Control Interventions



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT: COMPLIANCE CERTIFICATION – FEBRUARY 2018 AWARDS
DATE: FEBRUARY 7, 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
- Individual Investigator Research Awards
- Individual Investigator Research Awards for Cancer in Children and Adolescents
- Individual Investigator Research Awards for Computational Biology
- Individual Investigator Research Awards for Clinical Translation
- Individual Investigator Research Awards for Prevention and Early Detection
- Tobacco Control and Lung Cancer Screening
- Colorectal Cancer Prevention Coalition
- Evidence-Based Cancer Prevention Services
- Dissemination of CPRIT-Funded Cancer Control Interventions

I have conferred with staff at CPRIT and CSRA, International (CSRA), CPRIT's contracted third-party grants administrator, regarding the academic research and prevention awards and studied the supporting grant review documentation, including third-party observer reports for the peer review meetings. I am satisfied that the application review process that resulted in the above mechanisms recommended by the Program Integration Committee (PIC) followed applicable laws and agency administrative rules. I note that the following mechanisms received applications; however, none were recommended by the Review Councils or considered by the PIC: Recruitment of Established Investigators, Company Relocation Product Development Awards, and Texas Company Product

Compliance Certification

Development Awards. I certify the academic research and prevention award recommendations for the Oversight Committee's consideration.

Two of the above mechanisms consist of awards that were discussed at the Prevention Review Council (PRC) in fiscal year 2017 but no action was taken by the PRC at that time. The mechanisms include 17.2 Colorectal Cancer Prevention Coalition Awards and 17.2 Evidence-Based Cancer Prevention Services Awards and have now been recommended. I certified these two mechanisms for the August 16, 2017, 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 18.3, 18.4, and 18.5, three applications were received for the Recruitment of Established Investigators RFA, two applications were received in response to the Recruitment of Rising Stars RFA, and four applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA.

In response to the academic, non-recruitment RFAs for Cycle 18.1, CPRIT received 532 applications. Eight applications were administratively withdrawn prior to Peer Review and two applications were withdrawn by the applicant prior to Peer Review. For the non-recruitment mechanisms, a preliminary evaluation process was utilized as allowed by T.A.C. 703.6(e)(1). Based on the scores of the preliminary evaluation, 338 academic, non-recruitment applications did not move forward to the full review phase. The remaining 184 academic research, non-recruitment applications were recommended for full review.

All academic research RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. One applicant requested an extension to submit an application after the deadline. The program officer determined that there was not good cause for the request and the deadline was not extended.

Prevention:

For Cycle 18.1, seven applications were received for the Tobacco Control and Lung Cancer Screening RFA and 31 applications were received for the Evidence-Based Cancer Prevention Services RFA. For Cycle 18.2, 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.

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:

As stated earlier, eight applications were administratively withdrawn prior to peer review and two applications were withdrawn by the applicant prior to Peer Review. In addition, one application was withdrawn by the applicant after the Scientific Review Committee (SRC) but prior to the Program Integration Committee (PIC) meeting.

Prevention:

One application was 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 18.3, 18.4, and 18.5, 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 six SRC members that attended the Recruitment Review Panel meeting on November 16, 2017 and the seven SRC members that attended the Recruitment Review Panel meeting on December 14, 2017.

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.

I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each review panel as well as the seven SRC members that attended the Review Council meeting on December 14, 2017.

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, such as the 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 December 11-12, 2017 and Prevention Panel 2 on

December 13-14, 2017, as well as the three PRC members that attended the PRC meeting on January 18, 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 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 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. 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 be recommended. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

Prevention:

Some applications with more favorable or equivalent scores to applications that were recommended for awards did not move forward to the PIC. As allowed in 25 T.A.C § 703.6(d)(1), the Prevention

Review Council'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. The Prevention Review Council's recommendations considered geographical impact, cancer type, project type, and cost. It is noted that the PRC recommended two applications from 17.2 that it previously took no action on.

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 February 6, 2018, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered 57 applications. All 57 applications were recommended to move forward to the Oversight Committee. A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 1
Evidence-Based Cancer Prevention Services

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.

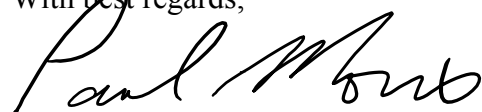
Conclusion

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

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Prevention Dissemination 18.1 Applications
(Prevention Dissemination 18.2 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

De-Identified Overall Evaluation Scores

Evidence Based Cancer Prevention Services

Prevention Cycle 18.1

Application ID	Final Overall Evaluation Score
PP180003*	1.7
PP180031*	1.8
A**	2.0
B	2.0
C**	2.5
D	2.7
E**	2.7
PP180037*	3.3
F	3.5
G	3.5
H	3.6
I	3.7
J	3.8
k	3.8
L	4.3
M	4.3
N	4.4
O	4.6
P	4.6
Q	4.7
R	4.7
S	4.9
T	5.2
U	5.5
V	6.0
W	6.1
X	6.3
Y	6.3
Z	6.3
Aa	6.5
Ab	6.6

* = Recommended for Funding

**=No action taken by Prevention Review Council

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



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 1
Tobacco Control and Lung Cancer Screening

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-18.1-TCL

Tobacco Control and Lung Cancer Screening

**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.

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

- 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.
- 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.

Required Components

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 follow-up 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 follow-up 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 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.

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, 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>
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.
<ul style="list-style-type: none">• 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.
<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.

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 in the project plan 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, 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; 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;
 - 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

- 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. 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 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 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 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 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 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 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 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:
 - 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 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.

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 follow-up 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 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. 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.
- **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</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 written in a cursive, flowing style.

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.

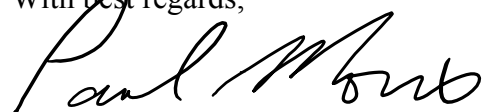
Conclusion

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

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Prevention Dissemination 18.1 Applications
(Prevention Dissemination 18.2 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

Tobacco Control and Lung Cancer Screenings

Prevention Cycle 18.1

Application ID	Final Overall Evaluation Score
PP180016*	2
PP180025*	3.3
ba	3.7
bb	4.2
bc	4.9
bd	5.8

* = Recommended for Funding

Final Overall Evaluation Scores and Rank Order Scores

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

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

Dear Mr. Roberts and Mr. Montgomery,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for CPRIT Prevention grant awards. The 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



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 2
*Dissemination of CPRIT-Funded Cancer
Control Interventions*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-18.1-DI

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

Please also refer to the Instructions for Applicants document

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

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 6/8/17 RFA release

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

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

1. ABOUT CPRIT

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

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

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

1.1. Prevention Program Priorities

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

Established Principles

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

Prevention Program Priorities

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

2. FUNDING OPPORTUNITY DESCRIPTION

2.1. Summary

The ultimate goals of the CPRIT Prevention Program are to reduce overall cancer incidence and mortality and to improve the lives of individuals who have survived or are living with cancer. The ability to reduce cancer death rates depends in part on the application of currently available evidence-based technologies and strategies. CPRIT will foster the primary, secondary, and tertiary prevention of cancer in Texas by providing financial support for a wide variety of evidence-based risk reduction, early detection, and survivorship interventions.

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

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

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

2.2. Project Objectives

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

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

2.3. Award Description

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

The Center for Research in Implementation Science and Prevention website

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

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

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

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

Tools/models

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

Implementation guides

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

Training/Technical assistance

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

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

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

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

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

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

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

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

2.4. Priorities

Types of Cancer:

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

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

Priority Populations

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

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

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

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

2.5. Specific Areas of Emphasis

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

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

2.6. Outcome Metrics

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

Reporting Requirements

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

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

2.7. Eligibility

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

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

2.8. Resubmission Policy

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

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

2.9. Funding Information

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

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

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

3. KEY DATES

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

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

4. APPLICATION SUBMISSION GUIDELINES

4.1. *Instructions for Applicants* document

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

4.2. Online Application Receipt System

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

4.3. Submission Deadline Extension

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

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

4.4. Application Components

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

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

4.4.1. Abstract and Significance (5,000 characters)

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

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

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

4.4.2. Goals and Objectives (700 characters each)

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

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

4.4.3. Project Timeline (2 pages)

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

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

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

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

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

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

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

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

4.4.5. References

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

4.4.6. Resubmission Summary

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

4.4.7. CPRIT Grants Summary

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

4.4.8. Budget and Justification

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

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

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

4.4.9. Current and Pending Support and Sources of Funding

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

4.4.10. Biographical Sketches

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

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

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

4.4.11. Collaborating Organizations

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

4.4.12. Letters of Commitment (10 pages)

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

5. APPLICATION REVIEW

5.1. Review Process Overview

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

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

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

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

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

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

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

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

5.2. Review Criteria

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

5.2.1. Primary Evaluation Criteria

Impact

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

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

Project Strategy and Feasibility

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

Evaluation

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

Organizational Qualifications and Capabilities

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

5.2.2. Secondary Evaluation Criteria

Budget

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

6. AWARD ADMINISTRATION

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

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.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 the PD of the award to submit quarterly, annual, and final progress reports. These reports summarize the progress made toward project goals and address plans for the upcoming year and performance during the previous year(s). In addition, quarterly fiscal reporting and reporting on selected metrics will be required per the instructions to award recipients. Continuation of funding is contingent upon the timely receipt of these reports. Failure

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

7. CONTACT INFORMATION

7.1. Helpdesk

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

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

Tel: 866-941-7146

Email: Help@CPRITGrants.org

7.2. Program Questions

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

Tel: 512-305-8417

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

8. RESOURCES

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

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

APPENDIX: WRITING GOALS AND OBJECTIVES

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

Develop well-defined goals and objectives

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

Goals should be

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

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

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

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

Evaluate and refine your objectives

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

There are 2 types of objectives:

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

There are 3 levels of objectives:

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

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

Summary Table

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

Third Party Observer Reports

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

Report No. 2018-01-18 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.

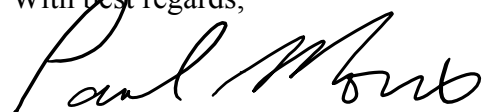
Conclusion

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

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Prevention Dissemination Cycle 18.2 Applications
(Prevention Dissemination Cycle 18.2 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 *Dissemination of CPRIT-Funded Cancer Control Intervention*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
No conflicts reported.			
Applications not considered by the PIC or Oversight Committee			
No conflicts reported.			

De-Identified Overall Evaluation Scores

Dissemination of CPRIT-Funded Cancer Control Intervention

Prevention Cycle 18.2

Application ID	Final Overall Evaluation Score
PP180065*	2.3

* = Recommended for Funding

Final Overall Evaluation Scores and Rank Order Scores

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

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

Dear Mr. Roberts and Mr. Montgomery;

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for CPRIT Prevention grant awards. The PRC met on January 18, 2018, to consider the applications submitted to CPRIT under the Dissemination request for applications for Dissemination cycle 18.2. The PRC reviewed one application.

The PRC recommends one dissemination application, PP180065, for funding this cycle. The recommended funding amount and the overall evaluation score are provided on the attached document. There were no recommended changes to the funding amount, goals, timelines, or project objectives requested.

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

Sincerely,

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

Application ID	Mechanism	Application Title	PD	Organization	Req. Budget	Score	SD	PRC Funding Recommendation	Rank Order	Comments	Rec Budget
PP180065	DI	Disseminating Cancer Control Framework and Strategies, a UT System Partnership	Argenbright, Keith	The University of Texas Southwestern Medical Center	\$299,571	2.3	0.6	Yes	1		\$ 299,571



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycle 2
Colorectal Cancer Prevention Coalition

Request for Applications



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS RFA P-17.2-CRC

Colorectal Cancer Prevention Coalition

**Please also refer to the Instructions for Applicants document,
which will be posted on December 1, 2016**

Application Receipt Opening Date: December 1, 2016

Application Receipt Closing Date: March 2, 2017

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 11/17/16 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 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 **Colorectal Cancer Prevention Coalition (CRC)** award mechanism seeks to fund projects that greatly challenge the status quo in colorectal cancer (CRC) prevention and control services. The proposed project should be designed to reach and serve as many people as possible. A coordinated submission of a collaborative coalition in which all partners have a substantial role in the proposed project is required. Partnerships with organizations that provide CRC screening and diagnostic services (ie, clinics, hospitals, Federally Qualified Health Centers) are required. The coalition of clinical service providers must provide at minimum CRC screening and diagnostic services. In addition to partnerships with clinical service providers, 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) are strongly encouraged.

The intent of this mechanism is to maximize the impact of the project by its simultaneous implementation in multiple clinical sites. Collaboration with clinical services organizations must be executed in a coordinated manner so that access to care and utilization of services are increased. The clinical service provider partners should all provide the same education, navigation, and clinical services. The intent is not to have the various sites providing different services or subsets of services.

2.2. Project Objectives

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

- Deliver evidence-based comprehensive CRC screening and diagnostic services aimed at reducing health disparities in CRC screening, incidence, and mortality;

- Increase screening rates among persons 50 years and older and those at high risk (as defined by the American Cancer Society)¹ in identified service regions, focusing on **asymptomatic** persons with CRC, those who have not been screened before, and those who have inadequate or no health insurance coverage for CRC screening;
- Coordinate clinical service providers and other partners to create a coalition with the goal of screening and treating (for cancers or precancers detected) the most counties and the most people possible in a selected service region, and for those identified with CRC or precancer through the screening exam who do not have health insurance coverage, ensure appropriate treatment will be provided;
- Implement system changes to decrease wait time between positive screen and diagnostic test (navigation, reminder systems, etc) and treatment and offer systems and/or policy changes that are sustainable over time; and;
- Deliver uniform services, data collection, and reporting from the coalition.

2.3. Award Description

This RFA solicits applications for projects up to 36 months in duration that will deliver a comprehensive and integrated CRC screening project that includes provision of screening, diagnostic, and navigation services in conjunction with outreach and education of the target population through a coalition of partners.

The following are required project elements:

Comprehensive Projects. Comprehensive projects include a continuum of services and systems and policy changes and comprise all or some 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.

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 all of the above components if they already are being paid 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.

- Applicants must select one or more of the types of CRC screening tests recommended by the US Preventive Services Task Force (USPSTF).²
- Education and outreach strategies to support patient recruitment may include small media activities and one-on-one outreach or other methods known to be effective in reaching the project’s priority population.³
- 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 Provider and Community Partner Coalitions. The applicant should coordinate and describe a collaboration of clinical service providers that can deliver outreach, education, screening, and navigation services to the most counties and the most people possible in a selected service region. In addition, 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 strongly encouraged. The applicant should coordinate and describe a coalition in which all partners have a substantial role in the proposed project. Letters of commitment or memoranda of understanding describing their role in the partnership are required from all clinical service providers and participating organizations.

Project Coordination and Technical Assistance. The overall screening program should be directed and overseen by the Program Director who is responsible for establishing and managing an integrated and collaborative coalition of clinical service providers and other community partners. A leader at each clinical project site is required and should be designated with a title of “Project Lead.”

- The Program Director must establish any necessary subcontracts or memoranda of understanding with project partners and clinical service providers.
- The Program Director must facilitate the establishment of standard protocols for all clinical service providers in the coalition (eg, offering choice of test options, such as fecal immunochemical test [FIT] first, FIT/Flu), as well as standard systems, policies, and procedures for the participating clinical service providers and organizations. These include, but are not limited to, patient tracking and timely follow-up of all abnormal screening results and/or diagnoses of cancer.
- The Program Director must also provide means to regularly communicate with Project Leads to discuss progress and barriers, resolve potential problems, and provide technical assistance as needed throughout the duration of the project.
- The Program Director is responsible for 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. The applicant should project a realistic and feasible 3-year increase in the CRC screening rate.

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 or**
- **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.

2.4. Priorities

Types of Cancer: Only projects proposing prevention and early detection of CRC and precancer will be considered.

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. While some insured individuals may fall within these definitions, insured populations are not the target of CPRIT's 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 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.

Colorectal Cancer
<ul style="list-style-type: none">Decreasing disparities in incidence and mortality rates of CRC in racial/ethnic populations. Blacks have the highest incidence and mortality rates, followed by non-Hispanic whites and Hispanics.⁴
<ul style="list-style-type: none">Increasing screening/detection rates in Public Health Region (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.⁴

2.6. Outcome Metrics

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

Applicants must evaluate changes in participants' knowledge and behavior/performance after the program. Applicants are required to clearly describe their assessment and evaluation methodology and to provide baseline data describing how funds from the CPRIT grant will improve outcomes over baseline. In the case 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 at the beginning of the proposed project. Similarly, applicants with previously or currently funded CPRIT projects are required to provide a summary of the project results and how the current application builds on the previous work or

addresses new areas of cancer prevention and control services. All projects are **required** to follow up and identify the effectiveness of the proposed intervention (eg, impact of system changes, adherence to screening guidelines, number of participants who took action and received primary prevention or screening services).

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 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; 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 Project 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. The PD or coalition partners may have a current CPRIT grant for CRC screening but must describe how this new grant complements their current grant. Outcomes and progress on the current grant must be described in the Grants Summary form (See [section 4.4.9](#)). Organizations that have current CRC screening grants may also opt to transition their current project to a new coalition grant if awarded. Funds cannot be transferred from one project to another. The CPRIT Prevention Program will work with the PD of the current grant to provide guidance and ensure a smooth transition.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Subcontracting and collaborating organizations may include public, not-

for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.

- An applicant organization is eligible to receive a grant award only if the applicant certifies that the applicant organization, including the PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- 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.
- 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

CPRIT expects that funding requests will vary depending on the proposed geographic coverage and number of people served. There is no funding cap, but the cost per person served must be well justified. The maximum duration of the award is 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 or to attend out-of-state professional

meetings 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. CPRIT does not provide support for projects when funds are readily available from other sources. Furthermore, CPRIT funds may not be used for any costs under this award that should be billed to any other funding source.

3. KEY DATES

RFA

RFA release	November 17, 2016
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Application

Online application opens	December 1, 2016, 7 AM central time
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Application due	March 2, 2017, 3 PM central time
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Application review	June 2017
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Award

Award notification	August 2017
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Anticipated start date	September 2017
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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 Authorized 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 December 1, 2016, and must be submitted by 3 PM central time on March 2, 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. 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. Please refer to the *Instructions for Applicants* document for details, which will be available when the application receipt system opens. **Submissions that are missing 1 or more components or do not meet the eligibility requirements will 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 target 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 outcome 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 4 outcome goals with 3 objectives each. Projects will be evaluated annually on the progress toward 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 yet been defined,

applicants are required to explain plans to establish baseline and describe method(s) of measurement.

4.4.3. Project Timeline (2 pages)

Provide a project timeline for project activities that includes deliverables and dates. Use Years 1, 2, 3, and Months 1, 2, 3, etc, as applicable instead of specific months or years (eg, Year 1, Months 3-5, not 2017, March-May).

4.4.4. Project Plan (30 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 target 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 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 and need not be provided in the project plan. However, if desired, outcome goals and objectives may be fully repeated or briefly summarized here.

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 describe the coalition, its structure, key personnel and their experience, resources and facilities available from each partner, and plans to leverage existing funding and infrastructure.

The coalition of service providers is limited to those providing CRC screening and diagnostics. Also describe plans for management and technical support to the coalition including monitoring, communications, data collection, and reporting.

Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline, and the ability to reach the target population. Applicants must also clearly describe plans to ensure access to treatment services should cancer be detected.

List in table format the types and number of each education service, navigation service, and clinical service (See [Appendix A](#) for definitions) to be delivered. In addition, list the TOTAL number of all services. Treatment services are not appropriate for this award mechanism and should not be included.

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 preventative services and reporting of services outcomes, applicants must 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. *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): 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. Describe plans for dissemination of positive and negative project results and outcomes. 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.

While scalability of programs is desirable, some programs may have unique resources and may not lend themselves to replication by others. However, some components of the project may lend themselves to modification and replication. Discuss whether the program lends itself to scalability and expansion by others.

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. People Served (Direct Contact)

Provide the estimated overall number of people (members of the public and professionals) to be served and the overall number of direct services delivered by the funded project. The applicant is required to itemize separately the education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimates provided. Refer to [Appendix A](#) for definitions.

4.4.7. 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.

4.4.8. 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.

4.4.9. CPRIT Grants Summary

Use the template provided on the CARS (<https://CPRITGrants.org>). Provide a description of the progress or final results of **all** CPRIT-funded projects of the PD or Co-PD, regardless of their connection to this application. Indicate how the current application builds on the previous work or addresses new areas of cancer prevention and control services. Applications that are missing

this document and for which CPRIT records show a PD and/or Co-PD with previous or current CPRIT funds will be administratively withdrawn.

4.4.10. 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.

- **Average Cost of Services:** The cost per person served will be automatically calculated from the total cost of the project divided by the total number of people (both public and professionals) served (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 are not 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. (<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 target 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 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](#).

4.4.11. Current and Pending Support and Sources of Funding

Please use the template provided on 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.

4.4.12. 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.

Each Project Lead must provide a biographical sketch. Up to 10 additional biographical sketches, including the project lead biosketches, 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.

4.4.13. 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 project (eg, evaluation, clinical services, recruitment to screening).

4.4.14. 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 project.

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 CRC 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?
- Does the project address adaptation, if applicable, of the evidence-based intervention to the target population?
- Does the project address known gaps in prevention services and avoid duplication of effort?
- Does the proposed coalition demonstrate that the collaborative effort will provide a greater impact on CRC 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 project 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 target population and culturally appropriate methods to reach the target population clearly described?
- Does the coordinating organization demonstrate the ability to provide coordination, monitoring, reporting, and technical assistance to the coalition?
- Does the applicant demonstrate the availability of coalition resources and expertise to provide comprehensive services including case management, follow-up for abnormal results, and access to treatment?
- Does the project leverage partners and resources to maximize the reach of the services proposed? Does the project 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 proposed goals and objectives, 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 a qualitative analysis or process evaluation of the effectiveness of the coalition as well as 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 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

Secondary criteria contribute to the global score assigned to the application. Lack of information or clarity on these criteria may result in a lower global score. Included in the secondary evaluation criteria are the following:

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?
- Does the project or do some components of the project lend themselves to scalability/expansion by others in the state? If so, does the application describe a plan for doing so?

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 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 December 1, 2016), 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. WEBINAR TO ANSWER APPLICANT QUESTIONS

CPRIT will host a webinar to provide an overview of this RFA and a demonstration of CARS. A programmatic and technical question-and-answer session will be included. Applicants should sign up for CPRIT's electronic mailing list at <http://www.cprit.texas.gov/about-cprit/newsletter> to ensure that they receive notification of this webinar.

9. RESOURCES

- The Texas Cancer Registry. <http://www.dshs.state.tx.us/tcr>
- 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>

10. REFERENCES

1. <http://www.cancer.org/cancer/colonandrectumcancer/moreinformation/colonandrectumcancerearlydetection/colorectal-cancer-early-detection-acs-recommendations>
2. <http://www.uspreventiveservicestaskforce.org/uspstf/uspcolo.htm>
3. <http://www.thecommunityguide.org/cancer/index.html>
4. 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.)
- **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.)

- **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 target population must be included as part of each objective.)
- **People Reached (Indirect contact):** Number of members of the public and/or professionals reached via 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 delivery, or clinical service delivery, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults (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 CRC 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 CRC 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) Research
Peer Review Observation Report*

Report No. 2017-06-1- PREV
Program Name: Prevention
Panel Name: FY17.2 Prevention Panel 1 (CPRIT Peer Review Meeting - Panel 1)

Panel Date: May 31-June 1, 2017
Report Date: June 1, 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 FY17 funding. The meeting was chaired by Ross Brownson, and held at the Marriott Suites Medical/Market Center in Dallas, Texas on May 31-June 1, 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

The 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 within the Prevention peer review meeting to score applications for funding;
- Participants: twelve peer review panelists including the Panel Chairperson; two advocate reviewers; and nine peer review panelists. Two additional peer review participants joined telephonically (Dr. Stephen Wyatt, Prevention Review Council Chairman participated in the conference; Will Montgomery, Oversight Committee member joined for the review of one application);
- Two CPRIT staff members and six CSRA employees were present for the meeting. We confirmed with CSRA that two additional CSRA staff were present for a portion or all of the meeting in a technical support capacity;
- 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 COIs were identified prior to the meeting; one additional COI was identified during the peer review panel; one of the applications had two COIs;
- One application with a COI was not discussed;
- The Chairman of the peer review committee was one of the COIs; Dr. Frank Bright temporarily chaired the committee while the chairman left the discussion for that application
- 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 FY17.2 Prevention Panel 1 peer review 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,

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

June 1, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-06-02- PREV
Program Name: Prevention
Panel Name: FY17.2 Prevention Panel 2 (CPRIT Peer Review Meeting - Panel 2)

Panel Date: June 1-2, 2017
Report Date: June 2, 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 FY17 funding. The meeting was chaired by Nancy Lee, and held at the Marriott Suites Medical/Market Center in Dallas, Texas on June 1-2, 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

The 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:

- Fifteen applications were discussed within the Prevention peer review meeting to score applications for funding;
- Participants: ten peer review panelists including the Panel Chairperson; two advocate reviewers; and seven review panelists. One additional peer review participant (Dr. Stephen Wyatt, Prevention Review Council Chairman) participated telephonically;
- Two CPRIT staff members and four CSRA employees were present for the meeting. We confirmed with CSRA that two additional CSRA staff were present for a portion or all of the meeting in a technical support capacity. Two additional contractors participated in a technical support role;
- 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):

- Four applications with COIs were identified prior to the meeting.
- 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 – 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

June 2, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-07-06_PRC_17.2
Program Name: Prevention
Panel Name: FY17.2 Prevention Review Council Programmatic Review

Panel Date: July 06, 2017
Report Date: July 06, 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 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 FY17.2 Prevention Review Council Programmatic Review. The meeting was chaired by Stephen Wyatt and conducted telephonically on July 06, 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 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 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 recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Prevention Review Council teleconference. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the recruitment meeting:

- Thirteen applications were discussed;
- Participants: Three council panelists including the Chairperson;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

There were no conflicts of interest (COIs) identified. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

Conclusion

In conclusion; we observed that the activities of the Prevention Review Council 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,



Paul Morris, CPA, CIA
Vice President, Compliance and Advisory Services
Business and Financial Management Solutions, LLC
July 6, 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.

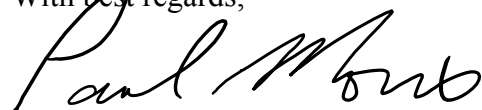
Conclusion

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

Conflicts of Interest Disclosure

**Conflicts of Interest Disclosure
Prevention Cycle 17.2 Applications
(Prevention Cycle 17.2 Awards Announced at August 16, 2017, and February 21, 2018,
Oversight Committee Meetings)**

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 17.2 include *Evidence-Based Cancer Prevention Services*; *Colorectal Cancer Prevention Coalition*; *Tobacco Control and Lung Cancer Screening*; and *Cancer Prevention Promotion and Navigation to Clinical Services*. 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			
PP170099	Amelie Ramirez	The University of Texas Health Science Center at San Antonio	Michael Eriksen
PP170082	Michael Pignone	The University of Texas at Austin	Marcus Plescia; Angelos Angelou
Applications not considered by the PIC or Oversight Committee			
PP170090	Janice Blalock	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen; Ross Brownson
PP170096	Theodora Ross	The University of Texas Southwestern Medical Center	Jamie Studts
PP170141*	David Auzenne	Texas Department of State Health Services	Michael Eriksen
PP170142	David Auzenne	Texas Department of State Health Services	Michael Eriksen

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
PP170078	Lewis Foxhall	The University of Texas M. D. Anderson Cancer Center	Kevin Brady
PP170104	Mary Tripp	The University of Texas M. D. Anderson Cancer Center	Robin Vanderpool
PP170107	Banu Arun	The University of Texas M. D. Anderson Cancer Center	Robin Vanderpool

De-Identified Overall Evaluation Scores

Colorectal Cancer Prevention Coalition

Prevention Cycle 17.2

Updated to reflect recommendation by Prevention Review Council (PRC) on January 18, 2018.

The Oversight Committee approved PP170068 and PP170082 for award at the August 2018 meeting. The Prevention Review Council took no action on PP170078 until January 18, 2018, when the PRC recommended the application for funding.

Application ID	Final Overall Evaluation Score
PP170068*	1.7
PP170082*	2.1
PP170078*	3.1
ab	3.8

*= Recommended for award

Colorectal Cancer Prevention Coalition

Prevention Cycle 17.2

Application ID	Final Overall Evaluation Score
PP170068*	1.7
PP170082*	2.1
aa	3.1
ab	3.8

*= 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 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

Pete Geren
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to pgcprnit@sidrichardson.org

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

Dear Mr. Roberts and Mr. Geren;

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 FY2017.

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 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 projected funding available for this fiscal year is \$14,146,426.

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 of the recommended grants address one or more of the Prevention Program priorities.

Sincerely,

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

App ID	Mech.	Application Title	PD	Organization	Score	Rank Order	Comments	Rec Budget
PP170094	EBP	Expanding a Community Network for Cancer Prevention to Improve Cervical and Colorectal Screening and Follow-Up Among an Urban Medically Underserved Population	Jibaja-Weiss, Maria L	Baylor College of Medicine	1.2	1	Reduce budget 10%	\$1,347,590
PP170068	CRC	Southwest Coalition for Colorectal Cancer Screening (SuCCCeS)	Shokar, Navkiran K	Texas Tech University Health Sciences Center at El Paso	1.7	2	Reduce budget 10%	\$3,679,823
PP170070	TCL	Taking Texas Tobacco Free: Increasing Tobacco Cessation In Substance Use Treatment Centers via an Evidence-based, Comprehensive Tobacco-free Workplace Program	Reitzel, Lorraine R	University of Houston	2.0	3	Reduce budget 10%	\$1,348,851
PP170082	CRC	Improving Colorectal Cancer Screening in Vulnerable Populations in Travis County	Pignone, Michael	The University of Texas at Austin	2.1	4	Reduce budget 10%	\$2,292,971
PP170099	TCL	Mobile Cessation Services for Young Adult Rural, Low-Income, and Spanish-Speaking Smokers	Ramirez, Amelie G	The University of Texas Health Science Center at San Antonio	2.2	5	Reduce budget 10%	\$1,302,641
PP170088	EBP	Access to Breast and Cervical Care for West Texas (ABC24WT)	Layeequr Rahman, Rakhshanda	Texas Tech University Health Sciences Center	2.4	6	Reduce budget 10%	\$1,349,730
PP170091	EBP	Empower Her To Care Expansion(EHC4):Increasing Access to Breast Cancer Screening and the Continuum of Care for Underserved Texas Women	Joseph, Bernice	The Rose	3.1	7	Reduce budget 10%	\$1,347,531

PP170037 Deferred from 17.1	CCE- EBP	Continuation/Expansion of Texas A&M's Breast and Cervical Cancer Prevention Program for Underserved Women through a Family Medicine Residency	McClellan, David A	Texas A&M University System Health Science Center	3.4	8	Reduce budget 10%	\$1,350,000
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CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycle 2
Evidence-Based Cancer Prevention Services

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-17.2-EBP

Evidence-Based Cancer Prevention Services

**Please also refer to the Instructions for Applicants document,
which will be posted on December 1, 2016**

Application Receipt Opening Date: December 1, 2016
Application Receipt Closing Date: March 2, 2017

FY 2017

Fiscal Year Award Period
September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 11/17/16 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 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, and follow-up navigation.

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 review CPRIT's Evidence-Based Cancer Prevention Services–Tobacco Control and Lung Cancer Screening.
- **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.

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. While some insured individuals may fall within these definitions, insured populations are not the target of CPRIT's 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 one-time screening for HCV infection in adults born between 1945 and 1965.
<ul style="list-style-type: none"> Increasing screening rates in PHR 8 and 11 where incidence rates are highest; 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 Texas-Mexico border counties. Women in these counties have a 30% higher cervical cancer mortality rate than women in nonborder counties.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.

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 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.
- 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 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 FY17.2 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 4.4.9.1](#)).
- 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	November 17, 2016
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Application

Online application opens	December 1, 2016, 7 AM central time
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Application due	March 2, 2017, 3 PM central time
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Application review	June 2017
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Award

Award notification	August 2017
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Anticipated start date	September 2017
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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 Authorized 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 December 1, 2016, and must be submitted by 3 PM central time on March 2, 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. 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 will 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 included in the project plan only. The maximum number is 4 goals with 3 objectives each. Projects will be evaluated annually on progress toward 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, not 2017, March-May).

4.4.4. Project Plan (15 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. *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. People Served (Direct Contact)

Provide the estimated overall number of direct services delivered to members of the public and to professionals by the funded project. 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. 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.

4.4.8. 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.

4.4.9. Continuation/Expansion Application Documents

If the project proposed is being submitted for a continuation/expansion grant, the additional documents outlined in [section 4.4.9.1](#) and [section 4.4.9.2](#) are required.

4.4.9.1 Continuation/Expansion Summary (2 pages)

Upload a summary that outlines the progress made with the original, and if applicable, most recently funded CPRIT award (for projects which have received multiple awards) and outlines the proposed use of continuation/expansion funding and the resulting value for Texas. Applicants must describe and demonstrate that appropriate/adequate progress has been made on the original and/or most recently funded award to warrant further funding.

The continuation/expansion summary must include information for the original funded project, the most recently funded project (if different from the original project, for those projects that have received multiple CPRIT awards), and the proposed continuation/expansion 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 original project and the most recently funded project (again, only if different from the original project) with the proposed continuation/expansion project.

Describe how the project has evolved from the original project. In the description include a discussion of the following:

- The evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- Project Results and Outcomes: Address how the need for the evidence-based service was met by describing qualitative results, quantitative results, and outcomes of the project(s). Explain any barriers or obstacles encountered and strategies used to overcome these.
- Integration and Capacity Building: Describe steps taken toward integration and capacity building for components of the projects.
- Dissemination/Adaptation: Describe how project results were disseminated or plans for future dissemination of results.

4.4.9.2 Goal and Objectives for Most Recently Funded Project (Competitive/Expansion Applications Only)

If a competitive/expansion application is being submitted, goals and objectives must be completed for the original or the most recently funded project. The original project is defined as the first funded project upon which this application is based. If the project has received precisely one CPRIT award, then the original project is also the most recently funded project. If the project has received multiple CPRIT awards, the original project is not the most recently funded project.

If the competitive/expansion application is for continuation of an original project, enter the goals and objectives for the original funded project, and progress made toward each goal and objective, in the **Goals and Objectives of Most Recently Funded Project template** form provided on the CARS (<https://CPRITGrants.org>).

If the continuation/expansion application is for a subsequent project (not the original project), complete the **CPRIT Grants Summary template** (see [section 4.4.10](#)) for the original project, regardless of the PD or Co-PD of the original project (who may or may not have changed since the original project). **In addition**, enter the goals and objectives for only the most recently funded project, and progress made toward each goal and objective, in the **Goals and Objectives of Most Recently Funded Project template** form provided on the CARS (<https://CPRITGrants.org>).

When completing the form, provide an explanation if goals and objectives were not fully met. Include the number and type of each clinical, education, and navigation service delivered as well as the percent change from the initial baseline. If the baseline was 0, report against the baseline that was established during the original project.

4.4.10 CPRIT Grants Summary

Use the template provided on the CARS (<https://CPRITGrants.org>). Provide a description of the progress or final results of **all** CPRIT-funded projects of the PD or Co-PD, regardless of their connection to this application. Indicate how the current application builds on the previous work or addresses new areas of cancer prevention and control services. Applications that are missing this document and for which CPRIT records show a PD and/or Co-PD with previous or current CPRIT funds will be administratively withdrawn.

4.4.11 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](#).

4.4.12 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. For continuation/expansion applications, information for the original/most recently funded project need not be included here.

4.4.13 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.

4.4.14 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).

4.4.15 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 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 December 1, 2016), 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. WEBINAR TO ANSWER APPLICANT QUESTIONS

CPRIT will host a webinar to provide an overview of this RFA and a demonstration of CARS. A programmatic and technical question-and-answer session will be included. Applicants should sign up for CPRIT's electronic mailing list at <http://www.cprit.texas.gov/about-cprit/newsletter> to ensure that they receive notification of this webinar.

9. 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>

10. 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.)
- **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.)

- **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.)
- **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 services delivered 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. One individual may receive multiple services (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) Research
Peer Review Observation Report*

Report No. 2017-06-1- PREV
Program Name: Prevention
Panel Name: FY17.2 Prevention Panel 1 (CPRIT Peer Review Meeting - Panel 1)

Panel Date: May 31-June 1, 2017
Report Date: June 1, 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 FY17 funding. The meeting was chaired by Ross Brownson, and held at the Marriott Suites Medical/Market Center in Dallas, Texas on May 31-June 1, 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

The 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 within the Prevention peer review meeting to score applications for funding;
- Participants: twelve peer review panelists including the Panel Chairperson; two advocate reviewers; and nine peer review panelists. Two additional peer review participants joined telephonically (Dr. Stephen Wyatt, Prevention Review Council Chairman participated in the conference; Will Montgomery, Oversight Committee member joined for the review of one application);
- Two CPRIT staff members and six CSRA employees were present for the meeting. We confirmed with CSRA that two additional CSRA staff were present for a portion or all of the meeting in a technical support capacity;
- 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 COIs were identified prior to the meeting; one additional COI was identified during the peer review panel; one of the applications had two COIs;
- One application with a COI was not discussed;
- The Chairman of the peer review committee was one of the COIs; Dr. Frank Bright temporarily chaired the committee while the chairman left the discussion for that application
- 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 FY17.2 Prevention Panel 1 peer review 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,

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

June 1, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-06-02- PREV
Program Name: Prevention
Panel Name: FY17.2 Prevention Panel 2 (CPRIT Peer Review Meeting - Panel 2)

Panel Date: June 1-2, 2017
Report Date: June 2, 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 FY17 funding. The meeting was chaired by Nancy Lee, and held at the Marriott Suites Medical/Market Center in Dallas, Texas on June 1-2, 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

The 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:

- Fifteen applications were discussed within the Prevention peer review meeting to score applications for funding;
- Participants: ten peer review panelists including the Panel Chairperson; two advocate reviewers; and seven review panelists. One additional peer review participant (Dr. Stephen Wyatt, Prevention Review Council Chairman) participated telephonically;
- Two CPRIT staff members and four CSRA employees were present for the meeting. We confirmed with CSRA that two additional CSRA staff were present for a portion or all of the meeting in a technical support capacity. Two additional contractors participated in a technical support role;
- 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):

- Four applications with COIs were identified prior to the meeting.
- 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 – 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

June 2, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-07-06_PRC_17.2
Program Name: Prevention
Panel Name: FY17.2 Prevention Review Council Programmatic Review

Panel Date: July 06, 2017
Report Date: July 06, 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 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 FY17.2 Prevention Review Council Programmatic Review. The meeting was chaired by Stephen Wyatt and conducted telephonically on July 06, 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 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 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 recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Prevention Review Council teleconference. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the recruitment meeting:

- Thirteen applications were discussed;
- Participants: Three council panelists including the Chairperson;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

There were no conflicts of interest (COIs) identified. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

Conclusion

In conclusion; we observed that the activities of the Prevention Review Council 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,



Paul Morris, CPA, CIA
Vice President, Compliance and Advisory Services
Business and Financial Management Solutions, LLC
July 6, 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.

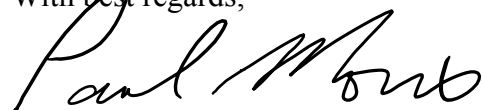
Conclusion

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

Conflicts of Interest Disclosure

**Conflicts of Interest Disclosure
Prevention Cycle 17.2 Applications
(Prevention Cycle 17.2 Awards Announced at August 16, 2017, and February 21, 2018,
Oversight Committee Meetings)**

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 17.2 include *Evidence-Based Cancer Prevention Services*; *Colorectal Cancer Prevention Coalition*; *Tobacco Control and Lung Cancer Screening*; and *Cancer Prevention Promotion and Navigation to Clinical Services*. 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			
PP170099	Amelie Ramirez	The University of Texas Health Science Center at San Antonio	Michael Eriksen
PP170082	Michael Pignone	The University of Texas at Austin	Marcus Plescia; Angelos Angelou
Applications not considered by the PIC or Oversight Committee			
PP170090	Janice Blalock	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen; Ross Brownson
PP170096	Theodora Ross	The University of Texas Southwestern Medical Center	Jamie Studts
PP170141*	David Auzenne	Texas Department of State Health Services	Michael Eriksen
PP170142	David Auzenne	Texas Department of State Health Services	Michael Eriksen

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
PP170078	Lewis Foxhall	The University of Texas M. D. Anderson Cancer Center	Kevin Brady
PP170104	Mary Tripp	The University of Texas M. D. Anderson Cancer Center	Robin Vanderpool
PP170107	Banu Arun	The University of Texas M. D. Anderson Cancer Center	Robin Vanderpool

De-Identified Overall Evaluation Scores

Evidence-Based Prevention Services

Prevention Cycle 17.2

Updated to reflect recommendation by Prevention Review Council on January 18, 2018.

At their meeting on July 6, 2017, the Prevention Review Council (PRC) took no action on PP170121 in response to this RFA with an equal or more favorable score than those recommended. 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. The PRC recommended PP170121 for funding on January 18, 2018.

Application ID	Final Overall Evaluation Score
PP170094*	1.2
PP170121*	1.3
PP170088*	2.4
PP170091*	3.1
bb	3.4
bc	3.6
bd	3.6
be	4.1
bf	4.6
bg	4.8
bh	4.8
bi	4.9
bj	4.9
bk	5.3
bl	5.6
bm	5.7
bn	5.8

*= Recommended for award

Evidence-Based Prevention Services

Prevention Cycle 17.2

At their meeting on July 6, 2017, the Prevention Review Council (PRC) took no action on one de-identified application in response to this RFA with an equal or more favorable score than those recommended. 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
PP170094*	1.2
ba	1.3
PP170088*	2.4
PP170091*	3.1
bb	3.4
bc	3.6
bd	3.6
be	4.1
bf	4.6
bg	4.8
bh	4.8
bi	4.9
bj	4.9
bk	5.3
bl	5.6
bm	5.7
bn	5.8

*= 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 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

Pete Geren
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to pgcprnit@sidrichardson.org

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

Dear Mr. Roberts and Mr. Geren;

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 FY2017.

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 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 projected funding available for this fiscal year is \$14,146,426.

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 of the recommended grants address one or more of the Prevention Program priorities.

Sincerely,

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

App ID	Mech.	Application Title	PD	Organization	Score	Rank Order	Comments	Rec Budget
PP170094	EBP	Expanding a Community Network for Cancer Prevention to Improve Cervical and Colorectal Screening and Follow-Up Among an Urban Medically Underserved Population	Jibaja-Weiss, Maria L	Baylor College of Medicine	1.2	1	Reduce budget 10%	\$1,347,590
PP170068	CRC	Southwest Coalition for Colorectal Cancer Screening (SuCCCeS)	Shokar, Navkiran K	Texas Tech University Health Sciences Center at El Paso	1.7	2	Reduce budget 10%	\$3,679,823
PP170070	TCL	Taking Texas Tobacco Free: Increasing Tobacco Cessation In Substance Use Treatment Centers via an Evidence-based, Comprehensive Tobacco-free Workplace Program	Reitzel, Lorraine R	University of Houston	2.0	3	Reduce budget 10%	\$1,348,851
PP170082	CRC	Improving Colorectal Cancer Screening in Vulnerable Populations in Travis County	Pignone, Michael	The University of Texas at Austin	2.1	4	Reduce budget 10%	\$2,292,971
PP170099	TCL	Mobile Cessation Services for Young Adult Rural, Low-Income, and Spanish-Speaking Smokers	Ramirez, Amelie G	The University of Texas Health Science Center at San Antonio	2.2	5	Reduce budget 10%	\$1,302,641
PP170088	EBP	Access to Breast and Cervical Care for West Texas (ABC24WT)	Layeequr Rahman, Rakhshanda	Texas Tech University Health Sciences Center	2.4	6	Reduce budget 10%	\$1,349,730
PP170091	EBP	Empower Her To Care Expansion(EHC4):Increasing Access to Breast Cancer Screening and the Continuum of Care for Underserved Texas Women	Joseph, Bernice	The Rose	3.1	7	Reduce budget 10%	\$1,347,531

PP170037 Deferred from 17.1	CCE- EBP	Continuation/Expansion of Texas A&M's Breast and Cervical Cancer Prevention Program for Underserved Women through a Family Medicine Residency	McClellan, David A	Texas A&M University System Health Science Center	3.4	8	Reduce budget 10%	\$1,350,000
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CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP170121
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 19 applications for this RFA, including two applications that were withdrawn. 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 July 6, 2017, 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 January 18, 2018, and voted to recommended the application.


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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

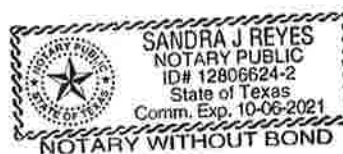
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 2
PROGRAM Prevention
AWARD MECHANISM Evidence-Based Cancer Prevention Services (EBP)
APPLICATION ID PP170121
APPLICATION TITLE Evidence-Based Hepatocellular Cancer Prevention through Targeted Hepatitis C Screening and Navigation
APPLICANT NAME Jain, Mamta
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 17.2 Prevention Panel-1 (17.2 PP-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CPO	11/10/16	07/19/17
	RFA published in Texas.gov eGrants	11/17/16	07/19/17
	CPRIT Application Receipt System (CARS) opened	12/01/16	06/20/17
	CPRIT Application Receipt System (CARS) closed	03/02/17	06/20/17
	Date application submitted	03/01/17	06/20/17
	Method of submission	CARS	06/20/17
	Within receipt period	YES	06/20/17
	Request for extension to submit application after CARS closed	N/A	06/20/17
	Request for extension for late application submission accepted	N/A	06/20/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	06/20/17
	Donation(s) made to CPRIT/foundation	NO	06/20/17
	Assigned to primary reviewers	04/08/17	06/20/17
	Applicant notified of review panel assignment	04/13/17	06/20/17
	Primary Reviewer 1 COI signed	03/20/17	06/20/17
	Primary (Advocate) Reviewer 2 COI signed	03/18/17	06/20/17
	Primary Reviewer 3 COI signed	03/18/17	06/20/17
	Primary Reviewer 4 COI signed	03/22/17	06/20/17
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	05/13/17	06/20/17
	Primary (Advocate) Reviewer 2 critique submitted	05/09/17	06/20/17
	Primary Reviewer 3 critique submitted	05/12/17	06/20/17
	Primary Reviewer 4 critique submitted	05/07/17	06/20/17
	COI indicated by non-primary reviewer	NONE	06/20/17
	COI recused from participation	N/A	06/20/17
	Discussed at Peer Review Meeting	YES	06/20/17
	Peer Review Meeting	05/31/17 - 06/01/17	06/20/17
	Post review statements signed	06/06/17	06/20/17
	Third Party Observer Report	6/1/2017	07/19/17
	Score report delivered to CPO	06/23/17	07/12/17
	Recommended for PRC Review	YES	06/20/17
4. Final PRC Recommendation	COI indicated by PRC member	NONE	07/12/17
	COI recused from participation	N/A	07/12/17
	PRC Meeting	07/06/17	07/12/17
	Third Party Observer Report	07/06/17	07/26/17
	Recommended for grant award	NO ACTION*	07/12/17
	PRC Chair Notification to PIC and OC	07/10/17	07/19/17
	COI indicated by PRC member	NONE	01/23/18
	COI recused from participation	N/A	01/23/18
	PRC Meeting	01/18/18	01/23/18
	Third Party Observer Report	01/18/18	01/29/18
	Recommended for grant award	YES	01/23/18
	PRC Chair Notification to PIC and OC	1/19/2018**	01/29/18
5. PIC Review	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	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, 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.

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180003
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 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:

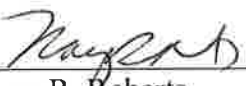
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating 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

At their meeting on January 18, 2018, the Prevention Review Council (PRC) recommended three applications from this RFA. One of these applications was recommended ahead of applications with a more favorable score. The PRC also took no action on three applications with more favorable scores. 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



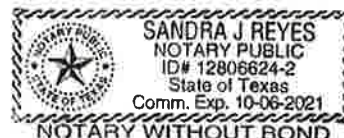
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 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 PP180003
 APPLICATION TITLE BEST 2: Breast Cancer Education Screening and Navigation (BEST) Program for El Paso and West Texas
 APPLICANT NAME Shokar, Navkiran
 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)	01/24/18
	RFA published in Texas.gov eGrants	06/08/17	01/24/18
	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
	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	10/05/17	01/12/18
	Primary (Advocate) Reviewer 2 COI signed	10/05/17	01/12/18
	Primary Reviewer 3 COI signed	10/09/17	01/12/18
	Primary Reviewer 4 COI signed	10/12/17	01/12/18
3. Peer Review Meeting	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	11/20/17	01/12/18
	Primary Reviewer 4 critique submitted	11/15/17	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
	Score report delivered to CPO	12/21/17	01/12/18
	Recommended for PRC Review	YES	01/12/18
4. Final PRC Recommendation	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	01/29/18
	Recommended for grant award	YES	01/22/18
	PRC Chair Notification to PIC and OC	1/19/2018**	01/29/18
5. PIC Review	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

**The PRC Chair Notification letter was resent on 2/1/18 to correct a non-substantive issue.

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180016
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 seven applications in response to this RFA, including one application that was withdrawn. 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.

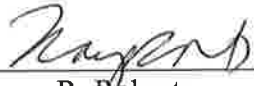
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

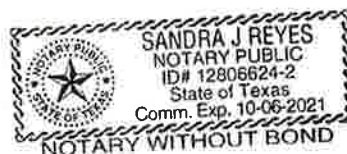
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 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 Tobacco Control and Lung Cancer Screening (TCL)
APPLICATION ID PP180016
APPLICATION TITLE Equitable Access to Lung Cancer Screening and Smoking Cessation
 Treatment: A Comprehensive Primary Care and Community Health Approach
APPLICANT NAME Zoorob, Roger
ORGANIZATION Baylor College of Medicine
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)	01/24/18
	RFA published in Texas.gov eGrants	06/08/17	01/24/18
	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	08/24/17	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	10/13/17	01/12/18
	Primary (Advocate) Reviewer 2 COI signed	10/05/17	01/12/18
	Primary Reviewer 3 COI signed	10/06/17	01/12/18
3. Peer Review Meeting	Primary Reviewer 4 COI signed	10/09/17	01/12/18
	Primary Reviewer 1 critique submitted	11/28/17	01/12/18
	Primary (Advocate) Reviewer 2 critique submitted	11/06/17	01/12/18
	Primary Reviewer 3 critique submitted	11/20/17	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
	Third Party Observer Report	12/12/17	01/12/18
	Score report delivered to CPO	12/21/17	01/12/18
4. Final PRC Recommendation	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	01/29/18
	Recommended for grant award	YES	01/22/18
5. PIC Review	PRC Chair Notification to PIC and OC	1/19/2018**	01/29/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

**The PRC Chair Notification letter was resent on 2/1/18 to correct a non-substantive issue.

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180025
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 seven applications in response to this RFA, including one application that was withdrawn. 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



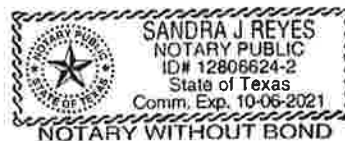
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 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 Tobacco Control and Lung Cancer Screening (TCL)
 APPLICATION ID PP180025
 APPLICATION TITLE Lung Cancer Screening and Patient Navigation (LSPAN)
 APPLICANT NAME Argenbright, Keith
 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)	01/24/18
	RFA published in Texas.gov eGrants	06/08/17	01/24/18
	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
	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	10/09/17	01/12/18
	Primary (Advocate) Reviewer 2 COI signed	10/05/17	01/12/18
	Primary Reviewer 3 COI signed	10/06/17	01/12/18
	Primary Reviewer 4 COI signed	10/09/17	01/12/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	11/20/17	01/12/18
	Primary (Advocate) Reviewer 2 critique submitted	11/06/17	01/12/18
	Primary Reviewer 3 critique submitted	11/20/17	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
	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
4. Final PRC Recommendation	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	01/29/18
	Recommended for grant award	YES	01/22/18
	PRC Chair Notification to PIC and OC	1/19/2018**	01/29/18
5. PIC Review	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

**The PRC Chair Notification letter was resent on 2/1/18 to correct a non-substantive issue.

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180031
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 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

At their meeting on January 18, 2018, the Prevention Review Council (PRC) recommended three applications from this RFA. One of these applications was recommended ahead of applications with a more favorable score. The PRC also took no action on three applications with more favorable scores. 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

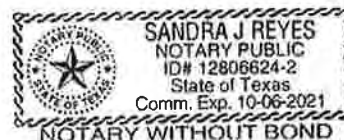
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 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 PP180031
APPLICATION TITLE Get FIT to Stay Fit. Stepping Up to Fight Colorectal Cancer in the Panhandle
APPLICANT NAME Obokhare, Izi
ORGANIZATION Texas Tech University Health Sciences 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)	01/24/18
	RFA published in Texas.gov eGrants	06/08/17	01/24/18
	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	10/05/17	01/12/18
	Primary (Advocate) Reviewer 2 COI signed	10/05/17	01/12/18
	Primary Reviewer 3 COI signed	10/12/17	01/12/18
	Primary Reviewer 4 COI signed	10/07/17	01/12/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	11/13/17	01/12/18
	Primary (Advocate) Reviewer 2 critique submitted	11/20/17	01/12/18
	Primary Reviewer 3 critique submitted	11/16/17	01/12/18
	Primary Reviewer 4 critique submitted	10/27/17	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
	Score report delivered to CPO	12/21/17	01/12/18
4. Final PRC Recommendation	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	01/29/18
	Recommended for grant award	YES	01/22/18
	PRC Chair Notification to PIC and OC	1/19/2018**	01/29/18
5. PIC Review	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

**The PRC Chair Notification letter was resent on 2/1/18 to correct a non-substantive issue.

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180037
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 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

At their meeting on January 18, 2018, the Prevention Review Council (PRC) recommended three applications from this RFA. One of these applications was recommended ahead of applications with a more favorable score. The PRC also took no action on three applications with more favorable scores. 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



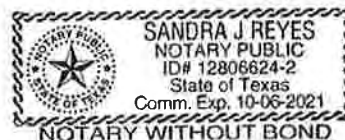
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 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 PP180037
APPLICATION TITLE Advancing an Established Colorectal Cancer Prevention Program for Rural and Underserved Texans through A&M's Family Medicine Residency
APPLICANT NAME McClellan, David
ORGANIZATION Texas A&M University System Health Science 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)	01/24/18
	RFA published in Texas.gov eGrants	06/08/17	01/24/18
	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	10/07/17	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
	Primary Reviewer 4 COI signed	10/04/17	01/12/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	10/27/17	01/12/18
	Primary (Advocate) Reviewer 2 critique submitted	11/19/17	01/12/18
	Primary Reviewer 3 critique submitted	11/10/17	01/12/18
	Primary Reviewer 4 critique submitted	11/04/17	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
	Score report delivered to CPO	12/21/17	01/12/18
4. Final PRC Recommendation	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	01/29/18
	Recommended for grant award	YES	01/22/18
5. PIC Review	PRC Chair Notification to PIC and OC	1/19/2018**	01/29/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
6. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

**The PRC Chair Notification letter was resent on 2/1/18 to correct a non-substantive issue.

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP180065
Dissemination of CPRIT-Funded Control Intervention

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

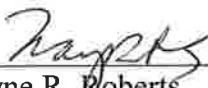
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

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

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

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

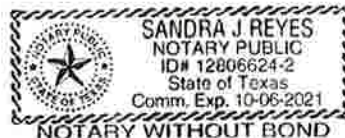
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18

CYCLE 2

PROGRAM Prevention

AWARD MECHANISM Dissemination of CPRIT-Funded Cancer Control Interventions (DI)

APPLICATION ID PP180065

APPLICATION TITLE Disseminating Cancer Control Framework and Strategies, a UT System Partnership

APPLICANT NAME Argenbright, Keith

ORGANIZATION The University of Texas Southwestern Medical Center

PANEL NAME 18.2 Prevention DI (18.2 DI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CPO	06/05/17 (initial) 7/26/17 (revised) 10/18/17 (revised)	01/24/18
	RFA published in Texas.gov eGrants	10/27/17	01/24/18
	CPRIT Application Receipt Cycle opened	10/04/17	01/23/18
	CPRIT Application Receipt Cycle closed	12/05/17	01/23/18
	Date application submitted	12/04/17	01/23/18
	Method of submission	CARS	01/23/18
	Within receipt period	YES	01/23/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/23/18
	Donation(s) made to CPRIT/foundation	NO	01/23/18
	Assigned to primary reviewers	12/18/17	01/23/18
	Applicant notified of review panel assignment	N/A	01/23/18
	Primary Reviewer 1 COI signed	12/14/17	01/23/18
	Primary (Advocate) Reviewer 2 COI signed	12/18/17	01/23/18
3. Peer Review Meeting	Primary Reviewer 3 COI signed	12/13/17	01/23/18
	Primary Reviewer 1 critique submitted	01/06/18	01/23/18
	Primary (Advocate) Reviewer 2 critique submitted	01/07/18	01/23/18
	Primary Reviewer 3 critique submitted	N/A	01/23/18
	COI indicated by non-primary reviewer	NONE	01/23/18
	COI recused from participation	N/A	01/23/18
	Discussed at Peer Review Meeting	YES	01/23/18
	Peer Review Meeting	01/18/18	01/23/18
	Post review statements signed	01/21/18	01/23/18
	Third Party Observer Report	1/18/2018	02/06/18
4. Final PRC Recommendation	Score report delivered to CPO	01/19/18	01/23/18
	Recommended for PRC Review	YES	01/23/18
	COI indicated by PRC member	NONE	01/23/18
	COI recused from participation	N/A	01/23/18
	PRC Meeting	01/18/18	01/23/18
	Third Party Observer Report	01/18/18	01/29/18
5. PIC Review	Recommended for grant award	YES	01/23/18
	PRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
6. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP170078
Colorectal Cancer Prevention Coalition

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 *Colorectal Cancer Prevention Coalition* Request for Applications (RFA). CPRIT received four 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:

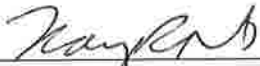
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating 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 July 6, 2017, 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 January 18, 2018, and voted to recommended the application.

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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



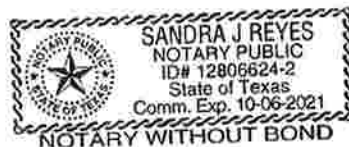
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 2
PROGRAM Prevention
AWARD MECHANISM Colorectal Cancer Prevention Coalition (CRC)
APPLICATION ID PP170078
APPLICATION TITLE Alliance for Colorectal Cancer Testing 2.0 (ACT 2.0)
APPLICANT NAME Foxhall, Lewis
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 17.2 Prevention Panel-2 (17.2 PP-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CPO	11/10/16	07/19/17
	RFA published in Texas.gov eGrants	11/17/16	07/19/17
	CPRIT Application Receipt System (CARS) opened	12/01/16	06/20/17
	CPRIT Application Receipt System (CARS) closed	03/02/17	06/20/17
	Date application submitted	03/02/17	06/20/17
	Method of submission	CARS	06/20/17
	Within receipt period	YES	06/20/17
	Request for extension to submit application after CARS closed	N/A	06/20/17
	Request for extension for late application submission accepted	N/A	06/20/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	06/20/17
	Donation(s) made to CPRIT/foundation	NO	06/20/17
	Assigned to primary reviewers	03/16/17	06/20/17
	Applicant notified of review panel assignment	04/13/17	06/20/17
	Primary Reviewer 1 COI signed	03/25/17	06/20/17
	Primary (Advocate) Reviewer 2 COI signed	03/21/17	06/20/17
	Primary Reviewer 3 COI signed	03/16/17	06/20/17
3. Peer Review Meeting	Primary Reviewer 4 COI signed	03/20/17	06/20/17
	Primary Reviewer 1 critique submitted	05/06/17	06/20/17
	Primary (Advocate) Reviewer 2 critique submitted	05/15/17	06/20/17
	Primary Reviewer 3 critique submitted	05/13/17	06/20/17
	Primary Reviewer 4 critique submitted	05/15/17	06/20/17
	COI indicated by non-primary reviewer	Kevin Brady	06/20/17
	COI recused from participation	YES	06/20/17
	Discussed at Peer Review Meeting	YES	06/20/17
	Peer Review Meeting	06/01/17-06/02/17	06/20/17
	Post review statements signed	06/02/17	06/20/17
	Third Party Observer Report	6/2/2017	07/19/17
	Score report delivered to CPO	06/23/17	07/12/17
4. Final PRC Recommendation	Recommended for PRC Review	YES	06/20/17
	COI indicated by PRC member	NONE	07/12/17
	COI recused from participation	N/A	07/12/17
	PRC Meeting	07/06/17	07/12/17
	Third Party Observer Report	07/06/17	07/26/17
	Recommended for grant award	NO ACTION*	07/12/17
	PRC Chair Notification to PIC and OC	07/10/17	07/19/17
	COI indicated by PRC member	NONE	01/23/18
	COI recused from participation	N/A	01/23/18
	PRC Meeting	01/18/18	01/23/18
	Third Party Observer Report	01/18/18	01/29/18
	Recommended for grant award	YES	01/23/18
5. PIC Review	PRC Chair Notification to PIC and OC	1/19/2018**	01/29/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
6. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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, 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.

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 1
Individual Investigator Research Awards

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-18.1-IIRA

Individual Investigator Research Awards

**Please also refer to the Instructions for Applicants document,
which will be posted on March 15, 2017**

Application Receipt Opening Date: March 15, 2017

Application Receipt Closing Date: June 8, 2017

FY 2018

Fiscal Year Award Period
September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 1/05/17 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 goals of the CPRIT Research Grants Program are to support the discovery of new information about cancer that can lead to prevention, early detection, and cures and to translate new and existing discoveries into practical advances in cancer diagnosis and treatment. CPRIT encourages applications that seek new fundamental knowledge about cancer and cancer development as well as those attempting to develop state-of-the-art technologies, tools, computational models, and/or resources for cancer research, including those with potential commercialization opportunities. This award allows experienced or early career-stage cancer researchers the opportunity to explore new methods and approaches for investigating a question of importance that has been inadequately addressed or for which there may be an absence of an established paradigm or technical framework. CPRIT will look with special favor on new approaches to be taken or new areas of investigation to be explored by established investigators and on supporting the research programs of the most promising investigators at the beginning of their research careers. Applicants need not be trained specifically in cancer research. Indeed, CPRIT strongly encourages investigators from other fields, including the mathematical and computational modeling, physical, chemical, and engineering sciences, to bring their expertise to bear on the exceptionally challenging problems posed by 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 treatment and cure. To fulfill this vision, applications may address any topic or issue related to cancer, including cancer biology, computational modeling, and systems biology, causation, prevention, detection or screening, treatment, or cure. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies. Access to a clinical environment and interaction with translational cancer physician-scientists are highly desirable.

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 Request for Applications (RFA) solicits applications for innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. The goal of awards made in response to this RFA is to fund exceptionally innovative research projects with great

potential impact that are directed by a single investigator. Areas of interest include laboratory research, translational studies, and/or clinical investigations. Applications that include collaboration with computational modeling teams are encouraged. In that cancers arise from a large number of derangements of basic molecular and cellular functions and, 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 is a critical criterion for evaluation of projects for funding by CPRIT ([section 9.4.1](#)). 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 maximum of \$300,000 in total costs per year for up to 3 years for research. Exceptions to these limits may be requested if extremely well justified (see [section 8.2.10](#)). Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation 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.

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 Program.
- The Principal Investigator (PI) 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.

- A PI may not submit applications to this RFA and to RFA-R-18.1-IIRACT, RFA-R-18.1-IIRACB, RFA-R-18.1-IIRACCA, or RFA R-18.1-IIRAP. Only 1 IIRA, IIRACT, IIRACB, IIRACCA, or IIRAP application per cycle is allowed. A PI may submit only 1 new or resubmission application under this RFA during this funding cycle. If submitting a renewal application, a PI may submit both a new or resubmission application and a renewal application under this RFA during this funding cycle.
- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-18.1-IIRACT, RFA-R-18.1-IIRACB, RFA-R-18.1-IIRACCA, or RFA R-18.1-IIRAP.
- An investigator who is the PI on 3 or more CPRIT grants of any type that will be active December 1, 2017, is not eligible to submit an application in response to this RFA.
- Applications that address Prevention and Early Detection, Cancers in Children and Adolescents, or Computational Biology should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included.
- 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 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, and 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 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. 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 8.2.5](#).

7. RENEWAL POLICY

An application funded by CPRIT under this mechanism may be submitted for a competitive renewal. This policy is in effect for all awards submitted to date. See [section 8.2.6](#). Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See [section 9.2](#).

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. 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 March 15, 2017, and must be submitted by 4 PM central time on June 8, 2017. **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 for 1 or more grant applications 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](#). 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 withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

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. **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)).** 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).

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 cancer.

Summarize how the proposed research creates new paradigms or challenges existing ones.

Indicate whether this research plan represents a new direction for the PI.

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 9.2](#)) 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. Resubmission Summary (2 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. 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.

8.2.6. Renewal Summary (2 pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.7. Research Plan (10 pages)

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

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.

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

If vertebrate animals will be used, provide a detailed plan of the protocols that will be followed.

If human subjects or human biological samples will be used, provide a detailed plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, reference biostatistical input for sample selection and evaluation. In addition, certification of

approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

8.2.9. Publications/References

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

8.2.10. Budget and Justification

Provide a compelling and detailed 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:

- 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.cpritis.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.

8.2.11. 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. The NIH biosketch format is appropriate.

8.2.12. 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. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

8.2.13. 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.

8.2.14. 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.

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

To ensure the timely and thorough review of only the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, all eligible applications may be preliminarily evaluated by CPRIT Scientific Research Program panel members for scientific merit and impact.

This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches. Applications that do not sufficiently capture the reviewers’ interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.

The applicant will be notified of the decision to disapprove the application after the preliminary evaluation stage has concluded. Due to the volume of applications to be reviewed, comments made by reviewers at the preliminary evaluation stage may not be provided to applicants. The preliminary evaluation process will be used only when the number of applications exceeds the capacity of the review panels to conduct a full peer review of all received applications.

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further 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 in [section 9.4](#). Applicants will be notified of peer review panel assignments prior to the peer review meeting dates. Peer review panel membership can be found on the CPRIT website. 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 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](#).

9.3. 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 Research 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.

9.4. 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 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.**

9.4.1. 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 results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? 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? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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 sufficient preliminary data and/or 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 and expertise 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 research? This is a critical criterion for evaluation of projects for CPRIT support.

9.4.2. 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: Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

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 January 5, 2017

Application

Online application opens March 15, 2017, 7 AM central time

Application due June 8, 2017, 4 PM central time

Application review August-October 2017

Award

Award notification February 14, 2018

Anticipated start date March 1, 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. 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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703](#),

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

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 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 Peer Review Observation Report*

Report No. 2017-10-16_CB_18.1
Program Name: Academic Research
Panel Name: Cancer Biology 18.1 (CB_18.1)

Panel Date: October 16, 2017
Report Date: October 16, 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 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 Panel 18.1. The meeting was chaired by Peter Jones and conducted in person as well as via conference call at the Houston Marriott North on October 16, 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 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 Cancer Biology peer review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Biology peer review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Cancer Biology peer review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Biology meeting:

- Eighteen of twenty-six applications were discussed to score applicants for funding;
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists participated in the meeting;
- Two CPRIT staff members and eight CSRA employees participated in the meeting. Four additional CSRA staff participated throughout the meeting or intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria;
- Commencement of the Cancer Biology meeting was delayed due to logistical issues related to equipment.

Regarding applications with a conflict of interest (COIs):

- Twelve total applications had fourteen COIs; two of the applications each had two COIs.
- Of the twelve applications with COIs, ten of the applications were discussed and two of the applications were not discussed;
- No additional COIs were identified during the peer review panel;
- The reviewers with conflicts did not participate in the reviews of the conflicted applications. All participating reviewers with a conflict signed out on the COI log when leaving the room. One additional reviewer with several conflicts did not attend or participate telephonically in the meeting.

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

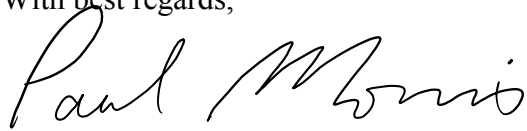
Conclusion

In conclusion; we observed that the activities of the Academic Research - Cancer Biology Panel 18.1 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,

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
October 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-18_BCR_18.1 Panel 2
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_2 (CPRIT BCR-2)

Panel Date: October 18, 2017
Report Date: October 18, 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 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 Basic Cancer Research 18.1_2 Peer Review Meeting. The meeting was chaired by Carol Prives and conducted in person as well as via conference call at the Houston Marriott North on October 18, 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 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 Basic Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_2 meeting:

- Seventeen out of thirty-five applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: Seventeen peer review panelists including the Panel Chairperson, two advocate reviewers and the remaining fourteen peer review panelists;
- Two CPRIT staff members and seven CSRA employees participated in the meeting. Three additional CSRA or hotel staff participated intermittently or entered the room in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Three applications with COIs were identified prior to the meeting. One additional COI was identified during the peer review panel and addressed before the application was discussed;
- One additional application with a COI was not discussed.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers 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.

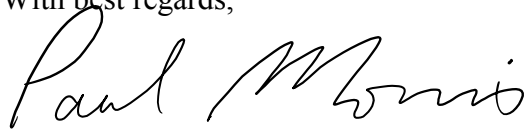
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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,

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
October 18, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-19_C/TCR_18.1
Program Name: Academic Research
Panel Name: Clinical/Translational Cancer Research 18.1 (C/TCR_18.1)

Panel Date: October 19, 2017
Report Date: October 19, 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 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 Clinical/Translational Cancer Research 18.1 Peer Review Meeting. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and was conducted in person as well as via teleconference at the Marriott North Houston on October 19, 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 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 Clinical/Translational Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Clinical/Translational Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Clinical/Translational Cancer Research 18.1 meeting:

- Twenty-one out of thirty-nine applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-eight peer review panelists participated in the panel, which included two Panel Chairpersons; twenty-three peer review panelists; and three advocate reviewers;
- Two CPRIT staff members and six CSRA employees participated in the meeting. Three additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Two reviewed applications had a combined total of three COI's;
- Two additional applications with COIs were not reviewed or discussed during the panel;
- No additional COIs were identified during the peer review panel;
- The co-chair introduced one application before the COI reviewers were able to exit the discussion, but quickly corrected and paused until the reviewers with conflicts left the room. The reviewers with conflicts did not participate in the review details.

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

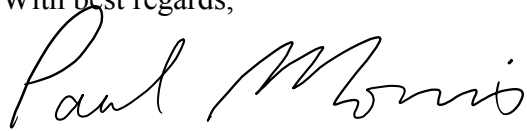
Conclusion

In conclusion; we observed that the activities of the Academic Research Clinical/Translational Cancer Research 18.1 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.

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
October 19, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-20_BCR_18.1 Panel 1
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_1 (CPRIT BCR-1)

Panel Date: October 20, 2017
Report Date: October 20, 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 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 Basic Cancer Research 18.1_1 Peer Review Meeting. The meeting was chaired by Thomas Curran and conducted in person at the Houston Marriott North on October 20, 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 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 Basic Cancer Research panel members or CSRA staff;
- CPRIT program staff do not engage in panel discussions on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_1 meeting:

- Eighteen out of twenty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists;
- Two CPRIT staff members and four CSRA employees participated in the meeting. Two additional CSRA or hotel staff participated intermittently in a logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

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

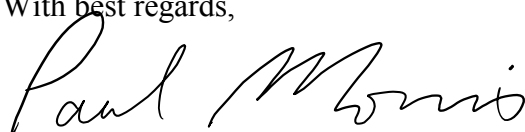
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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.

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 20, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-23_ITI_18.1
Program Name: Academic Research
Panel Name: Imaging Technology and Informatics (ITI_18.1)

Panel Date: October 23, 2017
Report Date: October 23, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Sam Gambir and conducted in person and via teleconference at the North Houston Marriott on October 23, 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 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 Imaging Technology and Informatics Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Imaging Technology and Informatics Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Imaging Technology and Informatics panel meeting:

- Nineteen out of thirty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-four peer review panelists participated in the panel, which included the Panel Chair; twenty-one peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Three additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Five applications reviewed had one COI each. One additional application with a COI was not reviewed;
- There were no other COIs identified during the meeting;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

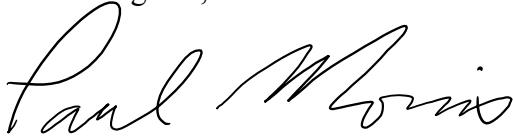
Conclusion

In conclusion; we observed that the activities of the Academic Research - Imaging Technology and Informatics Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

A handwritten signature in black ink, appearing to read "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
October 23, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-24_CPR_18.1
Program Name: Academic Research
Panel Name: Cancer Prevention Research (CPR_18.1)

Panel Date: October 24, 2017
Report Date: October 24, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Tom Sellers and conducted in person and via teleconference at the North Houston Marriott on October 24, 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 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 Cancer Prevention Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Prevention Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

The BFS independent observer participated in the Cancer Prevention Research Peer Review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

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

- Eleven of nineteen applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty peer review panelists participated in the panel, which included the Panel Chair; seventeen peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Two additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Four applications reviewed had one COI each. One additional application with a COI was not reviewed;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Prevention Research 18.1 Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

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

Paul Morris, CPA, CIA
Vice President, Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 24, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-11-16_SRC_18.1
Program Name: Academic Research
Panel Name: SRC Meeting: Review Panel 18.1

Panel Date: November 16, 2017
Report Date: November 16, 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 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 – 18.1 Scientific Review Council Meeting. The SRC meeting was to be conducted immediately after Recruitment Review Panel-18.3-4; however, discussions were tabled until one of the absent members could participate.

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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers were available to participate in the teleconference. CSRA, CPRIT's contracted third-party grant application administrator, was available to facilitate the meeting.

The independent observers noted that all discussions were tabled until one of the absent reviewers could participate. One Panel Chairperson and five review panelists were present when the discussion was tabled. We also note here that two CPRIT staff members and three CSRA employees were available.

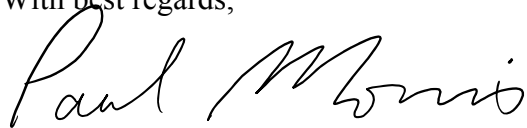
Conclusion

In conclusion; we observed that the activities and discussion of the Academic Research – Scientific Review Council Meeting 18.1 were tabled until a later time when all participants could be present.

Third-party observation services do 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,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
November 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-12-14_SRC_18.1
Program Name: Academic Research
Panel Name: 18.1 Scientific Review Council Meeting

Panel Date: December 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 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 – 18.1 Scientific Review Council Meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 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 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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Scientific Review Council Meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Scientific Review Council Meeting:

- Forty-five (45) of forty-six (46) applications were recommended for funding;
- Participants: seven Scientific Review Council members participated in the meeting, which included the SRC Chair and six council participants;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

There were no COIs identified prior or during the meeting. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

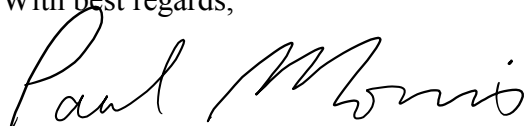
Conclusion

In conclusion; we observed that the activities of the Academic Research– 18.1 Scientific Review Council 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.

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With best regards,



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

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research 18.1 Applications
(Academic Research Cycle 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 Academic Research Recruitment Cycle 18.1 include *Individual Investigator Research Awards (IIRA)*, *Individual Investigator Research Awards for Computational Biology (IIRACB)*, *Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA)*, *Individual Investigator Research Awards for Clinical Translation (IIRACT)* and *Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) 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			
RP180244pe/ RP180244	Bin Wang	The University of Texas M. D. Anderson Cancer Center	Matthew Weitzman
RP180343	Jinming Gao	The University of Texas Southwestern Medical Center	James Willson
RP180313pe/ RP180313	Guillermina Lozano	The University of Texas M. D. Anderson Cancer Center	Carol Prives
RP180381pe/ RP180381	Livia Schiavinato Eberlin	The University of Texas at Austin	Robertson Parkman; Ying Lu
RP180047pe/ RP180047	Yihong Wan	The University of Texas Southwestern Medical Center	Geoffrey Greene
RP180181pe/ RP180181	Stephanie Watowich	The University of Texas M. D. Anderson Cancer Center	Lee Helman; Yves DeClerck

Application ID	Applicant/PI	Institution	Conflict Noted
RP180220pe/ RP180220	Joseph McCarty	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180259pe/ RP180259	CHUNRU LIN	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180530pe/ RP180530	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180505pe/ RP180505	Ayumu Taguchi	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180607	Killary, Ann	The University of Texas M. D. Anderson Cancer Center	Christopher Li
Applications not considered by the PIC or Oversight Committee			
RP180079pe	Michael Roth	The University of Texas Southwestern Medical Center	George Prendergast
RP180107pe	Sanghoon Lee	The University of Texas M. D. Anderson Cancer Center	Steven Fiering
RP180174pe	Gautam Borthakur	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180359pe	Rolf Brekken	The University of Texas Southwestern Medical Center	George Prendergast
RP180387pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180083pe/ RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Jeffrey Wrana

Application ID	Applicant/PI	Institution	Conflict Noted
RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Ali Shilahn
RP180204pe	Gerardo Cisneros	University of North Texas	Matthew Weitzman
RP180237pe	Robert Bast	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP180262pe	Roopa Thapar	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180390pe	E. Paul Hasty	The University of Texas Health Science Center at San Antonio	Winfried Edelmann
RP180397pe	Chi-Lin Tsai	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422pe	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422*	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;Walter Chazin
RP180481pe	Melanie Cobb	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP180629pe	Tej Pandita	The Methodist Hospital Research Institute	Jan Karlseder
RP180045pe/ RP180045	Andras Heczey	Baylor College of Medicine	Gregory Cooper
RP180110pe	David Gerber	The University of Texas Southwestern Medical Center	Richard O'Reilly
RP180146pe	Virginia Kaklamani	The University of Texas Health Science Center at San Antonio	Michael Prados

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180199pe	Hua Zhao	The University of Texas M. D. Anderson Cancer Center	Michael Prados
RP180203pe	Fakhrul Ahsan	Texas Tech University Health Sciences Center	W. Martin Kast;Ying Lu
RP180402pe	William Symmans	The University of Texas M. D. Anderson Cancer Center	D.onna Niedzwiecki
RP180416pe/ RP180416*	Manisha singh	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180479pe	Scott Kopetz	The University of Texas M. D. Anderson Cancer Center	Garth Powis;Howard Hochster
RP180480pe	John Minna	The University of Texas Southwestern Medical Center	Paul Bunn
RP180510pe	Anirban Maitra	The University of Texas M. D. Anderson Cancer Center	Margaret Tempero
RP180513pe	Roza Nurieva	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180533pe/ RP180533	Timothy Yap	The University of Texas M. D. Anderson Cancer Center	W. Martin Kast
RP180543pe/ RP180543*	Charles Reynolds	Texas Tech University Health Sciences Center	Stephen Grupp;W. Martin Kast
RP180569pe	Matthew Ellis	Baylor College of Medicine	Donna Niedzwiecki
RP180661pe	Rongfu Wang	The Methodist Hospital Research Institute	W. Martin Kast
RP180035pe	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	Lee Helman

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180043pe	Samuel Mok	The University of Texas M. D. Anderson Cancer Center	Lee Helman ;Yves DeClerck
RP180084pe	Marie-Claude Hofmann	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180085pe/ RP180085	Shiaw-Yih Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180093pe	Lee Ellis	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180113pe/ RP180113	Dimple Chakravarty	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180134pe	Anurag Purushothaman	MDACC/BLI	Lee Helman
RP180144pe	Dos Sarbassov	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180165pe	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180234pe/ RP180234	Dihua Yu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180241pe	Shawn Bratton	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180242pe	Valerie LeBleu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180252pe	Honami Naora	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180253pe	Chun Li	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180258pe	Min Gyu Lee	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180260pe	Shyam Kavuri	Baylor College of Medicine	Geoffrey Greene
RP180263pe	Bogdan Czerniak	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa; Lee Helman
RP180285pe/ RP180285	Sue-Hwa Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180329pe/ RP180329	Jing Yang	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180352pe	Lanlan Shen	Baylor College of Medicine	Jean-Pierre Issa
RP180395pe	Robert Gagel	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180403pe	Stephen Wong	The Methodist Hospital Research Institute	Lee. Helman
RP180413pe	Herbert Levine	Rice University	Lee Helman
RP180417pe	Jinsong Liu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180434pe	Qiang Shen	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180475pe	Nahum Puebla-Osorio	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180488pe	Vashisht Yennu Nanda	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180496pe	Rachel Schiff	Baylor College of Medicine	Geoffrey Greene
RP180496	Rachel Schiff	Baylor College of Medicine	Anne Tonachel;Geoffrey Greene
RP180506pe	Richard Ford	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180511pe	Nicholas Mitsiades	Baylor College of Medicine	Geoffrey Greene
RP180535pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180552pe/ RP180552*	Menashe Bar-Eli	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180589pe	Jeffrey Rosen	Baylor College of Medicine	Benjamin Berman;J Jean-Pierre Issa;Steve Belinsky
RP180036pe	Angelica Roncancio	The University of Texas Health Science Center at Houston	Lawrence Kushi
RP180223pe	Khandan Keyomarsi	The University of Texas M. D. Anderson Cancer Center	Christopher Haiman;Lawrence Kushi
RP180229pe	Michael Ittmann	Baylor College of Medicine	Christopher Haiman
RP180355pe/ RP180355	Laura Beretta	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180383pe	Robin Leach	The University of Texas Health Science Center at San Antonio	Christopher Haiman;William Barlow

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180427pe/ RP180427	Yanhong Liu	Baylor College of Medicine	Lorelei Mucci
RP180485pe/ RP180485	Alexander Prokhorov	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP180527pe	Shine Chang	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180016pe/ RP180016*	Marianna Dakanali	The University of Texas Southwestern Medical Center	Anna Wu
RP180273pe/ RP180273	Barrett Harvey	The University of Texas Health Science Center at Houston	Anna Wu
RP180291pe/ P180291	Jae Mo Park	The University of Texas Southwestern Medical Center	Brian Rutt
RP180322pe/ RP180322	Eva Sevick	The University of Texas Health Science Center at Houston	Anna Wu
RP180334pe	Vikas Kundra	The University of Texas M. D. Anderson Cancer Center	G. Johnson
RP180389pe	Amir Owangi	The University of Texas Southwestern Medical Center	Anna Wu
RP180393pe/ RP180393	Sarah McGuire	The University of Texas Southwestern Medical Center	Anna Wu
RP180424pe/ RP180424	Orhan Oz	The University of Texas Southwestern Medical Center	Anna Wu
RP180444pe	Jung-whan Kim	The University of Texas at Dallas	Arion-Xenofon Chatziioannou; Anna Wu

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180465pe	Javier Villafruela	The University of Texas Southwestern Medical Center	Anna Wu
RP180651pe	Yaowu Hao	The University of Texas at Arlington	Anna Wu
RP180660pe	Wei Chen	The University of Texas at Arlington	Anna Wu

De-Identified Overall Evaluation Scores

Individual Investigator Research Awards

Academic Research Cycle 18.1

Final Scores for Fully Reviewed Applications

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. In this round, within the Individual Investigator Research Awards mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

This comprehensive list of Individual Investigator Research Awards de-identified application scores created for the purpose of this CEO affidavit packet combines the information for all seven 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.

Application ID	Final Overall Evaluation Score
RP180313*	1.0
RP180147*	1.6
RP180047*	1.7
RP180192*	1.8
RP180343*	1.8
RP180178*	1.8
RP180220*	1.9
RP180435*	2.0
RP180275*	2.0
RP180410*	2.2
RP180181*	2.2
RP180504*	2.2
RP180268*	2.2
RP180309*	2.2
RP180261*	2.2
RP180031*	2.2
RP180244*	2.3
RP180349*	2.4
RP180530*	2.4
RP180590*	2.4
RP180553*	2.5
RP180259*	2.5
RP180055*	2.7
RP180472*	2.8
RP180457*	2.8

*=Recommended for funding

Application ID	Final Overall Evaluation Score
Ra	3.1
Rb	3.3
RP180177*	3.5
RP180288*	3.5
Rc	3.5
Rd	3.6
Re	3.6
Rf	3.6
Rg	3.6
Rh	3.7
Ri	3.7
Rj	3.7
Rk	3.7
RI	3.7
Rm	3.7
Rn	3.7
Ro	3.7
Rp	3.7
Rq	3.7
Rr	3.7
Rs	3.7
Rt	3.7
Ru	3.8
Rv	3.8
Rw	3.9
Rx	3.9
Ry	3.9
Rz	3.9
Sa	3.9
Sb	4.0
Sc	4.0
Sd	4.0
Se	4.0
Sf	4.0
Sg	4.0
Sh	4.0
Si	4.0
Sj	4.0
Sk	4.0
Sl	4.0
Sm	4.0

*=Recommended for funding

Application ID	Final Overall Evaluation Score
Sn	4.0
So	4.0
Sp	4.0
Sq	4.0
Sr	4.0
Ss	4.1
St	4.1
Su	4.1
Sv	4.1
Sw	4.2
Sx	4.2
Sy	4.2
Sz	4.3
Ta	4.3
Tb	4.3
Tc	4.3
Td	4.3
Te	4.3
Tf	4.3
Tg	4.3
Th	4.3
Ti	4.3
Tj	4.3
Tk	4.3
Tl	4.4
Tm	4.4
tn	4.4
To	4.4
Tp	4.7
Tq	4.7
Tr	4.7
Ts	4.7
Tt	4.7
Tu	4.7
Tv	4.7
Tw	4.8
Tx	4.9
Ty	5.0
Tz	5.0
Ua	5.0
Ub	5.0

*=Recommended for funding

Application ID	Final Overall Evaluation Score
Uc	5.0
Ud	5.0
Ue	5.0
Uf	5.1
Ug	5.3
Uh	5.3
Ui	5.3
Uj	5.3
Uk	5.7
Ul	5.7
Um	5.7
Un	5.9
Uo	6.0
up	6.3

*=Recommended for funding

Individual Investigator Research Awards

Academic Research Cycle 18.1

Final Scores for Preliminary Evaluation

These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.

Application ID	Final Overall Evaluation Score
Ca	3.33
Cb	3.33
Cc	3.33
Cd	3.33
Ce	3.33
Cf	3.33
Cg	3.33
Ch	3.33
Ci	3.33
Cj	3.67
Ck	3.67
Cl	3.67
Cm	3.67
Cn	3.67
Co	3.67
Cp	3.67
Cq	3.67
Cr	3.67
Cs	3.67
Ct	3.67
Cu	3.67
Cv	3.67
Cw	3.67
Cx	3.67
Cy	3.67
Cz	3.67
Da	3.67
Db	3.67
Dc	3.67
Dd	3.67
De	3.67
Df	3.67
Dg	3.67

Application ID	Final Overall Evaluation Score
Dh	3.67
Di	3.67
Dj	3.67
dk	3.67
DI	3.67
Dm	3.67
Dn	3.67
Do	3.67
Dp	3.67
Dq	3.67
Dr	3.67
Ds	3.67
Dt	3.67
Du	3.67
Dv	3.67
Dw	3.67
Dx	3.67
Dy	4.00
Dz	4.00
Ea	4.00
Eb	4.00
Ec	4.00
Ed	4.00
Ee	4.00
Ef	4.00
Eg	4.00
Eh	4.00
Ei	4.00
Ej	4.00
Ek	4.00
El	4.00
Em	4.00
En	4.00
Eo	4.00
Ep	4.00
Eq	4.00
Er	4.00
Es	4.00
Et	4.00
Eu	4.00
Ev	4.00

Application ID	Final Overall Evaluation Score
Ew	4.00
Ex	4.00
Ey	4.00
Ez	4.00
Fa	4.00
Fb	4.00
Fc	4.00
Fd	4.00
Fe	4.00
Ff	4.00
Fg	4.00
Fh	4.00
Fi	4.00
Fj	4.00
Fk	4.00
Fl	4.00
Fm	4.00
Fn	4.00
Fo	4.00
Fp	4.00
Fq	4.00
Fr	4.00
Fs	4.00
Ft	4.00
Fu	4.00
Fv	4.00
Fw	4.33
Fx	4.33
Fy	4.33
Fz	4.33
Ga	4.33
Gb	4.33
Gc	4.33
Gd	4.33
Ge	4.33
Gf	4.33
Gg	4.33
Gh	4.33
Gi	4.33
Gj	4.33
Gk	4.33

Application ID	Final Overall Evaluation Score
Gl	4.33
Gm	4.33
Gn	4.33
Go	4.33
Gp	4.33
Gq	4.33
Gr	4.33
Gs	4.33
Gt	4.33
Gu	4.33
Gv	4.33
Gw	4.33
Gx	4.67
Gy	4.67
Gz	4.67
Ha	4.67
Hb	4.67
Hc	4.67
Hd	4.67
He	4.67
Hf	4.67
Hg	4.67
Hh	4.67
Hi	4.67
Hj	4.67
Hk	4.67
HI	4.67
hm	4.67
Hn	4.67
Ho	4.67
Hp	4.67
Hq	4.67
Hr	4.67
Hs	4.67
Ht	4.67
Hu	4.67
Hv	4.67
Hw	4.67
Hx	4.67
Hy	4.67
Hz	5.00

Application ID	Final Overall Evaluation Score
Ia	5.00
Ib	5.00
Ic	5.00
Id	5.00
Ie	5.00
If	5.00
Ig	5.00
Ih	5.00
Ii	5.00
Ij	5.00
Ik	5.00
Il	5.00
Im	5.00
In	5.00
Io	5.00
Ip	5.00
iq	5.00
Ir	5.00
Is	5.00
It	5.00
Iu	5.00
Iv	5.00
Iw	5.00
Ix	5.00
Iy	5.00
Iz	5.00
Ja	5.00
Jb	5.00
Jc	5.00
Jd	5.33
Je	5.33
Jf	5.33
Jg	5.33
Jh	5.33
Ji	5.33
Jj	5.33
Jk	5.33
Jl	5.33
Jm	5.33
Jn	5.67
Jo	5.67

Application ID	Final Overall Evaluation Score
Jp	5.67
Jq	5.67
Jr	5.67
Js	5.67
Jt	5.67
Ju	5.67
Jv	5.67
Jw	5.67
Jx	5.67
Jy	5.67
Jz	5.67
Ka	5.67
Kb	5.67
Kc	5.67
Kd	6.00
Ke	6.00
Kf	6.00
Kg	6.00
Kh	6.33
Ki	6.33
Kj	6.33
Kk	6.33
Kl	6.33
Km	6.33
Kn	6.33
Ko	6.33
Kp	6.67
Kq	7.00
Kr	7.00
Ks	7.33
kt	8.00

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

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January 16, 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
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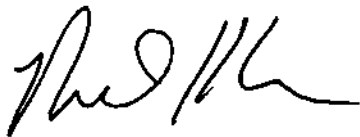
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Clinical Translation (IIRACT) and Individual Investigator Research Awards for Prevention and Early Detection (IIRAP). The SRC met on December 14, 2017 to consider the applications recommended by the peer review panels following their meetings that were held October 16, 2017 – October 24, 2017.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$47,095,197.

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	Score	Application Title	PI	PI Organization	Budget
1	RP180313	IIRA	1.0	A somatic mutant p53 mouse model of metastatic triple negative breast cancer	Lozano, G.	The University of Texas M. D. Anderson Cancer Center	\$900,000
2	RP180505	IIRAP	1.4	Circulating Exosomes as Biomarkers for Lung Cancer Early Detection	Taguchi, A.	The University of Texas M. D. Anderson Cancer Center	\$799,085
3	RP180147	IIRA	1.6	Prevalence of Rare Passenger Mutations in Biopsy Tissue as Cancer Stratification Markers	Zhang, D.	Rice University	\$900,000
4	RP180047	IIRA	1.7	A Novel Dual Suppressor of Cancer Bone Metastasis	Wan, Y.	The University of Texas Southwestern Medical Center	\$898,672
5	RP180192	IIRA	1.8	Dissecting the interplay between BAP1 and PBRM1 in renal cancer	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$897,633
6	RP180343	IIRA	1.8	Turn ON the Tumor Contrast in Lymph Node Metastases for Occult Disease Detection	Gao, J.	The University of Texas Southwestern Medical Center	\$885,684
7	RP180178	IIRA	1.8	Imaging glucose stimulated zinc secretion (GSZS) from the prostate by MRI: A potentially powerful method for early detection of prostate cancer	Sherry, D.	The University of Texas Southwestern Medical Center	\$900,000
8	RP180463	IIRACCA	1.9	Compound heterozygous mutations in pediatric cancer predisposition	Schlacher, K.	The University of Texas M. D. Anderson Cancer Center	\$556,763*
9	RP180248	IIRACB	1.9	Characterizing cancer genome instability and translational impact using new sequencing technologies	Chen, K.	The University of Texas M. D. Anderson Cancer Center	\$898,997

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
10	RP180191	IIRACCA	1.9	Understanding TFE3-mediated Tumorigenesis through Analysis of a Novel, Clinically-Relevant Mouse Model of Translocation Renal Cell Carcinoma	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$1,155,128
11	RP180220	IIRA	1.9	Targeting the prion protein Doppel in brain tumor angiogenesis	McCarty, J.	The University of Texas M. D. Anderson Cancer Center	\$900,000
12	RP180435	IIRA	2.0	Fasting-induced inhibition of leukemia development	Zhang, C.	The University of Texas Southwestern Medical Center	\$900,000
13	RP180275	IIRA	2.0	Targeting Stromal ERalpha for Cervical Cancer Therapy	Chung, S.	University of Houston	\$811,617
14	RP180381	IIRACT	2.0	Mass Spectrometry Imaging to Uncover Predictive Metabolic Markers of Ovarian Cancer Surgical Outcome and Treatment Response	Schiavinato Eberlin, L.	The University of Texas at Austin	\$1,092,048
15	RP180394	IIRACCA	2.0	Targeting the metastatic sarcoma niche using leukocyte biomimetic nanoparticles	Tasciotti, E.	The Methodist Hospital Research Institute	\$1,199,617
16	RP180131	IIRACCA	2.1	DNA methylation signatures of cell-free DNA in CSF as a new response biomarker for pediatric medulloblastoma	Sun, D.	Texas A&M University System Health Science Center	\$1,200,000
17	RP180196	IIRACCA	2.1	Microwafers as Novel Drug or Gene Delivery Vehicles for Noninvasive Treatment of Retinoblastoma	Hurwitz, R.	Baylor College of Medicine	\$1,195,721
18	RP180410	IIRA	2.2	Mechanisms of Nuclear Export in Cancer	Chook, Y.	The University of Texas Southwestern Medical Center	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
19	RP180181	IIRA	2.2	Targeting neutrophil elastase as a novel therapy for metastatic breast cancer	Watowich, S.	The University of Texas M. D. Anderson Cancer Center	\$900,000
20	RP180504	IIRA	2.2	Elucidating the Epigenetic and Metabolic Vulnerabilities of Myeloproliferative Neoplasms	Xu, J.	The University of Texas Southwestern Medical Center	\$900,000
21	RP180268	IIRA	2.2	Determining the role of polyploidization in liver cancer development	Zhu, H.	The University of Texas Southwestern Medical Center	\$900,000
22	RP180309	IIRA	2.2	Inhibiting Oxidative Phosphorylation: A Novel Strategy in Leukemia	Konopleva, M.	The University of Texas M. D. Anderson Cancer Center	\$900,000
23	RP180261	IIRA	2.2	Multi-Loading Strategy for Constructing Potent Antibody-Drug Conjugates	Tsuchikama, K.	The University of Texas Health Science Center at Houston	\$900,000
24	RP180473	IIRACT	2.2	Clinical trials of C188-9, an oral inhibitor of signal transducer and activator of transcription (STAT) 3, in patients with hepatocellular carcinoma (HCC)	Tweardy, D.	The University of Texas M. D. Anderson Cancer Center	\$2,399,905
25	RP180031	IIRA	2.2	Imaging of biochemical alterations in human breast malignancy using CEST-MRI	Vinogradov, E.	The University of Texas Southwestern Medical Center	\$900,000
26	RP180244	IIRA	2.3	Functional analyses of linkage-specific ubiquitination in the DNA damage response	Wang, B.	The University of Texas M. D. Anderson Cancer Center	\$900,000
27	RP180404	IIRACT	2.3	Noninvasive detection of anthracycline induced cardiotoxicity using hyperpolarized carbon 13 based magnetic resonance spectroscopic imaging	Zaha, V.	The University of Texas Southwestern Medical Center	\$2,397,204

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
28	RP180349	IIRA	2.4	Therapeutics Targeting Cancer-Associated HPV Replication	Chiang, C.	The University of Texas Southwestern Medical Center	\$900,000
29	RP180530	IIRA	2.4	Hippo signaling in non-alcoholic fatty liver disease (NAFLD) and its progression to hepatocellular carcinoma	Johnson, R.	The University of Texas M. D. Anderson Cancer Center	\$821,669
30	RP180607	IIRAP	2.4	Blood-based biomarkers for the early detection of pancreatic cancer	Killary, A.	The University of Texas M. D. Anderson Cancer Center	\$900,000
31	RP180590	IIRA	2.4	Development of an engineered & pharmacologically optimized human methionine-gamma-lyase drug candidate for the treatment of prostate cancer and glioblastoma	Stone, E.	The University of Texas at Austin	\$900,000
32	RP180553	IIRA	2.5	Structural and Functional Characterization of the DNA Double Strand Break Processing Complex of Mre11-Rad50	Latham, M.	Texas Tech University	\$850,876
33	RP180259	IIRA	2.5	PTEN Promotes Diabetic breast cancer metastasis	LIN, C.	The University of Texas M. D. Anderson Cancer Center	\$900,000
34	RP180588	IIRAP	2.5	Novel Computer Aided Diagnosis System For Early Detection Of Oral Cancer Based On Quantitative Autofluorescence Imaging	Jo, J.	Texas Engineering Experiment Station	\$897,394
35	RP180166	IIRACCA	2.6	Molecular mechanisms of anthracycline response in cardiomyocytes and link to genetic susceptibility to cardiotoxicity in long-	Hildebrandt, M.	The University of Texas M. D. Anderson Cancer Center	\$1,194,520

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
				term childhood cancer survivors			
36	RP180466	IIRACT	2.6	Integrated single-cell biomarkers of T-cell efficacy	Varadarajan, N.	University of Houston	\$1,173,420
37	RP180055	IIRA	2.7	Mechanisms and Treatment of Hippocampal Cognitive Impairment Associated with Androgen Deprivation Therapy for Prostate Cancer	Morilak, D.	The University of Texas Health Science Center at San Antonio	\$899,547
38	RP180472	IIRA	2.8	Mucosal vaccine formulations for targeted therapy of HPV cancers	Sastry, J.	The University of Texas M. D. Anderson Cancer Center	\$883,146
39	RP180457	IIRA	2.8	Tumor Activated Enzyme Inhibitors for the Treatment of Cancer	Ready, J.	The University of Texas Southwestern Medical Center	\$898,776
40	RP180140	IIRACT	2.8	EXTERNAL beam radiation to Eliminate Nominal metastatic Disease (EXTEND): A randomized phase II basket trial to assess local control of oligometastatic disease	Tang, C.	The University of Texas M. D. Anderson Cancer Center	\$2,394,412
41	RP180634	IIRACCA	2.9	Understanding metabolic regulation of pediatric glioma through mouse modeling and patient tumor interrogation in vivo.	Bachoo, R.	The University of Texas Southwestern Medical Center	\$1,200,000
42	RP180073	IIRACCA	3.4	Myeloid support of refractory and aggressive T-ALL at distinct tumor sites	Ehrlich, L.	The University of Texas at Austin	\$1,200,000
43	RP180177	IIRA	3.5	Novel Small Molecule Probes Targeting Histone Acetyltransferase p300/CBP	Song, Y.	Baylor College of Medicine	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
44	RP180288	IIRA	3.5	Innate Immune Regulation of Cancer Cell Proliferation	Yan, N.	The University of Texas Southwestern Medical Center	\$900,000
45	RP180319	IIRACCA	3.5	Rhabdomyosarcoma vulnerabilities: Prioritizing and extending to the clinic	Skapek, S.	The University of Texas Southwestern Medical Center	\$1,193,363

*RP180463 Reflects budget as reduced by the SRC. SRC recommended to fund only Aim 1 and reduce the duration of the study from 4 years to 3.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 1
*Individual Investigator Research Awards for
Computational Biology*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-18.1-IIRACB

**Individual Investigator Research Awards for
Computational Biology**

**Please also refer to the Instructions for Applicants document, which will
be posted on March 15, 2017**

Application Receipt Opening Date: March 15, 2017

Application Receipt Closing Date: June 8, 2017

FY 2018

Fiscal Year Award Period
September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 1/05/17 RFA release

Rev 1/13/17 Section 3- Research Objectives: Added the following bullet under Subjects the application may include; “Analyses of signaling cross-talks among pathways to inform drug inefficacy or drug resistance or reveal novel synergistic drug combinations.”

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

Cancer is a complex disease involving multiple genetic alterations that result in modifications of a large number of cellular processes, both within the cancer cell and in surrounding host tissues. Descriptions of morphological and physiological alterations in cancers using imaging technologies have generated enormous quantities of data, as have analyses of the changes in cancer cells at the molecular and pathway levels. New methods from mathematical and computational biology for cataloging and analyzing such data may accelerate the ability to define cancer prognosis and patient management.

Additionally, it is becoming quite clear that the approach of inhibiting one altered gene or pathway will not be curative for most cancers. Because cancer cell behavior is governed by multiple, nonlinear, interacting pathways, a systems approach is needed. Mathematical models that describe the behavior of cancer cells and how they interact with one another and their environment might be used to predict their responses to combinations and/or sequences of targeted therapies. The use of such computational models could facilitate a deeper understanding of how cancers progress, and/or evolve resistance, as well as accelerate progress in drug development and patient selection for various treatments.

Other work across the spectrum of mathematical and computational biology may address a wide array of problems and challenges in cancer research, including statistical (data analysis), dimensional (visualization), mechanistic (multiscale modeling), and semantic (natural language) research topics.

3. RESEARCH OBJECTIVES

This Request for Applications (RFA) solicits applications for innovative mathematical or computational research projects addressing questions that will advance current knowledge in any aspect of cancer. Applications may address any topic or issue related to cancer causation, identification of populations at risk, prevention, early progression, early detection, treatment, or outcomes. For example, research may address data analysis of cellular pathways, microarrays, cellular imaging, cancer imaging, or genomic, proteomic, and metabolomic databases. It may address descriptive and/or predictive mathematical models of cancer, as well as mechanistic models of cellular processes and interactions. Finally, it may also use artificial intelligence approaches to build new tools for mining cancer research and treatment databases or optimizing treatment strategies. Partnering of computational scientists with cancer biologists or oncologists is highly recommended; a truly interdisciplinary team that addresses models that could become

simulations of structure or pathway functional relationships and changes of these relationships over the disease progression is highly recommended. CPRIT expects the outcomes of activities supported by this mechanism to lead to new insights into cancer biology or clinical outcomes in the long term. CPRIT encourages applications that seek to apply or develop state-of-the-art technologies, tools, and/or resources. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies in computational biology, biostatistics, and/or mathematics.

The subject of applications may include, but is not limited to, the following:

- Analyses of signaling cross-talks among pathways to inform drug inefficacy or drug resistance or reveal novel synergistic drug combinations.
- Innovative analyses of various cancer-related databases.
- Computational systems biology approaches to cancer drug development
- Identification of subjects at risk of developing cancer
- Image analysis of cells, tissues, organs, and human subjects
- In silico models of cancer development
- Models of tumor-stromal interactions and how they modify progression and treatment
- New methodologies for design of clinical trials
- Modeling of cancer outcomes and economics
- Models of cancer cell signaling systems
- Modeling the aspects of cancer evolution and treatment resistance
- Innovative modeling and quantification of tumor-microenvironment interactions
- Modeling the impact of combinations and sequences of targeted therapy applied to cancer cells

The *degree of relevance* to reducing the burden of cancer is a critical criterion for evaluation of projects for funding by CPRIT ([section 9.4.1](#)).

4. FUNDING INFORMATION

Applicants may request a maximum of \$300,000 in total costs per year for up to 3 years.

Exceptions to these limits may be requested if extremely well justified (see [section 8.2.10](#)).

Funds may be used for salary and fringe benefits, research supplies, equipment, 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.

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 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.
- A PI may submit only 1 new application under this RFA during this funding cycle. A PI may not submit applications to this RFA and to RFA-R-18.1-IIRA, RFA R-18.1-IIRACCA, RFA-R-18.1-IIRACT, or RFA-R-18.1-IIRAP. Only 1 IIRAP, IIRA, IIRACB, IIRACT, or IIRACCA application per cycle is allowed.
- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-18.1-IIRACT, RFA-R-18.1-IIRACCA, RFA-R-18.1-IIRA or RFA R-18.1-IIRAP.
- An investigator who is the PI on 3 or more CPRIT grants of any type that will be active December 1, 2017, is not eligible to submit an application in response to this RFA.
- Applications that address untargeted research, Prevention and Early Detection, or Cancers in Children and Adolescents should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included. Collaborators should have specific and well-defined roles.
- 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 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 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. 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 8.2.5](#).

7. RENEWAL POLICY

An application originally funded by CPRIT as an IIRA that is appropriate for the IIRACB mechanism may be submitted under this RFA for a competitive renewal. See [section 8.2.6](#).

Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See [section 9.2](#).

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. 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 March 15, 2017, and must be submitted by 4 PM central time on June 8, 2017. **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 for 1 or more grant applications 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](#). 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 withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

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. Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)). 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).

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 cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

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 9.2](#)) 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. Resubmission Summary (2 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. 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.

8.2.6. Renewal Summary (2 pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.7. Research Plan (10 pages)

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

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.

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

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

award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, reference biostatistical input for sample selection and evaluation. In addition, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

8.2.9. Publications/References

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

8.2.10. Budget and Justification

Provide a compelling and detailed 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 may request a maximum of \$300,000 in total costs per year for up to 3 years. Applicants are advised not to interpret the maximum allowable time and funding under this award as a suggestion that they should expand their anticipated work and 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:

- 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.cpritis.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.

8.2.11. Biographical Sketches (5 pages each)

Applicants are required to 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. The NIH biosketch format is appropriate.

8.2.12. 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. Refer to the sample current and pending support document located in [*Current Funding Opportunities*](#) for Academic Research in CARS.

8.2.13. 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.

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.

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

To ensure the timely and thorough review of only the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, all eligible applications may be preliminarily evaluated by CPRIT Scientific Research Program panel members for scientific merit and impact.

This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches. Applications that do not sufficiently capture the reviewers’ interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.

The applicant will be notified of the decision to disapprove the application after the preliminary evaluation stage has concluded. Due to the volume of applications to be reviewed, comments made by reviewers at the preliminary evaluation stage may not be provided to applicants. The preliminary evaluation process will be used only when the number of applications exceeds the capacity of the review panels to conduct a full peer review of all received applications.

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further 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 in [section 9.4](#). Applicants will be notified of peer review panel assignments prior to the peer review meeting dates. Peer review panel membership can be found on the CPRIT website. 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 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](#).

9.3. 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 Research 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.

9.4. 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 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.**

9.4.1. 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 results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? 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? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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 sufficient preliminary data and/or scientific rationale? Are the methods appropriate, and are potential experimental obstacles and unexpected results discussed?

Applicant Investigator: Does the applicant investigator demonstrate the required experience and creativity to make a significant contribution to the research? Does the applicant investigator demonstrate the required expertise to make a significant contribution in both mathematics and oncology, or are there appropriate collaborators or consultants with expertise in oncology or cancer biology? It is highly encouraged that applicant investigators engage such collaborators. 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 address a significant problem related to cancer? Is it likely to make an impact on this disease? This is a critical criterion for evaluation of projects for CPRIT support.

9.4.2. 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: Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

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 January 5, 2017

Application

Online application opens March 15, 2017, 7 AM central time

Application due June 8, 2017, 4 PM central time

Application review August-October 2017

Award

Award notification February 14, 2018

Anticipated start date March 1, 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 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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements regarding demonstration of available funding. 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.

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 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 Peer Review Observation Report*

Report No. 2017-10-16_CB_18.1
Program Name: Academic Research
Panel Name: Cancer Biology 18.1 (CB_18.1)

Panel Date: October 16, 2017
Report Date: October 16, 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 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 Panel 18.1. The meeting was chaired by Peter Jones and conducted in person as well as via conference call at the Houston Marriott North on October 16, 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 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 Cancer Biology peer review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Biology peer review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Cancer Biology peer review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Biology meeting:

- Eighteen of twenty-six applications were discussed to score applicants for funding;
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists participated in the meeting;
- Two CPRIT staff members and eight CSRA employees participated in the meeting. Four additional CSRA staff participated throughout the meeting or intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria;
- Commencement of the Cancer Biology meeting was delayed due to logistical issues related to equipment.

Regarding applications with a conflict of interest (COIs):

- Twelve total applications had fourteen COIs; two of the applications each had two COIs.
- Of the twelve applications with COIs, ten of the applications were discussed and two of the applications were not discussed;
- No additional COIs were identified during the peer review panel;
- The reviewers with conflicts did not participate in the reviews of the conflicted applications. All participating reviewers with a conflict signed out on the COI log when leaving the room. One additional reviewer with several conflicts did not attend or participate telephonically in the meeting.

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

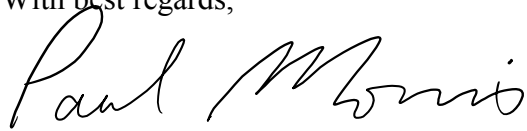
Conclusion

In conclusion; we observed that the activities of the Academic Research - Cancer Biology Panel 18.1 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,

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
October 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-18_BCR_18.1 Panel 2
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_2 (CPRIT BCR-2)

Panel Date: October 18, 2017
Report Date: October 18, 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 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 Basic Cancer Research 18.1_2 Peer Review Meeting. The meeting was chaired by Carol Prives and conducted in person as well as via conference call at the Houston Marriott North on October 18, 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 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 Basic Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_2 meeting:

- Seventeen out of thirty-five applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: Seventeen peer review panelists including the Panel Chairperson, two advocate reviewers and the remaining fourteen peer review panelists;
- Two CPRIT staff members and seven CSRA employees participated in the meeting. Three additional CSRA or hotel staff participated intermittently or entered the room in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Three applications with COIs were identified prior to the meeting. One additional COI was identified during the peer review panel and addressed before the application was discussed;
- One additional application with a COI was not discussed.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers 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.

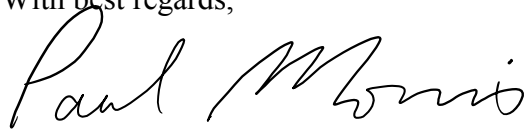
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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,

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
October 18, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-19_C/TCR_18.1
Program Name: Academic Research
Panel Name: Clinical/Translational Cancer Research 18.1 (C/TCR_18.1)

Panel Date: October 19, 2017
Report Date: October 19, 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 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 Clinical/Translational Cancer Research 18.1 Peer Review Meeting. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and was conducted in person as well as via teleconference at the Marriott North Houston on October 19, 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 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 Clinical/Translational Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Clinical/Translational Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Clinical/Translational Cancer Research 18.1 meeting:

- Twenty-one out of thirty-nine applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-eight peer review panelists participated in the panel, which included two Panel Chairpersons; twenty-three peer review panelists; and three advocate reviewers;
- Two CPRIT staff members and six CSRA employees participated in the meeting. Three additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Two reviewed applications had a combined total of three COI's;
- Two additional applications with COIs were not reviewed or discussed during the panel;
- No additional COIs were identified during the peer review panel;
- The co-chair introduced one application before the COI reviewers were able to exit the discussion, but quickly corrected and paused until the reviewers with conflicts left the room. The reviewers with conflicts did not participate in the review details.

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

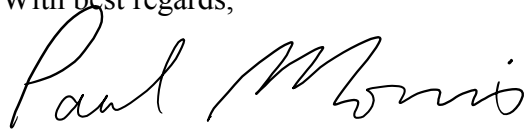
Conclusion

In conclusion; we observed that the activities of the Academic Research Clinical/Translational Cancer Research 18.1 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.

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
October 19, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-20_BCR_18.1 Panel 1
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_1 (CPRIT BCR-1)

Panel Date: October 20, 2017
Report Date: October 20, 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 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 Basic Cancer Research 18.1_1 Peer Review Meeting. The meeting was chaired by Thomas Curran and conducted in person at the Houston Marriott North on October 20, 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 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 Basic Cancer Research panel members or CSRA staff;
- CPRIT program staff do not engage in panel discussions on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_1 meeting:

- Eighteen out of twenty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists;
- Two CPRIT staff members and four CSRA employees participated in the meeting. Two additional CSRA or hotel staff participated intermittently in a logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

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

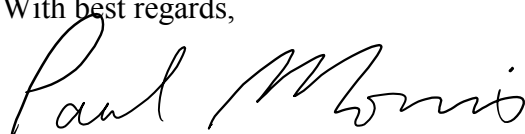
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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.

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 20, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-23_ITI_18.1
Program Name: Academic Research
Panel Name: Imaging Technology and Informatics (ITI_18.1)

Panel Date: October 23, 2017
Report Date: October 23, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Sam Gambir and conducted in person and via teleconference at the North Houston Marriott on October 23, 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 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 Imaging Technology and Informatics Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Imaging Technology and Informatics Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Imaging Technology and Informatics panel meeting:

- Nineteen out of thirty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-four peer review panelists participated in the panel, which included the Panel Chair; twenty-one peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Three additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Five applications reviewed had one COI each. One additional application with a COI was not reviewed;
- There were no other COIs identified during the meeting;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

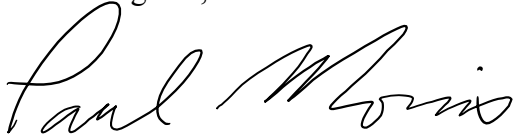
Conclusion

In conclusion; we observed that the activities of the Academic Research - Imaging Technology and Informatics Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

A handwritten signature in black ink, appearing to read "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
October 23, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-24_CPR_18.1
Program Name: Academic Research
Panel Name: Cancer Prevention Research (CPR_18.1)

Panel Date: October 24, 2017
Report Date: October 24, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Tom Sellers and conducted in person and via teleconference at the North Houston Marriott on October 24, 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 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 Cancer Prevention Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Prevention Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

The BFS independent observer participated in the Cancer Prevention Research Peer Review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

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

- Eleven of nineteen applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty peer review panelists participated in the panel, which included the Panel Chair; seventeen peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Two additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Four applications reviewed had one COI each. One additional application with a COI was not reviewed;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Prevention Research 18.1 Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

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

Paul Morris, CPA, CIA
Vice President, Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 24, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-11-16_SRC_18.1
Program Name: Academic Research
Panel Name: SRC Meeting: Review Panel 18.1

Panel Date: November 16, 2017
Report Date: November 16, 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 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 – 18.1 Scientific Review Council Meeting. The SRC meeting was to be conducted immediately after Recruitment Review Panel-18.3-4; however, discussions were tabled until one of the absent members could participate.

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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers were available to participate in the teleconference. CSRA, CPRIT's contracted third-party grant application administrator, was available to facilitate the meeting.

The independent observers noted that all discussions were tabled until one of the absent reviewers could participate. One Panel Chairperson and five review panelists were present when the discussion was tabled. We also note here that two CPRIT staff members and three CSRA employees were available.

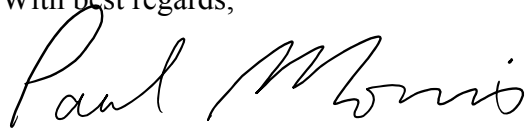
Conclusion

In conclusion; we observed that the activities and discussion of the Academic Research – Scientific Review Council Meeting 18.1 were tabled until a later time when all participants could be present.

Third-party observation services do 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,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
November 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-12-14_SRC_18.1
Program Name: Academic Research
Panel Name: 18.1 Scientific Review Council Meeting

Panel Date: December 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 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 – 18.1 Scientific Review Council Meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 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 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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Scientific Review Council Meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Scientific Review Council Meeting:

- Forty-five (45) of forty-six (46) applications were recommended for funding;
- Participants: seven Scientific Review Council members participated in the meeting, which included the SRC Chair and six council participants;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

There were no COIs identified prior or during the meeting. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

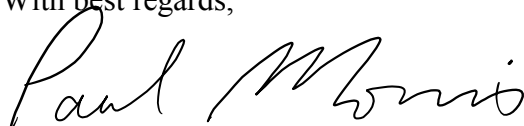
Conclusion

In conclusion; we observed that the activities of the Academic Research– 18.1 Scientific Review Council 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,



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

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research 18.1 Applications
(Academic Research Cycle 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 Academic Research Recruitment Cycle 18.1 include *Individual Investigator Research Awards (IIRA)*, *Individual Investigator Research Awards for Computational Biology (IIRACB)*, *Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA)*, *Individual Investigator Research Awards for Clinical Translation (IIRACT)* and *Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) 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			
RP180244pe/ RP180244	Bin Wang	The University of Texas M. D. Anderson Cancer Center	Matthew Weitzman
RP180343	Jinming Gao	The University of Texas Southwestern Medical Center	James Willson
RP180313pe/ RP180313	Guillermina Lozano	The University of Texas M. D. Anderson Cancer Center	Carol Prives
RP180381pe/ RP180381	Livia Schiavinato Eberlin	The University of Texas at Austin	Robertson Parkman; Ying Lu
RP180047pe/ RP180047	Yihong Wan	The University of Texas Southwestern Medical Center	Geoffrey Greene
RP180181pe/ RP180181	Stephanie Watowich	The University of Texas M. D. Anderson Cancer Center	Lee Helman; Yves DeClerck

Application ID	Applicant/PI	Institution	Conflict Noted
RP180220pe/ RP180220	Joseph McCarty	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180259pe/ RP180259	CHUNRU LIN	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180530pe/ RP180530	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180505pe/ RP180505	Ayumu Taguchi	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180607	Killary, Ann	The University of Texas M. D. Anderson Cancer Center	Christopher Li
Applications not considered by the PIC or Oversight Committee			
RP180079pe	Michael Roth	The University of Texas Southwestern Medical Center	George Prendergast
RP180107pe	Sanghoon Lee	The University of Texas M. D. Anderson Cancer Center	Steven Fiering
RP180174pe	Gautam Borthakur	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180359pe	Rolf Brekken	The University of Texas Southwestern Medical Center	George Prendergast
RP180387pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180083pe/ RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Jeffrey Wrana

Application ID	Applicant/PI	Institution	Conflict Noted
RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Ali Shilahn
RP180204pe	Gerardo Cisneros	University of North Texas	Matthew Weitzman
RP180237pe	Robert Bast	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP180262pe	Roopa Thapar	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180390pe	E. Paul Hasty	The University of Texas Health Science Center at San Antonio	Winfried Edelmann
RP180397pe	Chi-Lin Tsai	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422pe	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422*	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;Walter Chazin
RP180481pe	Melanie Cobb	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP180629pe	Tej Pandita	The Methodist Hospital Research Institute	Jan Karlseder
RP180045pe/ RP180045	Andras Heczey	Baylor College of Medicine	Gregory Cooper
RP180110pe	David Gerber	The University of Texas Southwestern Medical Center	Richard O'Reilly
RP180146pe	Virginia Kaklamani	The University of Texas Health Science Center at San Antonio	Michael Prados

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180199pe	Hua Zhao	The University of Texas M. D. Anderson Cancer Center	Michael Prados
RP180203pe	Fakhrul Ahsan	Texas Tech University Health Sciences Center	W. Martin Kast;Ying Lu
RP180402pe	William Symmans	The University of Texas M. D. Anderson Cancer Center	D.onna Niedzwiecki
RP180416pe/ RP180416*	Manisha singh	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180479pe	Scott Kopetz	The University of Texas M. D. Anderson Cancer Center	Garth Powis;Howard Hochster
RP180480pe	John Minna	The University of Texas Southwestern Medical Center	Paul Bunn
RP180510pe	Anirban Maitra	The University of Texas M. D. Anderson Cancer Center	Margaret Tempero
RP180513pe	Roza Nurieva	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180533pe/ RP180533	Timothy Yap	The University of Texas M. D. Anderson Cancer Center	W. Martin Kast
RP180543pe/ RP180543*	Charles Reynolds	Texas Tech University Health Sciences Center	Stephen Grupp;W. Martin Kast
RP180569pe	Matthew Ellis	Baylor College of Medicine	Donna Niedzwiecki
RP180661pe	Rongfu Wang	The Methodist Hospital Research Institute	W. Martin Kast
RP180035pe	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	Lee Helman

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180043pe	Samuel Mok	The University of Texas M. D. Anderson Cancer Center	Lee Helman ;Yves DeClerck
RP180084pe	Marie-Claude Hofmann	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180085pe/ RP180085	Shiaw-Yih Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180093pe	Lee Ellis	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180113pe/ RP180113	Dimple Chakravarty	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180134pe	Anurag Purushothaman	MDACC/BLI	Lee Helman
RP180144pe	Dos Sarbassov	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180165pe	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180234pe/ RP180234	Dihua Yu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180241pe	Shawn Bratton	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180242pe	Valerie LeBleu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180252pe	Honami Naora	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180253pe	Chun Li	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180258pe	Min Gyu Lee	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180260pe	Shyam Kavuri	Baylor College of Medicine	Geoffrey Greene
RP180263pe	Bogdan Czerniak	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa; Lee Helman
RP180285pe/ RP180285	Sue-Hwa Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180329pe/ RP180329	Jing Yang	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180352pe	Lanlan Shen	Baylor College of Medicine	Jean-Pierre Issa
RP180395pe	Robert Gagel	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180403pe	Stephen Wong	The Methodist Hospital Research Institute	Lee. Helman
RP180413pe	Herbert Levine	Rice University	Lee Helman
RP180417pe	Jinsong Liu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180434pe	Qiang Shen	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180475pe	Nahum Puebla-Osorio	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180488pe	Vashisht Yennu Nanda	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180496pe	Rachel Schiff	Baylor College of Medicine	Geoffrey Greene
RP180496	Rachel Schiff	Baylor College of Medicine	Anne Tonachel;Geoffrey Greene
RP180506pe	Richard Ford	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180511pe	Nicholas Mitsiades	Baylor College of Medicine	Geoffrey Greene
RP180535pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180552pe/ RP180552*	Menashe Bar-Eli	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180589pe	Jeffrey Rosen	Baylor College of Medicine	Benjamin Berman;J Jean-Pierre Issa;Steve Belinsky
RP180036pe	Angelica Roncancio	The University of Texas Health Science Center at Houston	Lawrence Kushi
RP180223pe	Khandan Keyomarsi	The University of Texas M. D. Anderson Cancer Center	Christopher Haiman;Lawrence Kushi
RP180229pe	Michael Ittmann	Baylor College of Medicine	Christopher Haiman
RP180355pe/ RP180355	Laura Beretta	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180383pe	Robin Leach	The University of Texas Health Science Center at San Antonio	Christopher Haiman;William Barlow

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180427pe/ RP180427	Yanhong Liu	Baylor College of Medicine	Lorelei Mucci
RP180485pe/ RP180485	Alexander Prokhorov	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP180527pe	Shine Chang	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180016pe/ RP180016*	Marianna Dakanali	The University of Texas Southwestern Medical Center	Anna Wu
RP180273pe/ RP180273	Barrett Harvey	The University of Texas Health Science Center at Houston	Anna Wu
RP180291pe/ P180291	Jae Mo Park	The University of Texas Southwestern Medical Center	Brian Rutt
RP180322pe/ RP180322	Eva Sevick	The University of Texas Health Science Center at Houston	Anna Wu
RP180334pe	Vikas Kundra	The University of Texas M. D. Anderson Cancer Center	G. Johnson
RP180389pe	Amir Owangi	The University of Texas Southwestern Medical Center	Anna Wu
RP180393pe/ RP180393	Sarah McGuire	The University of Texas Southwestern Medical Center	Anna Wu
RP180424pe/ RP180424	Orhan Oz	The University of Texas Southwestern Medical Center	Anna Wu
RP180444pe	Jung-whan Kim	The University of Texas at Dallas	Arion-Xenofon Chatziioannou; Anna Wu

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180465pe	Javier Villafruela	The University of Texas Southwestern Medical Center	Anna Wu
RP180651pe	Yaowu Hao	The University of Texas at Arlington	Anna Wu
RP180660pe	Wei Chen	The University of Texas at Arlington	Anna Wu

De-Identified Overall Evaluation Scores

Individual Investigator Research Awards for Computational Biology

Academic Research Cycle 18.1

Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP180248*	1.9
Va	3.0
Vb	3.7
Vc	4.0
Vd	4.0
Ve	4.0
Vf	4.7
Vg	4.7
Vh	5.0
Vi	5.3
Vj	5.7

* = Recommended for funding

Individual Investigator Research Awards Computational Biology

Academic Research Cycle 18.1

Final Scores for Preliminary Evaluation

These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.

Application ID	Final Overall Evaluation Score
La	3.33
Lb	3.33
Lc	3.67
Ld	3.67
Le	3.67
Lf	3.67
Lg	3.67
Lh	4.00
Li	4.00
Lj	4.33
Lk	4.33
Ll	4.33
Lm	4.33
Ln	4.33
Lo	4.67
Lp	4.67
Lq	4.67
Lr	4.67
Ls	4.67
Lt	5.00
Lu	5.00
Lv	5.00
Lw	5.00
Lx	5.00
Ly	5.00
Lz	5.33
Ma	5.33
Mb	5.67
Mc	5.67
Md	6.00
Me	6.33
Mf	7.00

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

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

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January 16, 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

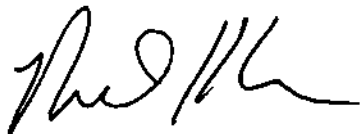
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Clinical Translation (IIRACT) and Individual Investigator Research Awards for Prevention and Early Detection (IIRAP). The SRC met on December 14, 2017 to consider the applications recommended by the peer review panels following their meetings that were held October 16, 2017 – October 24, 2017.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$47,095,197.

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	Score	Application Title	PI	PI Organization	Budget
1	RP180313	IIRA	1.0	A somatic mutant p53 mouse model of metastatic triple negative breast cancer	Lozano, G.	The University of Texas M. D. Anderson Cancer Center	\$900,000
2	RP180505	IIRAP	1.4	Circulating Exosomes as Biomarkers for Lung Cancer Early Detection	Taguchi, A.	The University of Texas M. D. Anderson Cancer Center	\$799,085
3	RP180147	IIRA	1.6	Prevalence of Rare Passenger Mutations in Biopsy Tissue as Cancer Stratification Markers	Zhang, D.	Rice University	\$900,000
4	RP180047	IIRA	1.7	A Novel Dual Suppressor of Cancer Bone Metastasis	Wan, Y.	The University of Texas Southwestern Medical Center	\$898,672
5	RP180192	IIRA	1.8	Dissecting the interplay between BAP1 and PBRM1 in renal cancer	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$897,633
6	RP180343	IIRA	1.8	Turn ON the Tumor Contrast in Lymph Node Metastases for Occult Disease Detection	Gao, J.	The University of Texas Southwestern Medical Center	\$885,684
7	RP180178	IIRA	1.8	Imaging glucose stimulated zinc secretion (GSZS) from the prostate by MRI: A potentially powerful method for early detection of prostate cancer	Sherry, D.	The University of Texas Southwestern Medical Center	\$900,000
8	RP180463	IIRACCA	1.9	Compound heterozygous mutations in pediatric cancer predisposition	Schlacher, K.	The University of Texas M. D. Anderson Cancer Center	\$556,763*
9	RP180248	IIRACB	1.9	Characterizing cancer genome instability and translational impact using new sequencing technologies	Chen, K.	The University of Texas M. D. Anderson Cancer Center	\$898,997

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
10	RP180191	IIRACCA	1.9	Understanding TFE3-mediated Tumorigenesis through Analysis of a Novel, Clinically-Relevant Mouse Model of Translocation Renal Cell Carcinoma	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$1,155,128
11	RP180220	IIRA	1.9	Targeting the prion protein Doppel in brain tumor angiogenesis	McCarty, J.	The University of Texas M. D. Anderson Cancer Center	\$900,000
12	RP180435	IIRA	2.0	Fasting-induced inhibition of leukemia development	Zhang, C.	The University of Texas Southwestern Medical Center	\$900,000
13	RP180275	IIRA	2.0	Targeting Stromal ERalpha for Cervical Cancer Therapy	Chung, S.	University of Houston	\$811,617
14	RP180381	IIRACT	2.0	Mass Spectrometry Imaging to Uncover Predictive Metabolic Markers of Ovarian Cancer Surgical Outcome and Treatment Response	Schiavinato Eberlin, L.	The University of Texas at Austin	\$1,092,048
15	RP180394	IIRACCA	2.0	Targeting the metastatic sarcoma niche using leukocyte biomimetic nanoparticles	Tasciotti, E.	The Methodist Hospital Research Institute	\$1,199,617
16	RP180131	IIRACCA	2.1	DNA methylation signatures of cell-free DNA in CSF as a new response biomarker for pediatric medulloblastoma	Sun, D.	Texas A&M University System Health Science Center	\$1,200,000
17	RP180196	IIRACCA	2.1	Microwafers as Novel Drug or Gene Delivery Vehicles for Noninvasive Treatment of Retinoblastoma	Hurwitz, R.	Baylor College of Medicine	\$1,195,721
18	RP180410	IIRA	2.2	Mechanisms of Nuclear Export in Cancer	Chook, Y.	The University of Texas Southwestern Medical Center	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
19	RP180181	IIRA	2.2	Targeting neutrophil elastase as a novel therapy for metastatic breast cancer	Watowich, S.	The University of Texas M. D. Anderson Cancer Center	\$900,000
20	RP180504	IIRA	2.2	Elucidating the Epigenetic and Metabolic Vulnerabilities of Myeloproliferative Neoplasms	Xu, J.	The University of Texas Southwestern Medical Center	\$900,000
21	RP180268	IIRA	2.2	Determining the role of polyploidization in liver cancer development	Zhu, H.	The University of Texas Southwestern Medical Center	\$900,000
22	RP180309	IIRA	2.2	Inhibiting Oxidative Phosphorylation: A Novel Strategy in Leukemia	Konopleva, M.	The University of Texas M. D. Anderson Cancer Center	\$900,000
23	RP180261	IIRA	2.2	Multi-Loading Strategy for Constructing Potent Antibody-Drug Conjugates	Tsuchikama, K.	The University of Texas Health Science Center at Houston	\$900,000
24	RP180473	IIRACT	2.2	Clinical trials of C188-9, an oral inhibitor of signal transducer and activator of transcription (STAT) 3, in patients with hepatocellular carcinoma (HCC)	Tweardy, D.	The University of Texas M. D. Anderson Cancer Center	\$2,399,905
25	RP180031	IIRA	2.2	Imaging of biochemical alterations in human breast malignancy using CEST-MRI	Vinogradov, E.	The University of Texas Southwestern Medical Center	\$900,000
26	RP180244	IIRA	2.3	Functional analyses of linkage-specific ubiquitination in the DNA damage response	Wang, B.	The University of Texas M. D. Anderson Cancer Center	\$900,000
27	RP180404	IIRACT	2.3	Noninvasive detection of anthracycline induced cardiotoxicity using hyperpolarized carbon 13 based magnetic resonance spectroscopic imaging	Zaha, V.	The University of Texas Southwestern Medical Center	\$2,397,204

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
28	RP180349	IIRA	2.4	Therapeutics Targeting Cancer-Associated HPV Replication	Chiang, C.	The University of Texas Southwestern Medical Center	\$900,000
29	RP180530	IIRA	2.4	Hippo signaling in non-alcoholic fatty liver disease (NAFLD) and its progression to hepatocellular carcinoma	Johnson, R.	The University of Texas M. D. Anderson Cancer Center	\$821,669
30	RP180607	IIRAP	2.4	Blood-based biomarkers for the early detection of pancreatic cancer	Killary, A.	The University of Texas M. D. Anderson Cancer Center	\$900,000
31	RP180590	IIRA	2.4	Development of an engineered & pharmacologically optimized human methionine-gamma-lyase drug candidate for the treatment of prostate cancer and glioblastoma	Stone, E.	The University of Texas at Austin	\$900,000
32	RP180553	IIRA	2.5	Structural and Functional Characterization of the DNA Double Strand Break Processing Complex of Mre11-Rad50	Latham, M.	Texas Tech University	\$850,876
33	RP180259	IIRA	2.5	PTEN Promotes Diabetic breast cancer metastasis	LIN, C.	The University of Texas M. D. Anderson Cancer Center	\$900,000
34	RP180588	IIRAP	2.5	Novel Computer Aided Diagnosis System For Early Detection Of Oral Cancer Based On Quantitative Autofluorescence Imaging	Jo, J.	Texas Engineering Experiment Station	\$897,394
35	RP180166	IIRACCA	2.6	Molecular mechanisms of anthracycline response in cardiomyocytes and link to genetic susceptibility to cardiotoxicity in long-	Hildebrandt, M.	The University of Texas M. D. Anderson Cancer Center	\$1,194,520

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
				term childhood cancer survivors			
36	RP180466	IIRACT	2.6	Integrated single-cell biomarkers of T-cell efficacy	Varadarajan, N.	University of Houston	\$1,173,420
37	RP180055	IIRA	2.7	Mechanisms and Treatment of Hippocampal Cognitive Impairment Associated with Androgen Deprivation Therapy for Prostate Cancer	Morilak, D.	The University of Texas Health Science Center at San Antonio	\$899,547
38	RP180472	IIRA	2.8	Mucosal vaccine formulations for targeted therapy of HPV cancers	Sastry, J.	The University of Texas M. D. Anderson Cancer Center	\$883,146
39	RP180457	IIRA	2.8	Tumor Activated Enzyme Inhibitors for the Treatment of Cancer	Ready, J.	The University of Texas Southwestern Medical Center	\$898,776
40	RP180140	IIRACT	2.8	EXTERNAL beam radiation to Eliminate Nominal metastatic Disease (EXTEND): A randomized phase II basket trial to assess local control of oligometastatic disease	Tang, C.	The University of Texas M. D. Anderson Cancer Center	\$2,394,412
41	RP180634	IIRACCA	2.9	Understanding metabolic regulation of pediatric glioma through mouse modeling and patient tumor interrogation in vivo.	Bachoo, R.	The University of Texas Southwestern Medical Center	\$1,200,000
42	RP180073	IIRACCA	3.4	Myeloid support of refractory and aggressive T-ALL at distinct tumor sites	Ehrlich, L.	The University of Texas at Austin	\$1,200,000
43	RP180177	IIRA	3.5	Novel Small Molecule Probes Targeting Histone Acetyltransferase p300/CBP	Song, Y.	Baylor College of Medicine	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
44	RP180288	IIRA	3.5	Innate Immune Regulation of Cancer Cell Proliferation	Yan, N.	The University of Texas Southwestern Medical Center	\$900,000
45	RP180319	IIRACCA	3.5	Rhabdomyosarcoma vulnerabilities: Prioritizing and extending to the clinic	Skapek, S.	The University of Texas Southwestern Medical Center	\$1,193,363

*RP180463 Reflects budget as reduced by the SRC. SRC recommended to fund only Aim 1 and reduce the duration of the study from 4 years to 3.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 1
*Individual Investigator Research Awards for
Cancer in Children and Adolescents*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-18.1-IIRACCA

**Individual Investigator Research Awards for
Cancer in Children and Adolescents**

**Please also refer to the Instructions for Applicants document,
which will be posted on March 15, 2017**

Application Receipt Opening Date: March 15, 2017

Application Receipt Closing Date June 8, 2017

FY 2018

Fiscal Year Award Period
September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 1/05/17 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

In recent decades, great strides have been made in reducing mortality from childhood cancers. Most of these gains have been realized in childhood leukemia and lymphoma. However, improvements in survival have been less robust in other types of childhood cancers, which make up more than 40% of total cancer cases in children and adolescents aged 0 to 19 years. Furthermore, the overall incidence of pediatric cancer has increased at an annual rate of 0.6% since 1975, with most of the increases being seen in acute lymphocytic leukemia, brain and central nervous system tumors, non-Hodgkin's lymphoma, and testicular germ cell tumors. Reasons for increases in these tumor types are unknown, indicating that information on the etiology of these cancers is urgently needed. Because of the high rates of survival for certain childhood and adolescent cancers, there are increasing numbers of survivors of such cancers living today. These individuals have a high rate of late effects from the cancer or its treatment, including the occurrence of additional cancers. Clearly, more effective, less toxic treatments are needed for these diseases. However, few new therapies have been developed in recent years. Several reasons account for the paucity of new treatments, including the lack of interest on the part of pharmaceutical companies in developing treatments for cancers that account for only 1% of all cancer cases and the difficulty of collecting sufficient numbers of tumors for laboratory studies.

Because cancers in children and adolescents differ from those in adults with regard to genetic alterations and biological behavior, application of adult therapies to these cancers may not be successful. Therefore, this area of investigation represents an opportunity for CPRIT to deploy funding in an area of critical need that is not heavily represented in other funding portfolios.

3. RESEARCH OBJECTIVES

This Request for Applications (RFA) solicits applications from individual investigators for innovative research projects addressing questions that will advance current knowledge of the causes, prevention, progression, detection, or treatment of cancer in children and adolescents. Applications may address any topic related to these areas as well as projects dealing with the causes or amelioration of late effects of cancer treatment. Laboratory, clinical, or population-based studies are all acceptable. CPRIT expects the outcome of the research to reduce the incidence, morbidity, or mortality from cancer in children and/or adolescents in the near or long term. Applications that seek to apply or develop state-of-the-art approaches, technologies, tools, treatments, and/or resources are encouraged, particularly those with potential for

commercialization. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies.

The subject of applications may include, but is not limited to, the following:

- Causes of cancer in children and adolescents, including genetic factors or prenatal exposure to environmental agents;
- Identification of risk factors for cancer development;
- New methods for diagnosing cancers in children and/or adolescents;
- Development of new therapies, including targeted therapies, immunotherapies, and new drugs;
- Identification of patients at risk of developing late effects of cancer treatment;
- Improvements in quality of life for survivors of childhood and adolescent cancers.

The *degree of relevance* to reducing the burden of cancer in these populations is a critical criterion for evaluation of projects for funding by CPRIT.

4. FUNDING INFORMATION

Applicants may request a maximum of \$300,000 per year for a period of up to 4 years.

Applicants that plan on conducting a clinical trial as part of the project may request up to \$500,000 in total costs per year for up to 4 years. Exceptions to these limits may be requested if extremely well justified. Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation 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.

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 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.
- A PI may submit only 1 new application under this RFA during this funding cycle. A PI may not submit applications to this RFA and to RFA-R-18.1-IIRA, RFA-R-18.1-IIRACT, RFA-R-18.1-IIRACB, or RFA R-18.1-IIRAP. Only 1 IIRACB, IIRACT, IIRACCA, IIRA, or IIRAP application per cycle is allowed.
- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-18.1-IIRACB, RFA-R-18.1-IIRACT, RFA R-18.1-IIRA, or RFA R-18.1-IIRAP.
- An investigator who is the PI on 3 or more CPRIT grants of any type that will be active December 1, 2017 is not eligible to submit an application in response to this RFA.
- Applications that address untargeted research, Prevention and Early Detection, or Computational Biology should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included.
- 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 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 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. 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 8.2.5](#).

7. RENEWAL POLICY

An application originally funded by CPRIT as an IIRA that is appropriate for the IIRACCA mechanism may be submitted under this RFA for a competitive renewal. See [section 8.2.6](#). Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See [section 9.2](#).

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. 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 March 15, 2017, and must be submitted by 4 PM central time on June 8, 2017. **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 for 1 or more grant applications 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](#). 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 withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

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. **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)).** 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).

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 cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

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 9.2](#)) 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. Resubmission Summary (2 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. 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.

8.2.6. Renewal Summary (2 pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.7. Research Plan (10 pages)

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

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.

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

If vertebrate animals will be used, provide a detailed plan of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a detailed plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, reference biostatistical input for sample selection and evaluation. In addition certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

8.2.9. Publications/References

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

8.2.10. Budget and Justification

Provide a compelling and detailed 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. Do not exceed \$300,000 per year for a period of up to 4 years.

Applicants that plan on conducting a clinical trial as part of the project may request up to \$500,000 in total costs per year for up to 4 years. Applicants are advised not to interpret the maximum allowable time and funding under this award as a suggestion that they should expand their anticipated work and 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:

- 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.

8.2.11. 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. The NIH biosketch format is appropriate.

8.2.12. 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. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

8.2.13. 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.

8.2.14. 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.

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

To ensure the timely and thorough review of only the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, all eligible applications may be preliminarily evaluated by CPRIT Scientific Research Program panel members for scientific merit and impact.

This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical

Sketches. Applications that do not sufficiently capture the reviewers' interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.

The applicant will be notified of the decision to disapprove the application after the preliminary evaluation stage has concluded. Due to the volume of applications to be reviewed, comments made by reviewers at the preliminary evaluation stage may not be provided to applicants. The preliminary evaluation process will be used only when the number of applications exceeds the capacity of the review panels to conduct a full peer review of all received applications.

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further 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 in [section 9.4](#). Applicants will be notified of peer review panel assignments prior to the peer review meeting dates. Peer review panel membership can be found on the CPRIT website. 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 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](#).

9.3. 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 Research 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.

9.4. 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 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.**

9.4.1. 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 results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? 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? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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 sufficient preliminary data and/or 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 and expertise 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 address cancer in children or adolescents? Is it likely to make an impact on these diseases? This is a critical criterion for evaluation of projects for CPRIT support.

9.4.2. 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: Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

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 January 5, 2017

Application

Online application opens March 15, 2017, 7 AM central time

Application due June 8, 2017, 4 PM central time

Application review August-October 2017

Award

Award notification February 14, 2018

Anticipated start date March 1, 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 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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements regarding demonstration of available funding. 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.

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 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 Peer Review Observation Report*

Report No. 2017-10-16_CB_18.1
Program Name: Academic Research
Panel Name: Cancer Biology 18.1 (CB_18.1)

Panel Date: October 16, 2017
Report Date: October 16, 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 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 Panel 18.1. The meeting was chaired by Peter Jones and conducted in person as well as via conference call at the Houston Marriott North on October 16, 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 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 Cancer Biology peer review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Biology peer review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Cancer Biology peer review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Biology meeting:

- Eighteen of twenty-six applications were discussed to score applicants for funding;
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists participated in the meeting;
- Two CPRIT staff members and eight CSRA employees participated in the meeting. Four additional CSRA staff participated throughout the meeting or intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria;
- Commencement of the Cancer Biology meeting was delayed due to logistical issues related to equipment.

Regarding applications with a conflict of interest (COIs):

- Twelve total applications had fourteen COIs; two of the applications each had two COIs.
- Of the twelve applications with COIs, ten of the applications were discussed and two of the applications were not discussed;
- No additional COIs were identified during the peer review panel;
- The reviewers with conflicts did not participate in the reviews of the conflicted applications. All participating reviewers with a conflict signed out on the COI log when leaving the room. One additional reviewer with several conflicts did not attend or participate telephonically in the meeting.

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

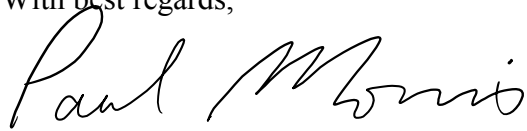
Conclusion

In conclusion; we observed that the activities of the Academic Research - Cancer Biology Panel 18.1 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,

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
October 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-18_BCR_18.1 Panel 2
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_2 (CPRIT BCR-2)

Panel Date: October 18, 2017
Report Date: October 18, 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 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 Basic Cancer Research 18.1_2 Peer Review Meeting. The meeting was chaired by Carol Prives and conducted in person as well as via conference call at the Houston Marriott North on October 18, 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 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 Basic Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_2 meeting:

- Seventeen out of thirty-five applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: Seventeen peer review panelists including the Panel Chairperson, two advocate reviewers and the remaining fourteen peer review panelists;
- Two CPRIT staff members and seven CSRA employees participated in the meeting. Three additional CSRA or hotel staff participated intermittently or entered the room in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Three applications with COIs were identified prior to the meeting. One additional COI was identified during the peer review panel and addressed before the application was discussed;
- One additional application with a COI was not discussed.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers 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.

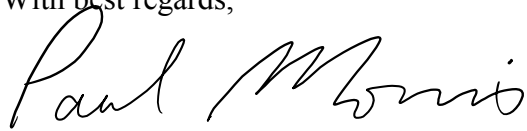
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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,

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
October 18, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-19_C/TCR_18.1
Program Name: Academic Research
Panel Name: Clinical/Translational Cancer Research 18.1 (C/TCR_18.1)

Panel Date: October 19, 2017
Report Date: October 19, 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 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 Clinical/Translational Cancer Research 18.1 Peer Review Meeting. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and was conducted in person as well as via teleconference at the Marriott North Houston on October 19, 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 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 Clinical/Translational Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Clinical/Translational Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Clinical/Translational Cancer Research 18.1 meeting:

- Twenty-one out of thirty-nine applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-eight peer review panelists participated in the panel, which included two Panel Chairpersons; twenty-three peer review panelists; and three advocate reviewers;
- Two CPRIT staff members and six CSRA employees participated in the meeting. Three additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Two reviewed applications had a combined total of three COI's;
- Two additional applications with COIs were not reviewed or discussed during the panel;
- No additional COIs were identified during the peer review panel;
- The co-chair introduced one application before the COI reviewers were able to exit the discussion, but quickly corrected and paused until the reviewers with conflicts left the room. The reviewers with conflicts did not participate in the review details.

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

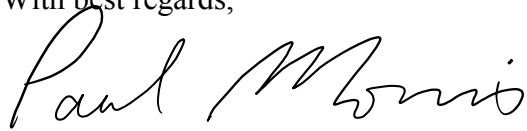
Conclusion

In conclusion; we observed that the activities of the Academic Research Clinical/Translational Cancer Research 18.1 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.

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
October 19, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-20_BCR_18.1 Panel 1
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_1 (CPRIT BCR-1)

Panel Date: October 20, 2017
Report Date: October 20, 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 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 Basic Cancer Research 18.1_1 Peer Review Meeting. The meeting was chaired by Thomas Curran and conducted in person at the Houston Marriott North on October 20, 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 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 Basic Cancer Research panel members or CSRA staff;
- CPRIT program staff do not engage in panel discussions on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_1 meeting:

- Eighteen out of twenty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists;
- Two CPRIT staff members and four CSRA employees participated in the meeting. Two additional CSRA or hotel staff participated intermittently in a logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

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

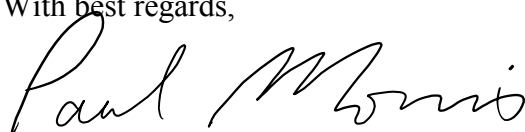
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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.

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 20, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-23_ITI_18.1
Program Name: Academic Research
Panel Name: Imaging Technology and Informatics (ITI_18.1)

Panel Date: October 23, 2017
Report Date: October 23, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Sam Gambir and conducted in person and via teleconference at the North Houston Marriott on October 23, 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 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 Imaging Technology and Informatics Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Imaging Technology and Informatics Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Imaging Technology and Informatics panel meeting:

- Nineteen out of thirty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-four peer review panelists participated in the panel, which included the Panel Chair; twenty-one peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Three additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Five applications reviewed had one COI each. One additional application with a COI was not reviewed;
- There were no other COIs identified during the meeting;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

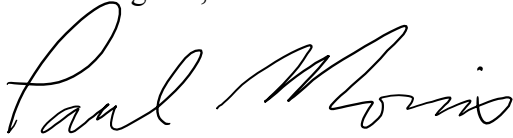
Conclusion

In conclusion; we observed that the activities of the Academic Research - Imaging Technology and Informatics Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

A handwritten signature in black ink, appearing to read "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
October 23, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-24_CPR_18.1
Program Name: Academic Research
Panel Name: Cancer Prevention Research (CPR_18.1)

Panel Date: October 24, 2017
Report Date: October 24, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Tom Sellers and conducted in person and via teleconference at the North Houston Marriott on October 24, 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 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 Cancer Prevention Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Prevention Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

The BFS independent observer participated in the Cancer Prevention Research Peer Review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

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

- Eleven of nineteen applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty peer review panelists participated in the panel, which included the Panel Chair; seventeen peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Two additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Four applications reviewed had one COI each. One additional application with a COI was not reviewed;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Prevention Research 18.1 Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

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

Paul Morris, CPA, CIA
Vice President, Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 24, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-11-16_SRC_18.1
Program Name: Academic Research
Panel Name: SRC Meeting: Review Panel 18.1

Panel Date: November 16, 2017
Report Date: November 16, 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 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 – 18.1 Scientific Review Council Meeting. The SRC meeting was to be conducted immediately after Recruitment Review Panel-18.3-4; however, discussions were tabled until one of the absent members could participate.

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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers were available to participate in the teleconference. CSRA, CPRIT's contracted third-party grant application administrator, was available to facilitate the meeting.

The independent observers noted that all discussions were tabled until one of the absent reviewers could participate. One Panel Chairperson and five review panelists were present when the discussion was tabled. We also note here that two CPRIT staff members and three CSRA employees were available.

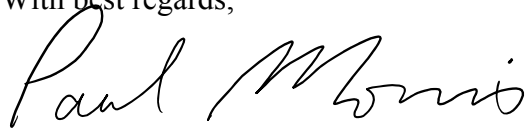
Conclusion

In conclusion; we observed that the activities and discussion of the Academic Research – Scientific Review Council Meeting 18.1 were tabled until a later time when all participants could be present.

Third-party observation services do 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,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
November 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-12-14_SRC_18.1
Program Name: Academic Research
Panel Name: 18.1 Scientific Review Council Meeting

Panel Date: December 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 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 – 18.1 Scientific Review Council Meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 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 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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Scientific Review Council Meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Scientific Review Council Meeting:

- Forty-five (45) of forty-six (46) applications were recommended for funding;
- Participants: seven Scientific Review Council members participated in the meeting, which included the SRC Chair and six council participants;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

There were no COIs identified prior or during the meeting. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

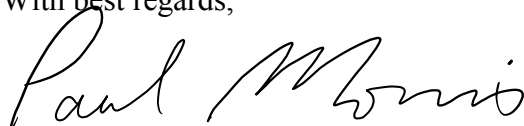
Conclusion

In conclusion; we observed that the activities of the Academic Research– 18.1 Scientific Review Council 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,



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

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research 18.1 Applications
(Academic Research Cycle 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 Academic Research Recruitment Cycle 18.1 include *Individual Investigator Research Awards (IIRA)*, *Individual Investigator Research Awards for Computational Biology (IIRACB)*, *Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA)*, *Individual Investigator Research Awards for Clinical Translation (IIRACT)* and *Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) 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			
RP180244pe/ RP180244	Bin Wang	The University of Texas M. D. Anderson Cancer Center	Matthew Weitzman
RP180343	Jinming Gao	The University of Texas Southwestern Medical Center	James Willson
RP180313pe/ RP180313	Guillermina Lozano	The University of Texas M. D. Anderson Cancer Center	Carol Prives
RP180381pe/ RP180381	Livia Schiavinato Eberlin	The University of Texas at Austin	Robertson Parkman; Ying Lu
RP180047pe/ RP180047	Yihong Wan	The University of Texas Southwestern Medical Center	Geoffrey Greene
RP180181pe/ RP180181	Stephanie Watowich	The University of Texas M. D. Anderson Cancer Center	Lee Helman; Yves DeClerck

Application ID	Applicant/PI	Institution	Conflict Noted
RP180220pe/ RP180220	Joseph McCarty	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180259pe/ RP180259	CHUNRU LIN	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180530pe/ RP180530	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180505pe/ RP180505	Ayumu Taguchi	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180607	Killary, Ann	The University of Texas M. D. Anderson Cancer Center	Christopher Li
Applications not considered by the PIC or Oversight Committee			
RP180079pe	Michael Roth	The University of Texas Southwestern Medical Center	George Prendergast
RP180107pe	Sanghoon Lee	The University of Texas M. D. Anderson Cancer Center	Steven Fiering
RP180174pe	Gautam Borthakur	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180359pe	Rolf Brekken	The University of Texas Southwestern Medical Center	George Prendergast
RP180387pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180083pe/ RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Jeffrey Wrana

Application ID	Applicant/PI	Institution	Conflict Noted
RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Ali Shilahn
RP180204pe	Gerardo Cisneros	University of North Texas	Matthew Weitzman
RP180237pe	Robert Bast	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP180262pe	Roopa Thapar	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180390pe	E. Paul Hasty	The University of Texas Health Science Center at San Antonio	Winfried Edelmann
RP180397pe	Chi-Lin Tsai	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422pe	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422*	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;Walter Chazin
RP180481pe	Melanie Cobb	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP180629pe	Tej Pandita	The Methodist Hospital Research Institute	Jan Karlseder
RP180045pe/ RP180045	Andras Heczey	Baylor College of Medicine	Gregory Cooper
RP180110pe	David Gerber	The University of Texas Southwestern Medical Center	Richard O'Reilly
RP180146pe	Virginia Kaklamani	The University of Texas Health Science Center at San Antonio	Michael Prados

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180199pe	Hua Zhao	The University of Texas M. D. Anderson Cancer Center	Michael Prados
RP180203pe	Fakhrul Ahsan	Texas Tech University Health Sciences Center	W. Martin Kast;Ying Lu
RP180402pe	William Symmans	The University of Texas M. D. Anderson Cancer Center	D.onna Niedzwiecki
RP180416pe/ RP180416*	Manisha singh	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180479pe	Scott Kopetz	The University of Texas M. D. Anderson Cancer Center	Garth Powis;Howard Hochster
RP180480pe	John Minna	The University of Texas Southwestern Medical Center	Paul Bunn
RP180510pe	Anirban Maitra	The University of Texas M. D. Anderson Cancer Center	Margaret Tempero
RP180513pe	Roza Nurieva	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180533pe/ RP180533	Timothy Yap	The University of Texas M. D. Anderson Cancer Center	W. Martin Kast
RP180543pe/ RP180543*	Charles Reynolds	Texas Tech University Health Sciences Center	Stephen Grupp;W. Martin Kast
RP180569pe	Matthew Ellis	Baylor College of Medicine	Donna Niedzwiecki
RP180661pe	Rongfu Wang	The Methodist Hospital Research Institute	W. Martin Kast
RP180035pe	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	Lee Helman

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180043pe	Samuel Mok	The University of Texas M. D. Anderson Cancer Center	Lee Helman ;Yves DeClerck
RP180084pe	Marie-Claude Hofmann	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180085pe/ RP180085	Shiaw-Yih Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180093pe	Lee Ellis	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180113pe/ RP180113	Dimple Chakravarty	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180134pe	Anurag Purushothaman	MDACC/BLI	Lee Helman
RP180144pe	Dos Sarbassov	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180165pe	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180234pe/ RP180234	Dihua Yu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180241pe	Shawn Bratton	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180242pe	Valerie LeBleu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180252pe	Honami Naora	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180253pe	Chun Li	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180258pe	Min Gyu Lee	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180260pe	Shyam Kavuri	Baylor College of Medicine	Geoffrey Greene
RP180263pe	Bogdan Czerniak	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa; Lee Helman
RP180285pe/ RP180285	Sue-Hwa Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180329pe/ RP180329	Jing Yang	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180352pe	Lanlan Shen	Baylor College of Medicine	Jean-Pierre Issa
RP180395pe	Robert Gagel	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180403pe	Stephen Wong	The Methodist Hospital Research Institute	Lee. Helman
RP180413pe	Herbert Levine	Rice University	Lee Helman
RP180417pe	Jinsong Liu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180434pe	Qiang Shen	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180475pe	Nahum Puebla-Osorio	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180488pe	Vashisht Yennu Nanda	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180496pe	Rachel Schiff	Baylor College of Medicine	Geoffrey Greene
RP180496	Rachel Schiff	Baylor College of Medicine	Anne Tonachel;Geoffrey Greene
RP180506pe	Richard Ford	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180511pe	Nicholas Mitsiades	Baylor College of Medicine	Geoffrey Greene
RP180535pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180552pe/ RP180552*	Menashe Bar-Eli	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180589pe	Jeffrey Rosen	Baylor College of Medicine	Benjamin Berman;J Jean-Pierre Issa;Steve Belinsky
RP180036pe	Angelica Roncancio	The University of Texas Health Science Center at Houston	Lawrence Kushi
RP180223pe	Khandan Keyomarsi	The University of Texas M. D. Anderson Cancer Center	Christopher Haiman;Lawrence Kushi
RP180229pe	Michael Ittmann	Baylor College of Medicine	Christopher Haiman
RP180355pe/ RP180355	Laura Beretta	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180383pe	Robin Leach	The University of Texas Health Science Center at San Antonio	Christopher Haiman;William Barlow

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180427pe/ RP180427	Yanhong Liu	Baylor College of Medicine	Lorelei Mucci
RP180485pe/ RP180485	Alexander Prokhorov	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP180527pe	Shine Chang	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180016pe/ RP180016*	Marianna Dakanali	The University of Texas Southwestern Medical Center	Anna Wu
RP180273pe/ RP180273	Barrett Harvey	The University of Texas Health Science Center at Houston	Anna Wu
RP180291pe/ P180291	Jae Mo Park	The University of Texas Southwestern Medical Center	Brian Rutt
RP180322pe/ RP180322	Eva Sevick	The University of Texas Health Science Center at Houston	Anna Wu
RP180334pe	Vikas Kundra	The University of Texas M. D. Anderson Cancer Center	G. Johnson
RP180389pe	Amir Owangi	The University of Texas Southwestern Medical Center	Anna Wu
RP180393pe/ RP180393	Sarah McGuire	The University of Texas Southwestern Medical Center	Anna Wu
RP180424pe/ RP180424	Orhan Oz	The University of Texas Southwestern Medical Center	Anna Wu
RP180444pe	Jung-whan Kim	The University of Texas at Dallas	Arion-Xenofon Chatziioannou; Anna Wu

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180465pe	Javier Villafruela	The University of Texas Southwestern Medical Center	Anna Wu
RP180651pe	Yaowu Hao	The University of Texas at Arlington	Anna Wu
RP180660pe	Wei Chen	The University of Texas at Arlington	Anna Wu

De-Identified Overall Evaluation Scores

Individual Investigator Research Awards for Childhood Cancer

Academic Research Cycle 18.1

Final Scores for Fully Reviewed Applications

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. In this round, within the Individual Investigator Research Awards mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

This comprehensive list of Individual Investigator Research Awards de-identified application scores created for the purpose of this CEO affidavit packet combines the information for all seven 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.

Application ID	Final Overall Evaluation Score
RP180463*	1.9
RP180191*	1.9
RP180394*	2.0
RP180131*	2.1
RP180196*	2.1
RP180166*	2.6
RP180634*	2.9
Wa	3.0
RP180073*	3.4
RP180319*	3.5
Wb	3.7
Wc	4.0
Wd	5.3
We	5.7
Wf	6.0

* = Recommended for funding

Individual Investigator Research Awards Childhood Cancer

Academic Research Cycle 18.1

Final Scores for Preliminary Evaluation

These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.

Application ID	Final Overall Evaluation Score
Na	3.33
Nb	3.33
Nc	3.67
Nd	4.00
Ne	4.00
Nf	4.00
Ng	4.33
Nh	4.33
Ni	4.33
Nj	4.33
Nk	4.67
Nl	4.67
Nm	4.67
Nn	5.00
No	5.00
Np	5.33
Nq	5.33
Nr	5.33
Ns	6.00
Nt	6.00
Nu	6.33
Nv	7.00

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

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

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Distinguished Professor of
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January 16, 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

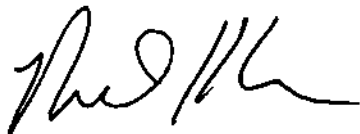
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Clinical Translation (IIRACT) and Individual Investigator Research Awards for Prevention and Early Detection (IIRAP). The SRC met on December 14, 2017 to consider the applications recommended by the peer review panels following their meetings that were held October 16, 2017 – October 24, 2017.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$47,095,197.

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	Score	Application Title	PI	PI Organization	Budget
1	RP180313	IIRA	1.0	A somatic mutant p53 mouse model of metastatic triple negative breast cancer	Lozano, G.	The University of Texas M. D. Anderson Cancer Center	\$900,000
2	RP180505	IIRAP	1.4	Circulating Exosomes as Biomarkers for Lung Cancer Early Detection	Taguchi, A.	The University of Texas M. D. Anderson Cancer Center	\$799,085
3	RP180147	IIRA	1.6	Prevalence of Rare Passenger Mutations in Biopsy Tissue as Cancer Stratification Markers	Zhang, D.	Rice University	\$900,000
4	RP180047	IIRA	1.7	A Novel Dual Suppressor of Cancer Bone Metastasis	Wan, Y.	The University of Texas Southwestern Medical Center	\$898,672
5	RP180192	IIRA	1.8	Dissecting the interplay between BAP1 and PBRM1 in renal cancer	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$897,633
6	RP180343	IIRA	1.8	Turn ON the Tumor Contrast in Lymph Node Metastases for Occult Disease Detection	Gao, J.	The University of Texas Southwestern Medical Center	\$885,684
7	RP180178	IIRA	1.8	Imaging glucose stimulated zinc secretion (GSZS) from the prostate by MRI: A potentially powerful method for early detection of prostate cancer	Sherry, D.	The University of Texas Southwestern Medical Center	\$900,000
8	RP180463	IIRACCA	1.9	Compound heterozygous mutations in pediatric cancer predisposition	Schlacher, K.	The University of Texas M. D. Anderson Cancer Center	\$556,763*
9	RP180248	IIRACB	1.9	Characterizing cancer genome instability and translational impact using new sequencing technologies	Chen, K.	The University of Texas M. D. Anderson Cancer Center	\$898,997

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
10	RP180191	IIRACCA	1.9	Understanding TFE3-mediated Tumorigenesis through Analysis of a Novel, Clinically-Relevant Mouse Model of Translocation Renal Cell Carcinoma	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$1,155,128
11	RP180220	IIRA	1.9	Targeting the prion protein Doppel in brain tumor angiogenesis	McCarty, J.	The University of Texas M. D. Anderson Cancer Center	\$900,000
12	RP180435	IIRA	2.0	Fasting-induced inhibition of leukemia development	Zhang, C.	The University of Texas Southwestern Medical Center	\$900,000
13	RP180275	IIRA	2.0	Targeting Stromal ERalpha for Cervical Cancer Therapy	Chung, S.	University of Houston	\$811,617
14	RP180381	IIRACT	2.0	Mass Spectrometry Imaging to Uncover Predictive Metabolic Markers of Ovarian Cancer Surgical Outcome and Treatment Response	Schiavinato Eberlin, L.	The University of Texas at Austin	\$1,092,048
15	RP180394	IIRACCA	2.0	Targeting the metastatic sarcoma niche using leukocyte biomimetic nanoparticles	Tasciotti, E.	The Methodist Hospital Research Institute	\$1,199,617
16	RP180131	IIRACCA	2.1	DNA methylation signatures of cell-free DNA in CSF as a new response biomarker for pediatric medulloblastoma	Sun, D.	Texas A&M University System Health Science Center	\$1,200,000
17	RP180196	IIRACCA	2.1	Microwafers as Novel Drug or Gene Delivery Vehicles for Noninvasive Treatment of Retinoblastoma	Hurwitz, R.	Baylor College of Medicine	\$1,195,721
18	RP180410	IIRA	2.2	Mechanisms of Nuclear Export in Cancer	Chook, Y.	The University of Texas Southwestern Medical Center	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
19	RP180181	IIRA	2.2	Targeting neutrophil elastase as a novel therapy for metastatic breast cancer	Watowich, S.	The University of Texas M. D. Anderson Cancer Center	\$900,000
20	RP180504	IIRA	2.2	Elucidating the Epigenetic and Metabolic Vulnerabilities of Myeloproliferative Neoplasms	Xu, J.	The University of Texas Southwestern Medical Center	\$900,000
21	RP180268	IIRA	2.2	Determining the role of polyploidization in liver cancer development	Zhu, H.	The University of Texas Southwestern Medical Center	\$900,000
22	RP180309	IIRA	2.2	Inhibiting Oxidative Phosphorylation: A Novel Strategy in Leukemia	Konopleva, M.	The University of Texas M. D. Anderson Cancer Center	\$900,000
23	RP180261	IIRA	2.2	Multi-Loading Strategy for Constructing Potent Antibody-Drug Conjugates	Tsuchikama, K.	The University of Texas Health Science Center at Houston	\$900,000
24	RP180473	IIRACT	2.2	Clinical trials of C188-9, an oral inhibitor of signal transducer and activator of transcription (STAT) 3, in patients with hepatocellular carcinoma (HCC)	Tweardy, D.	The University of Texas M. D. Anderson Cancer Center	\$2,399,905
25	RP180031	IIRA	2.2	Imaging of biochemical alterations in human breast malignancy using CEST-MRI	Vinogradov, E.	The University of Texas Southwestern Medical Center	\$900,000
26	RP180244	IIRA	2.3	Functional analyses of linkage-specific ubiquitination in the DNA damage response	Wang, B.	The University of Texas M. D. Anderson Cancer Center	\$900,000
27	RP180404	IIRACT	2.3	Noninvasive detection of anthracycline induced cardiotoxicity using hyperpolarized carbon 13 based magnetic resonance spectroscopic imaging	Zaha, V.	The University of Texas Southwestern Medical Center	\$2,397,204

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
28	RP180349	IIRA	2.4	Therapeutics Targeting Cancer-Associated HPV Replication	Chiang, C.	The University of Texas Southwestern Medical Center	\$900,000
29	RP180530	IIRA	2.4	Hippo signaling in non-alcoholic fatty liver disease (NAFLD) and its progression to hepatocellular carcinoma	Johnson, R.	The University of Texas M. D. Anderson Cancer Center	\$821,669
30	RP180607	IIRAP	2.4	Blood-based biomarkers for the early detection of pancreatic cancer	Killary, A.	The University of Texas M. D. Anderson Cancer Center	\$900,000
31	RP180590	IIRA	2.4	Development of an engineered & pharmacologically optimized human methionine-gamma-lyase drug candidate for the treatment of prostate cancer and glioblastoma	Stone, E.	The University of Texas at Austin	\$900,000
32	RP180553	IIRA	2.5	Structural and Functional Characterization of the DNA Double Strand Break Processing Complex of Mre11-Rad50	Latham, M.	Texas Tech University	\$850,876
33	RP180259	IIRA	2.5	PTEN Promotes Diabetic breast cancer metastasis	LIN, C.	The University of Texas M. D. Anderson Cancer Center	\$900,000
34	RP180588	IIRAP	2.5	Novel Computer Aided Diagnosis System For Early Detection Of Oral Cancer Based On Quantitative Autofluorescence Imaging	Jo, J.	Texas Engineering Experiment Station	\$897,394
35	RP180166	IIRACCA	2.6	Molecular mechanisms of anthracycline response in cardiomyocytes and link to genetic susceptibility to cardiotoxicity in long-	Hildebrandt, M.	The University of Texas M. D. Anderson Cancer Center	\$1,194,520

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
				term childhood cancer survivors			
36	RP180466	IIRACT	2.6	Integrated single-cell biomarkers of T-cell efficacy	Varadarajan, N.	University of Houston	\$1,173,420
37	RP180055	IIRA	2.7	Mechanisms and Treatment of Hippocampal Cognitive Impairment Associated with Androgen Deprivation Therapy for Prostate Cancer	Morilak, D.	The University of Texas Health Science Center at San Antonio	\$899,547
38	RP180472	IIRA	2.8	Mucosal vaccine formulations for targeted therapy of HPV cancers	Sastry, J.	The University of Texas M. D. Anderson Cancer Center	\$883,146
39	RP180457	IIRA	2.8	Tumor Activated Enzyme Inhibitors for the Treatment of Cancer	Ready, J.	The University of Texas Southwestern Medical Center	\$898,776
40	RP180140	IIRACT	2.8	EXTERNAL beam radiation to Eliminate Nominal metastatic Disease (EXTEND): A randomized phase II basket trial to assess local control of oligometastatic disease	Tang, C.	The University of Texas M. D. Anderson Cancer Center	\$2,394,412
41	RP180634	IIRACCA	2.9	Understanding metabolic regulation of pediatric glioma through mouse modeling and patient tumor interrogation in vivo.	Bachoo, R.	The University of Texas Southwestern Medical Center	\$1,200,000
42	RP180073	IIRACCA	3.4	Myeloid support of refractory and aggressive T-ALL at distinct tumor sites	Ehrlich, L.	The University of Texas at Austin	\$1,200,000
43	RP180177	IIRA	3.5	Novel Small Molecule Probes Targeting Histone Acetyltransferase p300/CBP	Song, Y.	Baylor College of Medicine	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
44	RP180288	IIRA	3.5	Innate Immune Regulation of Cancer Cell Proliferation	Yan, N.	The University of Texas Southwestern Medical Center	\$900,000
45	RP180319	IIRACCA	3.5	Rhabdomyosarcoma vulnerabilities: Prioritizing and extending to the clinic	Skapek, S.	The University of Texas Southwestern Medical Center	\$1,193,363

*RP180463 Reflects budget as reduced by the SRC. SRC recommended to fund only Aim 1 and reduce the duration of the study from 4 years to 3.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 1
*Individual Investigator Research Awards for
Clinical Translation*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-18.1-IIRACT

**Individual Investigator Research Awards
for Clinical Translation**

**Please also refer to the Instructions for Applicants document,
which will be posted on March 15, 2017**

Application Receipt Opening Date: March 15, 2017

Application Receipt Closing Date: June 8, 2017

FY 2018

Fiscal Year Award Period
September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 1/05/17 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

This Individual Investigator Research Awards for Clinical Translation (IIRACT) mechanism will support the conduct of hypothesis-based studies of novel cancer therapies or devices in early-phase clinical trials or completed trials where the outcome is known. Such clinical trials offer important opportunities to incorporate biomarkers, pharmacokinetic and pharmacodynamic monitoring, and/or imaging studies to provide more precise knowledge about what works, in whom, and in which types of cancer and to guide subsequent clinical development of a novel cancer therapy.

The research supported by this mechanism is important because current clinical development of novel cancer therapeutics remains slow and expensive with many late-stage failures. Only 5% of cancer therapeutics that enter clinical evaluation will be approved, and the approval process is often measured in decades. There is an urgent need to accelerate and enhance the efficiency of this process by improving the clinical evaluation of novel cancer therapeutics through adoption of modern trial designs that incorporate biomarkers. Such trials will build on advances in basic discovery that have identified the critical targets involved in the hallmarks of cancer and have led to mechanism-based therapeutics. Trials that are designed to determine if predictors of response and efficacy identified in preclinical models also occur in patients have the potential to accelerate therapeutic development and approvals. They also guide the development of diagnostic tests to identify those patients most likely to benefit from these new treatments. Well-conducted early-phase studies will also inform reasons for treatment failure and feed back to preclinical studies designed to overcome barriers to success identified in patients.

3. RESEARCH OBJECTIVES

The goal of the IIRACT Award is to promote clinical research that will lead to a better understanding of the clinical efficacy of a cancer therapy or diagnostic device. Applications submitted under this mechanism should propose innovative clinical studies that are hypothesis driven and involve patients enrolled prospectively on a clinical trial or involve analyses of biospecimens from patients enrolled on a completed trial for which the outcomes are known.

Clinical studies of new or repurposed drugs, hormonal therapies, immune therapies, surgery, radiation therapy, stem cell transplantation, combinations of interventions, or therapeutic devices are all responsive to this Request for Applications (RFA).

Applications that propose the development and validation of a biomarker (biospecimen derived from patient tissue or biofluid) or an imaging biomarker are responsive to this RFA provided that the research plan includes validation steps that involve patients treated on a clinical trial.

Early-phase clinical trials of agents or combinations of agents for which there are robust nonclinical data that suggest there may be clinical activity are responsive to the RFA, even if there is no biomarker, as long as the early-phase clinical trial will lead to determining if the activity observed in the laboratory can be replicated in patients.

Additional examples of the types of studies appropriate for the IIRACT award include, but are not limited to, the following:

- Exploratory, phase 1, or small phase 2 trials of new agents, repurposed agents, radiation therapy, surgery, or combinations of interventions where the trial design incorporates biomarker and/or imaging strategies to determine one or more of the following: presence of the drug target, target inhibition, biological pathway inhibition, or pathophysiological alteration by the investigational drug or device
- Discovery and/or validation of predictive biomarkers (eg, genomic, proteomic, or metabolomic signatures of response) using biospecimens from trials where the outcome is known
- Correlation of the activation of specific signaling pathways with clinical outcomes
- Pharmacogenomic studies aimed at the identification of genomic profiles associated with increased/decreased efficacy or toxicity during clinical interventions
- Discovery and/or early validation of biomarkers elucidating mechanisms of action of interventions aimed at preventing or treating symptoms and/or toxicities resulting from treatment using biospecimens from clinical trials where the outcomes are known
- Molecular analyses of biospecimens obtained from exceptional responders

4. FUNDING INFORMATION

- Applicants may request a maximum of \$400,000 per year for a period of up to 3 years.
- Applicants who plan on conducting a clinical trial as part of the project may request up to \$600,000 in total costs per year for up to 4 years.
- Exceptions to these limits may be requested if extremely well justified.
- If a clinical trial is proposed, the budget justification must include a timeline for trial initiation and accrual targets.
- If a clinical trial is proposed, applications should provide documentation that the proposed trial is feasible within the project timeline. For example, drug access through an industry or CTEP arrangement should be documented. When indicated an approved investigational new drug application (IND) or investigational device exemption (IDE) for devices from the Food and Drug Administration (FDA) should be cited, or if no IND is yet available for the agent(s), then a pre-IND meeting would have been held with the FDA, and the summary letter from that pre-IND meeting would be included as an attachment ([see section 8.2.9](#)).
- Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs including diagnostic or interventional procedures associated with participation in a clinical trial and not considered routine patient care, and travel to scientific/technical meetings or collaborating institutions ([see section 8.2.11](#)).

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 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.

- A PI may not submit applications to this RFA and to RFA-R-18.1-IIRA, RFA-R-18.1-IIRACB, RFA-R-18.1-IIRACCA, or RFA R-18.1-IIRAP. Only 1 IIRA, IIRACT, IIRACB, IIRACCA, or IIRAP application per cycle is allowed.
- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-18.1-IIRACB, RFA-R-18.1-IIRACCA, RFA R-18.1-IIRA, or RFA R-18.1-IIRAP.
- A PI may submit both a new application to this RFA and a renewal application to another RFA during this funding cycle. However, an investigator who is the PI on 3 or more CPRIT grants of any type that will be active December 1, 2017, is not eligible to submit an application in response to this RFA. Note that for the purpose of calculating the number of CPRIT grants attributed to an individual PI, CPRIT considers project leaders on a MIRA award equivalent to a PI.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included.
- 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 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 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

Because the Individual Investigator Research Awards for Clinical Translation mechanism is a new award mechanism, resubmission is not available under this RFA. If a previously unfunded IIRA, IIRAP, or IIRACCA application is responsive to the IIRACT RFA, it may be submitted as a new application under the IIRACT mechanism.

7. RENEWAL POLICY

An application originally funded by CPRIT as an IIRA, IIRACCA, or IIRAP that is appropriate for the IIRACT mechanism may be submitted under this RFA for a competitive renewal. See [section 8.2.5](#). Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See [section 9.2](#).

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. 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 March 15, 2017, and must be submitted by 4 PM central time on June 8, 2017. **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 for 1 or more grant applications 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](#). 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 withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

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. **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review** (see [section 9.1](#)). 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).

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 cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

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 9.2](#)) 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 a clinical trial is proposed as a component of this application, the timeline must include clearly defined patient accrual milestones.

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. Renewal Summary (2 Pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.6. Research Plan (11 pages)

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

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. This section has been lengthened to allow the applicant to present the statistical considerations used to determine a trial design, accrual milestones, and biomarker validation.

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

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

8.2.8. Protocol Documentation

If a clinical trial is planned, a PDF copy of the full protocol can be attached.

8.2.9. Investigational New Drug Application (IND)/Investigational Device Exemption (IDE)

If a clinical trial is proposed that requires an IND or IDE, provide evidence of an approved investigational new drug application (IND) or investigational device exemption (IDE) for devices from the Food and Drug Administration (FDA). If no IND is yet available for the agent(s), then provide a summary letter from a pre-IND meeting held with the FDA. If the drug or device is to be provided through an industry or CTEP mechanism, provide documentation that the drug or device will be available.

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 and detailed 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. The justification should include the statistical considerations that led to the clinical trial design, accrual milestones, and validation of biomarkers.

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.

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.cpritis.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.

8.2.12. 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. The NIH biosketch format is appropriate.

8.2.13. 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. Refer to the sample current and pending support document located in [*Current Funding Opportunities*](#) for Academic Research in CARS.

8.2.14. 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.

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.

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

To ensure the timely and thorough review of only the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, all eligible applications may be preliminarily evaluated by CPRIT Scientific Research Program panel members for scientific merit and impact.

This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches. Applications that do not sufficiently capture the reviewers' interest at this stage

will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.

The applicant will be notified of the decision to disapprove the application after the preliminary evaluation stage has concluded. Due to the volume of applications to be reviewed, comments made by reviewers at the preliminary evaluation stage may not be provided to applicants. The preliminary evaluation process will be used only when the number of applications exceeds the capacity of the review panels to conduct a full peer review of all received applications.

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further 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 in [section 9.4](#). Applicants will be notified of peer review panel assignments prior to the peer review meeting dates. Peer review panel membership can be found on the CPRIT website. 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 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](#).

9.3. 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 Research 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.

9.4. 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 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.**

9.4.1. 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 results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? 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? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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 sufficient preliminary data and/or 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 and expertise 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 research? This is a critical criterion for evaluation of projects for CPRIT support.

9.4.2. 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: Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

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 January 5, 2017

Application

Online application opens March 15, 2017, 7 AM central time

Application due June 8, 2017, 4 PM central time

Application review August-October 2017

Award

Award notification February 14, 2018

Anticipated start date March 1, 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. 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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements regarding demonstration of available funding. 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.

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 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 Peer Review Observation Report*

Report No. 2017-10-16_CB_18.1
Program Name: Academic Research
Panel Name: Cancer Biology 18.1 (CB_18.1)

Panel Date: October 16, 2017
Report Date: October 16, 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 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 Panel 18.1. The meeting was chaired by Peter Jones and conducted in person as well as via conference call at the Houston Marriott North on October 16, 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 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 Cancer Biology peer review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Biology peer review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Cancer Biology peer review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Biology meeting:

- Eighteen of twenty-six applications were discussed to score applicants for funding;
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists participated in the meeting;
- Two CPRIT staff members and eight CSRA employees participated in the meeting. Four additional CSRA staff participated throughout the meeting or intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria;
- Commencement of the Cancer Biology meeting was delayed due to logistical issues related to equipment.

Regarding applications with a conflict of interest (COIs):

- Twelve total applications had fourteen COIs; two of the applications each had two COIs.
- Of the twelve applications with COIs, ten of the applications were discussed and two of the applications were not discussed;
- No additional COIs were identified during the peer review panel;
- The reviewers with conflicts did not participate in the reviews of the conflicted applications. All participating reviewers with a conflict signed out on the COI log when leaving the room. One additional reviewer with several conflicts did not attend or participate telephonically in the meeting.

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

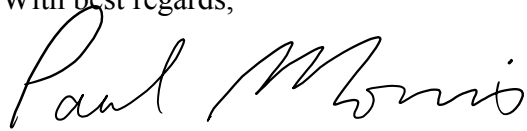
Conclusion

In conclusion; we observed that the activities of the Academic Research - Cancer Biology Panel 18.1 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,

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
October 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-18_BCR_18.1 Panel 2
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_2 (CPRIT BCR-2)

Panel Date: October 18, 2017
Report Date: October 18, 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 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 Basic Cancer Research 18.1_2 Peer Review Meeting. The meeting was chaired by Carol Prives and conducted in person as well as via conference call at the Houston Marriott North on October 18, 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 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 Basic Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_2 meeting:

- Seventeen out of thirty-five applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: Seventeen peer review panelists including the Panel Chairperson, two advocate reviewers and the remaining fourteen peer review panelists;
- Two CPRIT staff members and seven CSRA employees participated in the meeting. Three additional CSRA or hotel staff participated intermittently or entered the room in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Three applications with COIs were identified prior to the meeting. One additional COI was identified during the peer review panel and addressed before the application was discussed;
- One additional application with a COI was not discussed.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers 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.

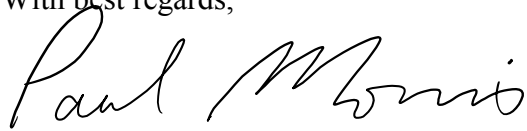
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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,

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
October 18, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-19_C/TCR_18.1
Program Name: Academic Research
Panel Name: Clinical/Translational Cancer Research 18.1 (C/TCR_18.1)

Panel Date: October 19, 2017
Report Date: October 19, 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 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 Clinical/Translational Cancer Research 18.1 Peer Review Meeting. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and was conducted in person as well as via teleconference at the Marriott North Houston on October 19, 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 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 Clinical/Translational Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Clinical/Translational Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Clinical/Translational Cancer Research 18.1 meeting:

- Twenty-one out of thirty-nine applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-eight peer review panelists participated in the panel, which included two Panel Chairpersons; twenty-three peer review panelists; and three advocate reviewers;
- Two CPRIT staff members and six CSRA employees participated in the meeting. Three additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Two reviewed applications had a combined total of three COI's;
- Two additional applications with COIs were not reviewed or discussed during the panel;
- No additional COIs were identified during the peer review panel;
- The co-chair introduced one application before the COI reviewers were able to exit the discussion, but quickly corrected and paused until the reviewers with conflicts left the room. The reviewers with conflicts did not participate in the review details.

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

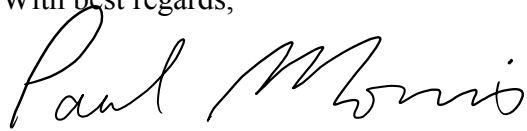
Conclusion

In conclusion; we observed that the activities of the Academic Research Clinical/Translational Cancer Research 18.1 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.

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
October 19, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-20_BCR_18.1 Panel 1
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_1 (CPRIT BCR-1)

Panel Date: October 20, 2017
Report Date: October 20, 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 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 Basic Cancer Research 18.1_1 Peer Review Meeting. The meeting was chaired by Thomas Curran and conducted in person at the Houston Marriott North on October 20, 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 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 Basic Cancer Research panel members or CSRA staff;
- CPRIT program staff do not engage in panel discussions on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_1 meeting:

- Eighteen out of twenty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists;
- Two CPRIT staff members and four CSRA employees participated in the meeting. Two additional CSRA or hotel staff participated intermittently in a logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

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

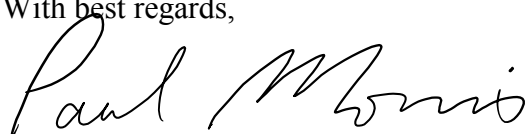
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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.

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 20, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-23_ITI_18.1
Program Name: Academic Research
Panel Name: Imaging Technology and Informatics (ITI_18.1)

Panel Date: October 23, 2017
Report Date: October 23, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Sam Gambir and conducted in person and via teleconference at the North Houston Marriott on October 23, 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 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 Imaging Technology and Informatics Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Imaging Technology and Informatics Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Imaging Technology and Informatics panel meeting:

- Nineteen out of thirty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-four peer review panelists participated in the panel, which included the Panel Chair; twenty-one peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Three additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Five applications reviewed had one COI each. One additional application with a COI was not reviewed;
- There were no other COIs identified during the meeting;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

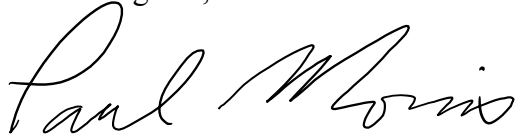
Conclusion

In conclusion; we observed that the activities of the Academic Research - Imaging Technology and Informatics Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

A handwritten signature in black ink, appearing to read "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
October 23, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-24_CPR_18.1
Program Name: Academic Research
Panel Name: Cancer Prevention Research (CPR_18.1)

Panel Date: October 24, 2017
Report Date: October 24, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Tom Sellers and conducted in person and via teleconference at the North Houston Marriott on October 24, 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 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 Cancer Prevention Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Prevention Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

The BFS independent observer participated in the Cancer Prevention Research Peer Review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

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

- Eleven of nineteen applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty peer review panelists participated in the panel, which included the Panel Chair; seventeen peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Two additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Four applications reviewed had one COI each. One additional application with a COI was not reviewed;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Prevention Research 18.1 Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

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

Paul Morris, CPA, CIA
Vice President, Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 24, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-11-16_SRC_18.1
Program Name: Academic Research
Panel Name: SRC Meeting: Review Panel 18.1

Panel Date: November 16, 2017
Report Date: November 16, 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 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 – 18.1 Scientific Review Council Meeting. The SRC meeting was to be conducted immediately after Recruitment Review Panel-18.3-4; however, discussions were tabled until one of the absent members could participate.

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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers were available to participate in the teleconference. CSRA, CPRIT's contracted third-party grant application administrator, was available to facilitate the meeting.

The independent observers noted that all discussions were tabled until one of the absent reviewers could participate. One Panel Chairperson and five review panelists were present when the discussion was tabled. We also note here that two CPRIT staff members and three CSRA employees were available.

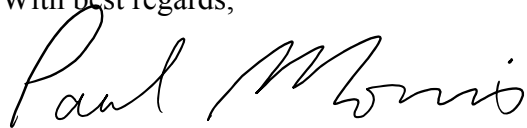
Conclusion

In conclusion; we observed that the activities and discussion of the Academic Research – Scientific Review Council Meeting 18.1 were tabled until a later time when all participants could be present.

Third-party observation services do 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,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
November 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-12-14_SRC_18.1
Program Name: Academic Research
Panel Name: 18.1 Scientific Review Council Meeting

Panel Date: December 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 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 – 18.1 Scientific Review Council Meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 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 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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Scientific Review Council Meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Scientific Review Council Meeting:

- Forty-five (45) of forty-six (46) applications were recommended for funding;
- Participants: seven Scientific Review Council members participated in the meeting, which included the SRC Chair and six council participants;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

There were no COIs identified prior or during the meeting. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

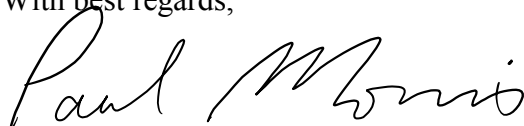
Conclusion

In conclusion; we observed that the activities of the Academic Research– 18.1 Scientific Review Council 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,



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

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research 18.1 Applications
(Academic Research Cycle 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 Academic Research Recruitment Cycle 18.1 include *Individual Investigator Research Awards (IIRA)*, *Individual Investigator Research Awards for Computational Biology (IIRACB)*, *Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA)*, *Individual Investigator Research Awards for Clinical Translation (IIRACT)* and *Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) 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			
RP180244pe/ RP180244	Bin Wang	The University of Texas M. D. Anderson Cancer Center	Matthew Weitzman
RP180343	Jinming Gao	The University of Texas Southwestern Medical Center	James Willson
RP180313pe/ RP180313	Guillermina Lozano	The University of Texas M. D. Anderson Cancer Center	Carol Prives
RP180381pe/ RP180381	Livia Schiavinato Eberlin	The University of Texas at Austin	Robertson Parkman; Ying Lu
RP180047pe/ RP180047	Yihong Wan	The University of Texas Southwestern Medical Center	Geoffrey Greene
RP180181pe/ RP180181	Stephanie Watowich	The University of Texas M. D. Anderson Cancer Center	Lee Helman; Yves DeClerck

Application ID	Applicant/PI	Institution	Conflict Noted
RP180220pe/ RP180220	Joseph McCarty	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180259pe/ RP180259	CHUNRU LIN	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180530pe/ RP180530	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180505pe/ RP180505	Ayumu Taguchi	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180607	Killary, Ann	The University of Texas M. D. Anderson Cancer Center	Christopher Li
Applications not considered by the PIC or Oversight Committee			
RP180079pe	Michael Roth	The University of Texas Southwestern Medical Center	George Prendergast
RP180107pe	Sanghoon Lee	The University of Texas M. D. Anderson Cancer Center	Steven Fiering
RP180174pe	Gautam Borthakur	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180359pe	Rolf Brekken	The University of Texas Southwestern Medical Center	George Prendergast
RP180387pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180083pe/ RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Jeffrey Wrana

Application ID	Applicant/PI	Institution	Conflict Noted
RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Ali Shilahn
RP180204pe	Gerardo Cisneros	University of North Texas	Matthew Weitzman
RP180237pe	Robert Bast	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP180262pe	Roopa Thapar	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180390pe	E. Paul Hasty	The University of Texas Health Science Center at San Antonio	Winfried Edelmann
RP180397pe	Chi-Lin Tsai	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422pe	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422*	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;Walter Chazin
RP180481pe	Melanie Cobb	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP180629pe	Tej Pandita	The Methodist Hospital Research Institute	Jan Karlseder
RP180045pe/ RP180045	Andras Heczey	Baylor College of Medicine	Gregory Cooper
RP180110pe	David Gerber	The University of Texas Southwestern Medical Center	Richard O'Reilly
RP180146pe	Virginia Kaklamani	The University of Texas Health Science Center at San Antonio	Michael Prados

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180199pe	Hua Zhao	The University of Texas M. D. Anderson Cancer Center	Michael Prados
RP180203pe	Fakhrul Ahsan	Texas Tech University Health Sciences Center	W. Martin Kast;Ying Lu
RP180402pe	William Symmans	The University of Texas M. D. Anderson Cancer Center	D.onna Niedzwiecki
RP180416pe/ RP180416*	Manisha singh	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180479pe	Scott Kopetz	The University of Texas M. D. Anderson Cancer Center	Garth Powis;Howard Hochster
RP180480pe	John Minna	The University of Texas Southwestern Medical Center	Paul Bunn
RP180510pe	Anirban Maitra	The University of Texas M. D. Anderson Cancer Center	Margaret Tempero
RP180513pe	Roza Nurieva	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180533pe/ RP180533	Timothy Yap	The University of Texas M. D. Anderson Cancer Center	W. Martin Kast
RP180543pe/ RP180543*	Charles Reynolds	Texas Tech University Health Sciences Center	Stephen Grupp;W. Martin Kast
RP180569pe	Matthew Ellis	Baylor College of Medicine	Donna Niedzwiecki
RP180661pe	Rongfu Wang	The Methodist Hospital Research Institute	W. Martin Kast
RP180035pe	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	Lee Helman

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180043pe	Samuel Mok	The University of Texas M. D. Anderson Cancer Center	Lee Helman ;Yves DeClerck
RP180084pe	Marie-Claude Hofmann	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180085pe/ RP180085	Shiaw-Yih Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180093pe	Lee Ellis	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180113pe/ RP180113	Dimple Chakravarty	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180134pe	Anurag Purushothaman	MDACC/BLI	Lee Helman
RP180144pe	Dos Sarbassov	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180165pe	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180234pe/ RP180234	Dihua Yu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180241pe	Shawn Bratton	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180242pe	Valerie LeBleu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180252pe	Honami Naora	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180253pe	Chun Li	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180258pe	Min Gyu Lee	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180260pe	Shyam Kavuri	Baylor College of Medicine	Geoffrey Greene
RP180263pe	Bogdan Czerniak	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa; Lee Helman
RP180285pe/ RP180285	Sue-Hwa Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180329pe/ RP180329	Jing Yang	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180352pe	Lanlan Shen	Baylor College of Medicine	Jean-Pierre Issa
RP180395pe	Robert Gagel	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180403pe	Stephen Wong	The Methodist Hospital Research Institute	Lee. Helman
RP180413pe	Herbert Levine	Rice University	Lee Helman
RP180417pe	Jinsong Liu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180434pe	Qiang Shen	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180475pe	Nahum Puebla-Osorio	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180488pe	Vashisht Yennu Nanda	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180496pe	Rachel Schiff	Baylor College of Medicine	Geoffrey Greene
RP180496	Rachel Schiff	Baylor College of Medicine	Anne Tonachel;Geoffrey Greene
RP180506pe	Richard Ford	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180511pe	Nicholas Mitsiades	Baylor College of Medicine	Geoffrey Greene
RP180535pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180552pe/ RP180552*	Menashe Bar-Eli	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180589pe	Jeffrey Rosen	Baylor College of Medicine	Benjamin Berman;J Jean-Pierre Issa;Steve Belinsky
RP180036pe	Angelica Roncancio	The University of Texas Health Science Center at Houston	Lawrence Kushi
RP180223pe	Khandan Keyomarsi	The University of Texas M. D. Anderson Cancer Center	Christopher Haiman;Lawrence Kushi
RP180229pe	Michael Ittmann	Baylor College of Medicine	Christopher Haiman
RP180355pe/ RP180355	Laura Beretta	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180383pe	Robin Leach	The University of Texas Health Science Center at San Antonio	Christopher Haiman;William Barlow

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180427pe/ RP180427	Yanhong Liu	Baylor College of Medicine	Lorelei Mucci
RP180485pe/ RP180485	Alexander Prokhorov	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP180527pe	Shine Chang	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180016pe/ RP180016*	Marianna Dakanali	The University of Texas Southwestern Medical Center	Anna Wu
RP180273pe/ RP180273	Barrett Harvey	The University of Texas Health Science Center at Houston	Anna Wu
RP180291pe/ P180291	Jae Mo Park	The University of Texas Southwestern Medical Center	Brian Rutt
RP180322pe/ RP180322	Eva Sevick	The University of Texas Health Science Center at Houston	Anna Wu
RP180334pe	Vikas Kundra	The University of Texas M. D. Anderson Cancer Center	G. Johnson
RP180389pe	Amir Owangi	The University of Texas Southwestern Medical Center	Anna Wu
RP180393pe/ RP180393	Sarah McGuire	The University of Texas Southwestern Medical Center	Anna Wu
RP180424pe/ RP180424	Orhan Oz	The University of Texas Southwestern Medical Center	Anna Wu
RP180444pe	Jung-whan Kim	The University of Texas at Dallas	Arion-Xenofon Chatziioannou; Anna Wu

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180465pe	Javier Villafruela	The University of Texas Southwestern Medical Center	Anna Wu
RP180651pe	Yaowu Hao	The University of Texas at Arlington	Anna Wu
RP180660pe	Wei Chen	The University of Texas at Arlington	Anna Wu

De-Identified Overall Evaluation Scores

Individual Investigator Research Awards for Clinical Translation

Academic Research Cycle 18.1

Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Scores
RP180381*	2.0
RP180473*	2.2
RP180404*	2.3
RP180466*	2.6
RP180140*	2.8
Xa	3.0
Xb	3.0
Xc	3.3
Xd	3.6
Xe	3.7
Xf	3.7
Xg	3.7
Xh	3.7
Xi	3.7
Xj	3.8
Xk	4.0
Xl	4.0
Xm	4.0
Xn	4.6
Xo	5.3
Xp	6.3

* = Recommended for funding

Individual Investigator Research Awards for Clinical Translation

Academic Research Cycle 18.1

Final Scores for Preliminary Evaluation

These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.

Application ID	Final Overall Evaluation Score
Oa	3.67
Ob	3.67
Oc	3.67
Od	3.67
Oe	3.67
Of	3.67
Og	3.67
Oh	3.67
Oi	3.67
Oj	4.00
Ok	4.00
Ol	4.00
Om	4.00
On	4.00
Oo	4.00
Op	4.00
Oq	4.33
Or	4.33
Os	4.33
Ot	4.33
Ou	4.33
Ov	4.33
Ow	4.67
Ox	5.00
Oy	5.00
Oz	5.00
Pa	5.00
Pb	5.33
Pc	5.33
Pd	5.67
Pe	5.67
Pf	6.00
Pg	6.00

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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January 16, 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

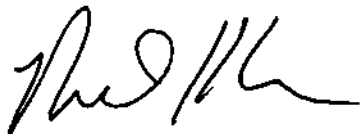
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Clinical Translation (IIRACT) and Individual Investigator Research Awards for Prevention and Early Detection (IIRAP). The SRC met on December 14, 2017 to consider the applications recommended by the peer review panels following their meetings that were held October 16, 2017 – October 24, 2017.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$47,095,197.

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	Score	Application Title	PI	PI Organization	Budget
1	RP180313	IIRA	1.0	A somatic mutant p53 mouse model of metastatic triple negative breast cancer	Lozano, G.	The University of Texas M. D. Anderson Cancer Center	\$900,000
2	RP180505	IIRAP	1.4	Circulating Exosomes as Biomarkers for Lung Cancer Early Detection	Taguchi, A.	The University of Texas M. D. Anderson Cancer Center	\$799,085
3	RP180147	IIRA	1.6	Prevalence of Rare Passenger Mutations in Biopsy Tissue as Cancer Stratification Markers	Zhang, D.	Rice University	\$900,000
4	RP180047	IIRA	1.7	A Novel Dual Suppressor of Cancer Bone Metastasis	Wan, Y.	The University of Texas Southwestern Medical Center	\$898,672
5	RP180192	IIRA	1.8	Dissecting the interplay between BAP1 and PBRM1 in renal cancer	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$897,633
6	RP180343	IIRA	1.8	Turn ON the Tumor Contrast in Lymph Node Metastases for Occult Disease Detection	Gao, J.	The University of Texas Southwestern Medical Center	\$885,684
7	RP180178	IIRA	1.8	Imaging glucose stimulated zinc secretion (GSZS) from the prostate by MRI: A potentially powerful method for early detection of prostate cancer	Sherry, D.	The University of Texas Southwestern Medical Center	\$900,000
8	RP180463	IIRACCA	1.9	Compound heterozygous mutations in pediatric cancer predisposition	Schlacher, K.	The University of Texas M. D. Anderson Cancer Center	\$556,763*
9	RP180248	IIRACB	1.9	Characterizing cancer genome instability and translational impact using new sequencing technologies	Chen, K.	The University of Texas M. D. Anderson Cancer Center	\$898,997

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
10	RP180191	IIRACCA	1.9	Understanding TFE3-mediated Tumorigenesis through Analysis of a Novel, Clinically-Relevant Mouse Model of Translocation Renal Cell Carcinoma	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$1,155,128
11	RP180220	IIRA	1.9	Targeting the prion protein Doppel in brain tumor angiogenesis	McCarty, J.	The University of Texas M. D. Anderson Cancer Center	\$900,000
12	RP180435	IIRA	2.0	Fasting-induced inhibition of leukemia development	Zhang, C.	The University of Texas Southwestern Medical Center	\$900,000
13	RP180275	IIRA	2.0	Targeting Stromal ERalpha for Cervical Cancer Therapy	Chung, S.	University of Houston	\$811,617
14	RP180381	IIRACT	2.0	Mass Spectrometry Imaging to Uncover Predictive Metabolic Markers of Ovarian Cancer Surgical Outcome and Treatment Response	Schiavinato Eberlin, L.	The University of Texas at Austin	\$1,092,048
15	RP180394	IIRACCA	2.0	Targeting the metastatic sarcoma niche using leukocyte biomimetic nanoparticles	Tasciotti, E.	The Methodist Hospital Research Institute	\$1,199,617
16	RP180131	IIRACCA	2.1	DNA methylation signatures of cell-free DNA in CSF as a new response biomarker for pediatric medulloblastoma	Sun, D.	Texas A&M University System Health Science Center	\$1,200,000
17	RP180196	IIRACCA	2.1	Microwafers as Novel Drug or Gene Delivery Vehicles for Noninvasive Treatment of Retinoblastoma	Hurwitz, R.	Baylor College of Medicine	\$1,195,721
18	RP180410	IIRA	2.2	Mechanisms of Nuclear Export in Cancer	Chook, Y.	The University of Texas Southwestern Medical Center	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
19	RP180181	IIRA	2.2	Targeting neutrophil elastase as a novel therapy for metastatic breast cancer	Watowich, S.	The University of Texas M. D. Anderson Cancer Center	\$900,000
20	RP180504	IIRA	2.2	Elucidating the Epigenetic and Metabolic Vulnerabilities of Myeloproliferative Neoplasms	Xu, J.	The University of Texas Southwestern Medical Center	\$900,000
21	RP180268	IIRA	2.2	Determining the role of polyploidization in liver cancer development	Zhu, H.	The University of Texas Southwestern Medical Center	\$900,000
22	RP180309	IIRA	2.2	Inhibiting Oxidative Phosphorylation: A Novel Strategy in Leukemia	Konopleva, M.	The University of Texas M. D. Anderson Cancer Center	\$900,000
23	RP180261	IIRA	2.2	Multi-Loading Strategy for Constructing Potent Antibody-Drug Conjugates	Tsuchikama, K.	The University of Texas Health Science Center at Houston	\$900,000
24	RP180473	IIRACT	2.2	Clinical trials of C188-9, an oral inhibitor of signal transducer and activator of transcription (STAT) 3, in patients with hepatocellular carcinoma (HCC)	Tweardy, D.	The University of Texas M. D. Anderson Cancer Center	\$2,399,905
25	RP180031	IIRA	2.2	Imaging of biochemical alterations in human breast malignancy using CEST-MRI	Vinogradov, E.	The University of Texas Southwestern Medical Center	\$900,000
26	RP180244	IIRA	2.3	Functional analyses of linkage-specific ubiquitination in the DNA damage response	Wang, B.	The University of Texas M. D. Anderson Cancer Center	\$900,000
27	RP180404	IIRACT	2.3	Noninvasive detection of anthracycline induced cardiotoxicity using hyperpolarized carbon 13 based magnetic resonance spectroscopic imaging	Zaha, V.	The University of Texas Southwestern Medical Center	\$2,397,204

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
28	RP180349	IIRA	2.4	Therapeutics Targeting Cancer-Associated HPV Replication	Chiang, C.	The University of Texas Southwestern Medical Center	\$900,000
29	RP180530	IIRA	2.4	Hippo signaling in non-alcoholic fatty liver disease (NAFLD) and its progression to hepatocellular carcinoma	Johnson, R.	The University of Texas M. D. Anderson Cancer Center	\$821,669
30	RP180607	IIRAP	2.4	Blood-based biomarkers for the early detection of pancreatic cancer	Killary, A.	The University of Texas M. D. Anderson Cancer Center	\$900,000
31	RP180590	IIRA	2.4	Development of an engineered & pharmacologically optimized human methionine-gamma-lyase drug candidate for the treatment of prostate cancer and glioblastoma	Stone, E.	The University of Texas at Austin	\$900,000
32	RP180553	IIRA	2.5	Structural and Functional Characterization of the DNA Double Strand Break Processing Complex of Mre11-Rad50	Latham, M.	Texas Tech University	\$850,876
33	RP180259	IIRA	2.5	PTEN Promotes Diabetic breast cancer metastasis	LIN, C.	The University of Texas M. D. Anderson Cancer Center	\$900,000
34	RP180588	IIRAP	2.5	Novel Computer Aided Diagnosis System For Early Detection Of Oral Cancer Based On Quantitative Autofluorescence Imaging	Jo, J.	Texas Engineering Experiment Station	\$897,394
35	RP180166	IIRACCA	2.6	Molecular mechanisms of anthracycline response in cardiomyocytes and link to genetic susceptibility to cardiotoxicity in long-	Hildebrandt, M.	The University of Texas M. D. Anderson Cancer Center	\$1,194,520

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
				term childhood cancer survivors			
36	RP180466	IIRACT	2.6	Integrated single-cell biomarkers of T-cell efficacy	Varadarajan, N.	University of Houston	\$1,173,420
37	RP180055	IIRA	2.7	Mechanisms and Treatment of Hippocampal Cognitive Impairment Associated with Androgen Deprivation Therapy for Prostate Cancer	Morilak, D.	The University of Texas Health Science Center at San Antonio	\$899,547
38	RP180472	IIRA	2.8	Mucosal vaccine formulations for targeted therapy of HPV cancers	Sastry, J.	The University of Texas M. D. Anderson Cancer Center	\$883,146
39	RP180457	IIRA	2.8	Tumor Activated Enzyme Inhibitors for the Treatment of Cancer	Ready, J.	The University of Texas Southwestern Medical Center	\$898,776
40	RP180140	IIRACT	2.8	EXTERNAL beam radiation to Eliminate Nominal metastatic Disease (EXTEND): A randomized phase II basket trial to assess local control of oligometastatic disease	Tang, C.	The University of Texas M. D. Anderson Cancer Center	\$2,394,412
41	RP180634	IIRACCA	2.9	Understanding metabolic regulation of pediatric glioma through mouse modeling and patient tumor interrogation in vivo.	Bachoo, R.	The University of Texas Southwestern Medical Center	\$1,200,000
42	RP180073	IIRACCA	3.4	Myeloid support of refractory and aggressive T-ALL at distinct tumor sites	Ehrlich, L.	The University of Texas at Austin	\$1,200,000
43	RP180177	IIRA	3.5	Novel Small Molecule Probes Targeting Histone Acetyltransferase p300/CBP	Song, Y.	Baylor College of Medicine	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
44	RP180288	IIRA	3.5	Innate Immune Regulation of Cancer Cell Proliferation	Yan, N.	The University of Texas Southwestern Medical Center	\$900,000
45	RP180319	IIRACCA	3.5	Rhabdomyosarcoma vulnerabilities: Prioritizing and extending to the clinic	Skapek, S.	The University of Texas Southwestern Medical Center	\$1,193,363

*RP180463 Reflects budget as reduced by the SRC. SRC recommended to fund only Aim 1 and reduce the duration of the study from 4 years to 3.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycle 1
*Individual Investigator Research Awards for
Prevention and Early Detection*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-18.1-IIRAP

**Individual Investigator Research Awards for
Prevention and Early Detection**

**Please also refer to the Instructions for Applicants document,
which will be posted on March 15, 2017**

Application Receipt Opening Date: March 15, 2017

Application Receipt Closing Date: June 8, 2017

FY 2018

Fiscal Year Award Period
September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 1/05/17 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

A major opportunity for investment in cancer research is in the area of cancer prevention. Nowhere is there greater potential to reduce the burden of cancer than by reducing its incidence. This has the added advantage of sparing people and families from the psychological and emotional trauma of a cancer diagnosis, the often devastating physical consequences of cancer therapies, and the financial burdens associated with cancer treatment. Identification of causes of cancer, including environmental chemicals, microbial agents, and genetic susceptibilities, is essential for reducing cancer incidence. In addition, intervening in the process at early stages of cancer development, before genetic instability becomes widespread, holds promise of successfully eliminating cells destined to become cancer cells. Basic research on the identification and control of premalignant cells, the role of the tumor cell microenvironment in tumor development, environmental drivers, and predictive markers of cancer progression from normal to neoplastic may provide new avenues for intervening early in the process of cancer development. Early detection of cancer using biomarkers and early screening methods also can reduce morbidity and mortality from cancer. Although CPRIT is required to spend 10% of its budget on cancer prevention, CPRIT's Cancer Prevention Program focuses exclusively on the delivery of evidence-based interventions to underserved populations and does not fund prevention research.

Thus, there is a unique opportunity for CPRIT's Research Program to fund research on adoption of cancer-preventing behaviors, effectiveness of various interventions, and how best to deliver prevention services that could eventually result in implementation through the Prevention Program.

3. RESEARCH OBJECTIVES

This Request for Applications (RFA) solicits applications for innovative research projects addressing questions that will advance current knowledge of the causes, prevention, early-stage progression from normal to neoplastic cells, and/or early detection of cancer. Applications may address any topic or issue related to cancer causation, prevention, early progression, or early detection. Research may be laboratory-, clinical-, or population-based and may include behavioral/intervention, dissemination, or health services/outcomes research to reduce cancer incidence or promote early detection. CPRIT expects the outcomes of activities supported by this mechanism to reduce the burden of cancer in the near or long term. CPRIT encourages applications that seek to apply or develop state-of-the-art technologies, tools, and/or resources

for prevention or early detection of cancer, including those with potential commercialization opportunities. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies. Partnering with cancer biologists or oncologists is highly recommended for Principal Investigators (PIs) who do not have this expertise.

The subject of applications may include, but is not limited to, the following:

- Environmental carcinogenesis, including high-throughput methods for carcinogen detection and identification of carcinogens and their mechanisms of action
- Role of microbial agents in cancer causation
- Cancer epidemiology
- Identification of populations at high risk of developing cancer
- Cellular and molecular alterations leading to development of precancerous lesions
- Approaches to prevent progression of normal to preneoplastic cells to cancer cells
- Methods for early detection of cancer
- Development and testing of intervention strategies to increase access to and improve recently endorsed screening technologies for cancer
- Cancer-focused health services/outcomes or patient-centered outcomes research
- Development and adaptation of novel interventions for effective and efficient delivery of cancer prevention and screening services

The *degree of relevance* to reducing the burden of cancer is a critical criterion for evaluation of projects for funding by CPRIT ([section 9.4.1](#)).

4. FUNDING INFORMATION

Applicants may request a maximum of \$300,000 in total costs per year for up to 3 years for laboratory and clinical research and up to \$500,000 in total costs per year for up to 3 years for population-based research. Exceptions to these limits may be requested if extremely well justified (see [section 8.2.10](#)). Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation 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.

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 PI 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.
- A PI may submit only 1 new application under this RFA during this funding cycle. A PI may not submit applications to this RFA and to RFA R-18.1-IIRA, RFA-R-18.1-IIRACT, RFA R-18.1-IIRACCA, or RFA R-18.1-IIRACB. Only 1 IIRAP, IIRA, IIRACB, IIRACT, or IIRACCA application per cycle is allowed.
- An investigator who is the PI on 3 or more CPRIT grants of any type that will be active December 1, 2017, is not eligible to submit an application in response to this RFA.
- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-18.1-IIRACT, RFA-R-18.1-IIRACB, RFA-R-18.1-IIRA, or RFA-R-18.1-IIRACCA.
- Applications that address untargeted research, Cancers in Children and Adolescents, or Computational Biology should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included. Collaborators should have specific and well-defined roles.
- 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 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 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. 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 8.2.5](#).

7. RENEWAL POLICY

An application originally funded by CPRIT as an IIRA that is appropriate for the IIRAP mechanism may be submitted under this RFA for a competitive renewal. See [section 8.2.6](#). Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See [section 9.2](#).

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. 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 March 15, 2016, and must be submitted by 4 PM central time on June 8, 2017. **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 for 1 or more grant applications 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](#). 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 withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

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. **Based on this statement (and the Budget and Justification and Biographical**

Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)). 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).

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 cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

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 9.2](#)) 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. Resubmission Summary (2 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. 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.

8.2.6. Renewal Summary (2 pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.7. Research Plan (10 pages)

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

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.

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

If vertebrate animals will be used, provide a detailed plan of the protocols that will be followed. If human subjects or human biological samples will be used, provide a detailed plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, reference biostatistical input for sample selection and evaluation. In addition, certification of

approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

8.2.9. Publications/References

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

8.2.10. Budget and Justification

Provide a compelling and detailed 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. Do not exceed \$300,000 per year for laboratory and clinical studies, and \$500,000 for population-based studies. 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:

- 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.cpritis.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.

8.2.11. 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. The NIH biosketch format is appropriate.

8.2.12. 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. Refer to the sample current and pending support document located in [*Current Funding Opportunities*](#) for Academic Research in CARS.

8.2.13. 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.

8.2.14. 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.

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

To ensure the timely and thorough review of only the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, all eligible applications may be preliminarily evaluated by CPRIT Scientific Research Program panel members for scientific merit and impact.

This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches. Applications that do not sufficiently capture the reviewers’ interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.

The applicant will be notified of the decision to disapprove the application after the preliminary evaluation stage has concluded. Due to the volume of applications to be reviewed, comments made by reviewers at the preliminary evaluation stage may not be provided to applicants. The preliminary evaluation process will be used only when the number of applications exceeds the capacity of the review panels to conduct a full peer review of all received applications.

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further 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 in [section 9.4](#). Applicants will be notified of peer review panel assignments prior to the peer review meeting dates. Peer review panel membership can be found on the CPRIT website. 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 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](#).

9.3. 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 Research 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.

9.4. 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 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.**

9.4.1. 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 results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? 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? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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 sufficient preliminary data and/or 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 and expertise 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 prevention research or early detection? This is a critical criterion for evaluation of projects for CPRIT support.

9.4.2. 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: Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

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 January 5, 2017

Application

Online application opens March 15, 2017, 7 AM central time

Application due June 8, 2017, 4 PM central time

Application review August-October 2017

Award

Award notification February 14, 2018

Anticipated start date March 1, 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. 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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements regarding demonstration of available funding. 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.

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 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 Peer Review Observation Report*

Report No. 2017-10-16_CB_18.1
Program Name: Academic Research
Panel Name: Cancer Biology 18.1 (CB_18.1)

Panel Date: October 16, 2017
Report Date: October 16, 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 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 Panel 18.1. The meeting was chaired by Peter Jones and conducted in person as well as via conference call at the Houston Marriott North on October 16, 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 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 Cancer Biology peer review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Biology peer review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Cancer Biology peer review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Cancer Biology meeting:

- Eighteen of twenty-six applications were discussed to score applicants for funding;
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists participated in the meeting;
- Two CPRIT staff members and eight CSRA employees participated in the meeting. Four additional CSRA staff participated throughout the meeting or intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria;
- Commencement of the Cancer Biology meeting was delayed due to logistical issues related to equipment.

Regarding applications with a conflict of interest (COIs):

- Twelve total applications had fourteen COIs; two of the applications each had two COIs.
- Of the twelve applications with COIs, ten of the applications were discussed and two of the applications were not discussed;
- No additional COIs were identified during the peer review panel;
- The reviewers with conflicts did not participate in the reviews of the conflicted applications. All participating reviewers with a conflict signed out on the COI log when leaving the room. One additional reviewer with several conflicts did not attend or participate telephonically in the meeting.

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

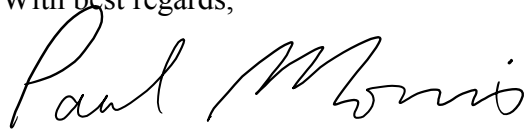
Conclusion

In conclusion; we observed that the activities of the Academic Research - Cancer Biology Panel 18.1 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,

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
October 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-18_BCR_18.1 Panel 2
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_2 (CPRIT BCR-2)

Panel Date: October 18, 2017
Report Date: October 18, 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 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 Basic Cancer Research 18.1_2 Peer Review Meeting. The meeting was chaired by Carol Prives and conducted in person as well as via conference call at the Houston Marriott North on October 18, 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 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 Basic Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_2 meeting:

- Seventeen out of thirty-five applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: Seventeen peer review panelists including the Panel Chairperson, two advocate reviewers and the remaining fourteen peer review panelists;
- Two CPRIT staff members and seven CSRA employees participated in the meeting. Three additional CSRA or hotel staff participated intermittently or entered the room in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Three applications with COIs were identified prior to the meeting. One additional COI was identified during the peer review panel and addressed before the application was discussed;
- One additional application with a COI was not discussed.
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers 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.

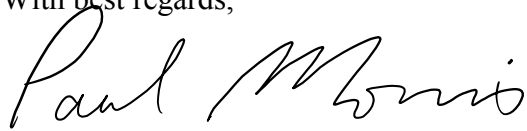
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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,

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
October 18, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-19_C/TCR_18.1
Program Name: Academic Research
Panel Name: Clinical/Translational Cancer Research 18.1 (C/TCR_18.1)

Panel Date: October 19, 2017
Report Date: October 19, 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 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 Clinical/Translational Cancer Research 18.1 Peer Review Meeting. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and was conducted in person as well as via teleconference at the Marriott North Houston on October 19, 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 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 Clinical/Translational Cancer Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Clinical/Translational Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Clinical/Translational Cancer Research 18.1 meeting:

- Twenty-one out of thirty-nine applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-eight peer review panelists participated in the panel, which included two Panel Chairpersons; twenty-three peer review panelists; and three advocate reviewers;
- Two CPRIT staff members and six CSRA employees participated in the meeting. Three additional CSRA or contract staff participated intermittently in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Two reviewed applications had a combined total of three COI's;
- Two additional applications with COIs were not reviewed or discussed during the panel;
- No additional COIs were identified during the peer review panel;
- The co-chair introduced one application before the COI reviewers were able to exit the discussion, but quickly corrected and paused until the reviewers with conflicts left the room. The reviewers with conflicts did not participate in the review details.

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

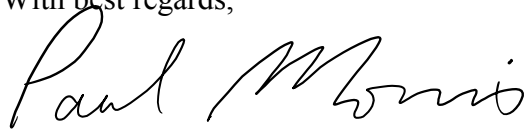
Conclusion

In conclusion; we observed that the activities of the Academic Research Clinical/Translational Cancer Research 18.1 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.

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
October 19, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-20_BCR_18.1 Panel 1
Program Name: Academic Research
Panel Name: Basic Cancer Research 18.1_1 (CPRIT BCR-1)

Panel Date: October 20, 2017
Report Date: October 20, 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 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 Basic Cancer Research 18.1_1 Peer Review Meeting. The meeting was chaired by Thomas Curran and conducted in person at the Houston Marriott North on October 20, 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 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 Basic Cancer Research panel members or CSRA staff;
- CPRIT program staff do not engage in panel discussions on the merits of applications; and
- The Basic Cancer Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Basic Cancer Research 18.1_1 meeting:

- Eighteen out of twenty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed because the panel chairman determined they were not likely to successfully score.
- Participants: eighteen peer review panelists including the Panel Chairperson, two advocate reviewers and fifteen peer review panelists;
- Two CPRIT staff members and four CSRA employees participated in the meeting. Two additional CSRA or hotel staff participated intermittently in a logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

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

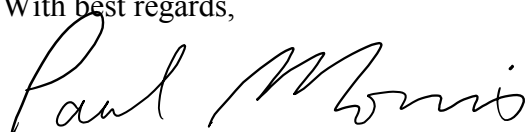
Conclusion

In conclusion; we observed that the activities of the Academic Research - Basic Cancer Research 18.1_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.

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 20, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-23_ITI_18.1
Program Name: Academic Research
Panel Name: Imaging Technology and Informatics (ITI_18.1)

Panel Date: October 23, 2017
Report Date: October 23, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Sam Gambir and conducted in person and via teleconference at the North Houston Marriott on October 23, 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 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 Imaging Technology and Informatics Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Imaging Technology and Informatics Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Imaging Technology and Informatics panel meeting:

- Nineteen out of thirty-seven applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty-four peer review panelists participated in the panel, which included the Panel Chair; twenty-one peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Three additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Five applications reviewed had one COI each. One additional application with a COI was not reviewed;
- There were no other COIs identified during the meeting;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

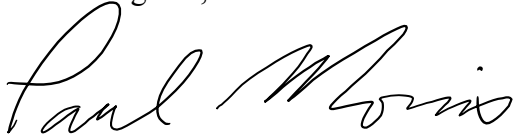
Conclusion

In conclusion; we observed that the activities of the Academic Research - Imaging Technology and Informatics Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

A handwritten signature in black ink, appearing to read "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
October 23, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-10-24_CPR_18.1
Program Name: Academic Research
Panel Name: Cancer Prevention Research (CPR_18.1)

Panel Date: October 24, 2017
Report Date: October 24, 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 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 18.1 Peer Review Meeting. The meeting was chaired by Tom Sellers and conducted in person and via teleconference at the North Houston Marriott on October 24, 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 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 Cancer Prevention Research Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Cancer Prevention Research Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

The BFS independent observer participated in the Cancer Prevention Research Peer Review panel discussion. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

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

- Eleven of nineteen applications were discussed to score applicants for funding. The remaining applications were not discussed;
- Participants: Twenty peer review panelists participated in the panel, which included the Panel Chair; seventeen peer review panelists; and two advocate reviewers;
- Three CPRIT staff members and five CSRA employees participated in the meeting. Two additional CSRA or contract staff participated throughout the meeting in a technical or logistics support role;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

Regarding applications with a conflict of interest (COIs):

- Four applications reviewed had one COI each. One additional application with a COI was not reviewed;
- The reviewers with conflicts left the room and did not participate in the review of the conflicted applications. The reviewers signed out on the COI log when leaving the room.

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

Conclusion

In conclusion; we observed that the activities of the Academic Research – Cancer Prevention Research 18.1 Peer Review Panel were limited to the identified objectives noted earlier in this report.

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

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

With best regards,

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

Paul Morris, CPA, CIA
Vice President, Compliance and Advisory Services
Business and Financial Management Solutions, LLC
October 24, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-11-16_SRC_18.1
Program Name: Academic Research
Panel Name: SRC Meeting: Review Panel 18.1

Panel Date: November 16, 2017
Report Date: November 16, 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 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 – 18.1 Scientific Review Council Meeting. The SRC meeting was to be conducted immediately after Recruitment Review Panel-18.3-4; however, discussions were tabled until one of the absent members could participate.

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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers were available to participate in the teleconference. CSRA, CPRIT's contracted third-party grant application administrator, was available to facilitate the meeting.

The independent observers noted that all discussions were tabled until one of the absent reviewers could participate. One Panel Chairperson and five review panelists were present when the discussion was tabled. We also note here that two CPRIT staff members and three CSRA employees were available.

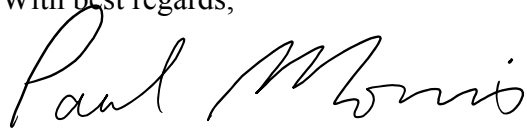
Conclusion

In conclusion; we observed that the activities and discussion of the Academic Research – Scientific Review Council Meeting 18.1 were tabled until a later time when all participants could be present.

Third-party observation services do 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,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
November 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-12-14_SRC_18.1
Program Name: Academic Research
Panel Name: 18.1 Scientific Review Council Meeting

Panel Date: December 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 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 – 18.1 Scientific Review Council Meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 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 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 Scientific Review Council members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Scientific Review Council Meeting is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Scientific Review Council Meeting. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the Scientific Review Council Meeting:

- Forty-five (45) of forty-six (46) applications were recommended for funding;
- Participants: seven Scientific Review Council members participated in the meeting, which included the SRC Chair and six council participants;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

There were no COIs identified prior or during the meeting. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

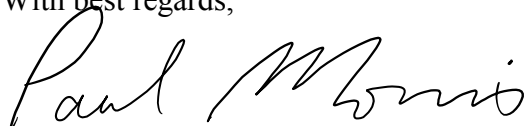
Conclusion

In conclusion; we observed that the activities of the Academic Research– 18.1 Scientific Review Council 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.

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With best regards,



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

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research 18.1 Applications
(Academic Research Cycle 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 Academic Research Recruitment Cycle 18.1 include *Individual Investigator Research Awards (IIRA)*, *Individual Investigator Research Awards for Computational Biology (IIRACB)*, *Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA)*, *Individual Investigator Research Awards for Clinical Translation (IIRACT)* and *Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) 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			
RP180244pe/ RP180244	Bin Wang	The University of Texas M. D. Anderson Cancer Center	Matthew Weitzman
RP180343	Jinming Gao	The University of Texas Southwestern Medical Center	James Willson
RP180313pe/ RP180313	Guillermina Lozano	The University of Texas M. D. Anderson Cancer Center	Carol Prives
RP180381pe/ RP180381	Livia Schiavinato Eberlin	The University of Texas at Austin	Robertson Parkman; Ying Lu
RP180047pe/ RP180047	Yihong Wan	The University of Texas Southwestern Medical Center	Geoffrey Greene
RP180181pe/ RP180181	Stephanie Watowich	The University of Texas M. D. Anderson Cancer Center	Lee Helman; Yves DeClerck

Application ID	Applicant/PI	Institution	Conflict Noted
RP180220pe/ RP180220	Joseph McCarty	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180259pe/ RP180259	CHUNRU LIN	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180530pe/ RP180530	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180505pe/ RP180505	Ayumu Taguchi	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180607	Killary, Ann	The University of Texas M. D. Anderson Cancer Center	Christopher Li
Applications not considered by the PIC or Oversight Committee			
RP180079pe	Michael Roth	The University of Texas Southwestern Medical Center	George Prendergast
RP180107pe	Sanghoon Lee	The University of Texas M. D. Anderson Cancer Center	Steven Fiering
RP180174pe	Gautam Borthakur	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180359pe	Rolf Brekken	The University of Texas Southwestern Medical Center	George Prendergast
RP180387pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Martin McMahon
RP180083pe/ RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Jeffrey Wrana

Application ID	Applicant/PI	Institution	Conflict Noted
RP180083	Sharon Dent	The University of Texas M. D. Anderson Cancer Center	Ali Shilahn
RP180204pe	Gerardo Cisneros	University of North Texas	Matthew Weitzman
RP180237pe	Robert Bast	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP180262pe	Roopa Thapar	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180390pe	E. Paul Hasty	The University of Texas Health Science Center at San Antonio	Winfried Edelmann
RP180397pe	Chi-Lin Tsai	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422pe	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;John Petrini;Walter Chazin
RP180422*	John Tainer	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson;Walter Chazin
RP180481pe	Melanie Cobb	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP180629pe	Tej Pandita	The Methodist Hospital Research Institute	Jan Karlseder
RP180045pe/ RP180045	Andras Heczey	Baylor College of Medicine	Gregory Cooper
RP180110pe	David Gerber	The University of Texas Southwestern Medical Center	Richard O'Reilly
RP180146pe	Virginia Kaklamani	The University of Texas Health Science Center at San Antonio	Michael Prados

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180199pe	Hua Zhao	The University of Texas M. D. Anderson Cancer Center	Michael Prados
RP180203pe	Fakhrul Ahsan	Texas Tech University Health Sciences Center	W. Martin Kast;Ying Lu
RP180402pe	William Symmans	The University of Texas M. D. Anderson Cancer Center	D.onna Niedzwiecki
RP180416pe/ RP180416*	Manisha singh	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180479pe	Scott Kopetz	The University of Texas M. D. Anderson Cancer Center	Garth Powis;Howard Hochster
RP180480pe	John Minna	The University of Texas Southwestern Medical Center	Paul Bunn
RP180510pe	Anirban Maitra	The University of Texas M. D. Anderson Cancer Center	Margaret Tempero
RP180513pe	Roza Nurieva	The University of Texas M. D. Anderson Cancer Center	Victor Engelhard
RP180533pe/ RP180533	Timothy Yap	The University of Texas M. D. Anderson Cancer Center	W. Martin Kast
RP180543pe/ RP180543*	Charles Reynolds	Texas Tech University Health Sciences Center	Stephen Grupp;W. Martin Kast
RP180569pe	Matthew Ellis	Baylor College of Medicine	Donna Niedzwiecki
RP180661pe	Rongfu Wang	The Methodist Hospital Research Institute	W. Martin Kast
RP180035pe	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	Lee Helman

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180043pe	Samuel Mok	The University of Texas M. D. Anderson Cancer Center	Lee Helman ;Yves DeClerck
RP180084pe	Marie-Claude Hofmann	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180085pe/ RP180085	Shiaw-Yih Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180093pe	Lee Ellis	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180113pe/ RP180113	Dimple Chakravarty	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180134pe	Anurag Purushothaman	MDACC/BLI	Lee Helman
RP180144pe	Dos Sarbassov	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180165pe	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180234pe/ RP180234	Dihua Yu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180241pe	Shawn Bratton	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180242pe	Valerie LeBleu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180252pe	Honami Naora	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180253pe	Chun Li	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180258pe	Min Gyu Lee	The University of Texas M. D. Anderson Cancer Center	L. Helman
RP180260pe	Shyam Kavuri	Baylor College of Medicine	Geoffrey Greene
RP180263pe	Bogdan Czerniak	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa; Lee Helman
RP180285pe/ RP180285	Sue-Hwa Lin	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180329pe/ RP180329	Jing Yang	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180352pe	Lanlan Shen	Baylor College of Medicine	Jean-Pierre Issa
RP180395pe	Robert Gagel	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180403pe	Stephen Wong	The Methodist Hospital Research Institute	Lee. Helman
RP180413pe	Herbert Levine	Rice University	Lee Helman
RP180417pe	Jinsong Liu	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180434pe	Qiang Shen	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180475pe	Nahum Puebla-Osorio	The University of Texas M. D. Anderson Cancer Center	Lee Helman

Application ID	Applicant/PI	Institution	Conflict Noted
RP180488pe	Vashisht Yennu Nanda	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180496pe	Rachel Schiff	Baylor College of Medicine	Geoffrey Greene
RP180496	Rachel Schiff	Baylor College of Medicine	Anne Tonachel;Geoffrey Greene
RP180506pe	Richard Ford	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180511pe	Nicholas Mitsiades	Baylor College of Medicine	Geoffrey Greene
RP180535pe	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180552pe/ RP180552*	Menashe Bar-Eli	The University of Texas M. D. Anderson Cancer Center	Lee Helman
RP180589pe	Jeffrey Rosen	Baylor College of Medicine	Benjamin Berman;J Jean-Pierre Issa;Steve Belinsky
RP180036pe	Angelica Roncancio	The University of Texas Health Science Center at Houston	Lawrence Kushi
RP180223pe	Khandan Keyomarsi	The University of Texas M. D. Anderson Cancer Center	Christopher Haiman;Lawrence Kushi
RP180229pe	Michael Ittmann	Baylor College of Medicine	Christopher Haiman
RP180355pe/ RP180355	Laura Beretta	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP180383pe	Robin Leach	The University of Texas Health Science Center at San Antonio	Christopher Haiman;William Barlow

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180427pe/ RP180427	Yanhong Liu	Baylor College of Medicine	Lorelei Mucci
RP180485pe/ RP180485	Alexander Prokhorov	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP180527pe	Shine Chang	The University of Texas M. D. Anderson Cancer Center	Electra Paskett
RP180016pe/ RP180016*	Marianna Dakanali	The University of Texas Southwestern Medical Center	Anna Wu
RP180273pe/ RP180273	Barrett Harvey	The University of Texas Health Science Center at Houston	Anna Wu
RP180291pe/ P180291	Jae Mo Park	The University of Texas Southwestern Medical Center	Brian Rutt
RP180322pe/ RP180322	Eva Sevick	The University of Texas Health Science Center at Houston	Anna Wu
RP180334pe	Vikas Kundra	The University of Texas M. D. Anderson Cancer Center	G. Johnson
RP180389pe	Amir Owringi	The University of Texas Southwestern Medical Center	Anna Wu
RP180393pe/ RP180393	Sarah McGuire	The University of Texas Southwestern Medical Center	Anna Wu
RP180424pe/ RP180424	Orhan Oz	The University of Texas Southwestern Medical Center	Anna Wu
RP180444pe	Jung-whan Kim	The University of Texas at Dallas	Arion-Xenofon Chatziioannou; Anna Wu

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP180465pe	Javier Villafruela	The University of Texas Southwestern Medical Center	Anna Wu
RP180651pe	Yaowu Hao	The University of Texas at Arlington	Anna Wu
RP180660pe	Wei Chen	The University of Texas at Arlington	Anna Wu

De-Identified Overall Evaluation Scores

Individual Investigator Research Awards for Prevention & Early Detection

Academic Research Cycle 18.1

Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP180505*	1.4
RP180607*	2.4
RP180588*	2.5
Ya	3.0
Yb	3.5
Yc	4.1
Yd	4.3
Ye	4.3
Yf	4.5
Yg	4.7
Yh	4.7
Yi	5.0
Yj	5.0
Yk	5.5
Yl	5.6

* = Recommended for funding

Individual Investigator Research Awards for Prevention and Early Detection

Academic Research Cycle 18.1

Final Scores for Preliminary Evaluation

These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.

Application ID	Final Overall Evaluation Score
Qa	3.67
Qb	3.67
Qc	3.67
Qd	3.67
Qe	3.67
Qf	3.67
Qg	4.00
Qh	4.00
Qi	4.00
Qj	4.33
Qk	4.33
Ql	4.67
Qm	4.67
Qn	4.67
Qo	5.00
Qp	5.00
Qq	5.00
Qr	5.00
Qs	5.33
Qt	5.67
Qu	6.33
Qv	6.33
Qw	6.33
Qx	7.00
Qy	7.50

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

January 16, 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

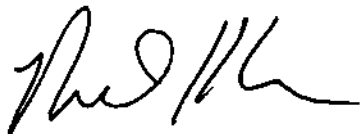
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Clinical Translation (IIRACT) and Individual Investigator Research Awards for Prevention and Early Detection (IIRAP). The SRC met on December 14, 2017 to consider the applications recommended by the peer review panels following their meetings that were held October 16, 2017 – October 24, 2017.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$47,095,197.

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	Score	Application Title	PI	PI Organization	Budget
1	RP180313	IIRA	1.0	A somatic mutant p53 mouse model of metastatic triple negative breast cancer	Lozano, G.	The University of Texas M. D. Anderson Cancer Center	\$900,000
2	RP180505	IIRAP	1.4	Circulating Exosomes as Biomarkers for Lung Cancer Early Detection	Taguchi, A.	The University of Texas M. D. Anderson Cancer Center	\$799,085
3	RP180147	IIRA	1.6	Prevalence of Rare Passenger Mutations in Biopsy Tissue as Cancer Stratification Markers	Zhang, D.	Rice University	\$900,000
4	RP180047	IIRA	1.7	A Novel Dual Suppressor of Cancer Bone Metastasis	Wan, Y.	The University of Texas Southwestern Medical Center	\$898,672
5	RP180192	IIRA	1.8	Dissecting the interplay between BAP1 and PBRM1 in renal cancer	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$897,633
6	RP180343	IIRA	1.8	Turn ON the Tumor Contrast in Lymph Node Metastases for Occult Disease Detection	Gao, J.	The University of Texas Southwestern Medical Center	\$885,684
7	RP180178	IIRA	1.8	Imaging glucose stimulated zinc secretion (GSZS) from the prostate by MRI: A potentially powerful method for early detection of prostate cancer	Sherry, D.	The University of Texas Southwestern Medical Center	\$900,000
8	RP180463	IIRACCA	1.9	Compound heterozygous mutations in pediatric cancer predisposition	Schlacher, K.	The University of Texas M. D. Anderson Cancer Center	\$556,763*
9	RP180248	IIRACB	1.9	Characterizing cancer genome instability and translational impact using new sequencing technologies	Chen, K.	The University of Texas M. D. Anderson Cancer Center	\$898,997

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
10	RP180191	IIRACCA	1.9	Understanding TFE3-mediated Tumorigenesis through Analysis of a Novel, Clinically-Relevant Mouse Model of Translocation Renal Cell Carcinoma	Brugarolas, J.	The University of Texas Southwestern Medical Center	\$1,155,128
11	RP180220	IIRA	1.9	Targeting the prion protein Doppel in brain tumor angiogenesis	McCarty, J.	The University of Texas M. D. Anderson Cancer Center	\$900,000
12	RP180435	IIRA	2.0	Fasting-induced inhibition of leukemia development	Zhang, C.	The University of Texas Southwestern Medical Center	\$900,000
13	RP180275	IIRA	2.0	Targeting Stromal ERalpha for Cervical Cancer Therapy	Chung, S.	University of Houston	\$811,617
14	RP180381	IIRACT	2.0	Mass Spectrometry Imaging to Uncover Predictive Metabolic Markers of Ovarian Cancer Surgical Outcome and Treatment Response	Schiavinato Eberlin, L.	The University of Texas at Austin	\$1,092,048
15	RP180394	IIRACCA	2.0	Targeting the metastatic sarcoma niche using leukocyte biomimetic nanoparticles	Tasciotti, E.	The Methodist Hospital Research Institute	\$1,199,617
16	RP180131	IIRACCA	2.1	DNA methylation signatures of cell-free DNA in CSF as a new response biomarker for pediatric medulloblastoma	Sun, D.	Texas A&M University System Health Science Center	\$1,200,000
17	RP180196	IIRACCA	2.1	Microwafers as Novel Drug or Gene Delivery Vehicles for Noninvasive Treatment of Retinoblastoma	Hurwitz, R.	Baylor College of Medicine	\$1,195,721
18	RP180410	IIRA	2.2	Mechanisms of Nuclear Export in Cancer	Chook, Y.	The University of Texas Southwestern Medical Center	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
19	RP180181	IIRA	2.2	Targeting neutrophil elastase as a novel therapy for metastatic breast cancer	Watowich, S.	The University of Texas M. D. Anderson Cancer Center	\$900,000
20	RP180504	IIRA	2.2	Elucidating the Epigenetic and Metabolic Vulnerabilities of Myeloproliferative Neoplasms	Xu, J.	The University of Texas Southwestern Medical Center	\$900,000
21	RP180268	IIRA	2.2	Determining the role of polyploidization in liver cancer development	Zhu, H.	The University of Texas Southwestern Medical Center	\$900,000
22	RP180309	IIRA	2.2	Inhibiting Oxidative Phosphorylation: A Novel Strategy in Leukemia	Konopleva, M.	The University of Texas M. D. Anderson Cancer Center	\$900,000
23	RP180261	IIRA	2.2	Multi-Loading Strategy for Constructing Potent Antibody-Drug Conjugates	Tsuchikama, K.	The University of Texas Health Science Center at Houston	\$900,000
24	RP180473	IIRACT	2.2	Clinical trials of C188-9, an oral inhibitor of signal transducer and activator of transcription (STAT) 3, in patients with hepatocellular carcinoma (HCC)	Tweardy, D.	The University of Texas M. D. Anderson Cancer Center	\$2,399,905
25	RP180031	IIRA	2.2	Imaging of biochemical alterations in human breast malignancy using CEST-MRI	Vinogradov, E.	The University of Texas Southwestern Medical Center	\$900,000
26	RP180244	IIRA	2.3	Functional analyses of linkage-specific ubiquitination in the DNA damage response	Wang, B.	The University of Texas M. D. Anderson Cancer Center	\$900,000
27	RP180404	IIRACT	2.3	Noninvasive detection of anthracycline induced cardiotoxicity using hyperpolarized carbon 13 based magnetic resonance spectroscopic imaging	Zaha, V.	The University of Texas Southwestern Medical Center	\$2,397,204

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
28	RP180349	IIRA	2.4	Therapeutics Targeting Cancer-Associated HPV Replication	Chiang, C.	The University of Texas Southwestern Medical Center	\$900,000
29	RP180530	IIRA	2.4	Hippo signaling in non-alcoholic fatty liver disease (NAFLD) and its progression to hepatocellular carcinoma	Johnson, R.	The University of Texas M. D. Anderson Cancer Center	\$821,669
30	RP180607	IIRAP	2.4	Blood-based biomarkers for the early detection of pancreatic cancer	Killary, A.	The University of Texas M. D. Anderson Cancer Center	\$900,000
31	RP180590	IIRA	2.4	Development of an engineered & pharmacologically optimized human methionine-gamma-lyase drug candidate for the treatment of prostate cancer and glioblastoma	Stone, E.	The University of Texas at Austin	\$900,000
32	RP180553	IIRA	2.5	Structural and Functional Characterization of the DNA Double Strand Break Processing Complex of Mre11-Rad50	Latham, M.	Texas Tech University	\$850,876
33	RP180259	IIRA	2.5	PTEN Promotes Diabetic breast cancer metastasis	LIN, C.	The University of Texas M. D. Anderson Cancer Center	\$900,000
34	RP180588	IIRAP	2.5	Novel Computer Aided Diagnosis System For Early Detection Of Oral Cancer Based On Quantitative Autofluorescence Imaging	Jo, J.	Texas Engineering Experiment Station	\$897,394
35	RP180166	IIRACCA	2.6	Molecular mechanisms of anthracycline response in cardiomyocytes and link to genetic susceptibility to cardiotoxicity in long-	Hildebrandt, M.	The University of Texas M. D. Anderson Cancer Center	\$1,194,520

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
				term childhood cancer survivors			
36	RP180466	IIRACT	2.6	Integrated single-cell biomarkers of T-cell efficacy	Varadarajan, N.	University of Houston	\$1,173,420
37	RP180055	IIRA	2.7	Mechanisms and Treatment of Hippocampal Cognitive Impairment Associated with Androgen Deprivation Therapy for Prostate Cancer	Morilak, D.	The University of Texas Health Science Center at San Antonio	\$899,547
38	RP180472	IIRA	2.8	Mucosal vaccine formulations for targeted therapy of HPV cancers	Sastry, J.	The University of Texas M. D. Anderson Cancer Center	\$883,146
39	RP180457	IIRA	2.8	Tumor Activated Enzyme Inhibitors for the Treatment of Cancer	Ready, J.	The University of Texas Southwestern Medical Center	\$898,776
40	RP180140	IIRACT	2.8	EXTERNAL beam radiation to Eliminate Nominal metastatic Disease (EXTEND): A randomized phase II basket trial to assess local control of oligometastatic disease	Tang, C.	The University of Texas M. D. Anderson Cancer Center	\$2,394,412
41	RP180634	IIRACCA	2.9	Understanding metabolic regulation of pediatric glioma through mouse modeling and patient tumor interrogation in vivo.	Bachoo, R.	The University of Texas Southwestern Medical Center	\$1,200,000
42	RP180073	IIRACCA	3.4	Myeloid support of refractory and aggressive T-ALL at distinct tumor sites	Ehrlich, L.	The University of Texas at Austin	\$1,200,000
43	RP180177	IIRA	3.5	Novel Small Molecule Probes Targeting Histone Acetyltransferase p300/CBP	Song, Y.	Baylor College of Medicine	\$900,000

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Budget
44	RP180288	IIRA	3.5	Innate Immune Regulation of Cancer Cell Proliferation	Yan, N.	The University of Texas Southwestern Medical Center	\$900,000
45	RP180319	IIRACCA	3.5	Rhabdomyosarcoma vulnerabilities: Prioritizing and extending to the clinic	Skapek, S.	The University of Texas Southwestern Medical Center	\$1,193,363

*RP180463 Reflects budget as reduced by the SRC. SRC recommended to fund only Aim 1 and reduce the duration of the study from 4 years to 3.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180031
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



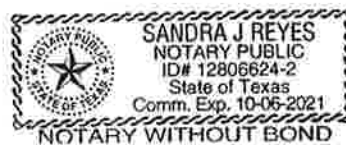
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180031
APPLICATION TITLE Imaging of biochemical alterations in human breast malignancy using CEST-MRI
APPLICANT NAME Vinogradov, Elena
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Imaging Technology and Informatics (18.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/31/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/31/17
	Date application submitted	06/06/17	12/31/17
	Method of submission	CARS	12/31/17
	Within receipt period	YES	12/31/17
	Request for extension to submit application after CARS closed	N/A	12/31/17
	Request for extension for late application submission accepted	N/A	12/31/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/31/17
	Donation(s) made to CPRIT/foundation	NO	12/31/17
	Assigned to primary reviewers	08/03/17	12/31/17
	Applicant notified of review panel assignment	07/12/17	12/31/17
	Primary Reviewer 1 COI signed	07/26/17	12/31/17
	Primary Reviewer 2 COI signed	06/15/17	12/31/17
	Primary Reviewer 3 COI signed	06/21/17	12/31/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/31/17
	Primary Reviewer 1 critique submitted	08/15/17	12/31/17
	Primary Reviewer 2 critique submitted	08/22/17	12/31/17
	Primary Reviewer 3 critique submitted	08/18/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/31/17
	Recommended for full review	YES	12/31/17
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	12/31/17
	Assigned to primary reviewers	09/05/17	12/31/17
	Primary Reviewer 1 COI signed	08/15/17	12/31/17
	Primary Reviewer 2 COI signed	09/09/17	12/31/17
	Primary Reviewer 3 COI signed	08/25/17	12/31/17
	Primary (Advocate) Reviewer 4 COI signed	09/01/17	12/31/17
	Primary Reviewer 1 critique submitted	10/09/17	12/31/17
	Primary Reviewer 2 critique submitted	10/17/17	12/31/17
	Primary Reviewer 3 critique submitted	10/05/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	10/05/17	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	Discussed at Peer Review Meeting	YES	12/31/17
	Peer Review Meeting	10/23/17	12/31/17
	Post review statements signed	11/03/17	12/31/17
	Third Party Observer Report	10/23/17	12/31/17
	Score report delivered to CSO	11/08/17	12/31/17
	Recommended for SRC Review	YES	12/31/17
5. Final SRC Recommendation	COI indicated by SRC member	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	SRC Meeting	12/14/17	12/31/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/31/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180047
Individual 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).

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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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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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

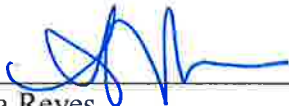
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



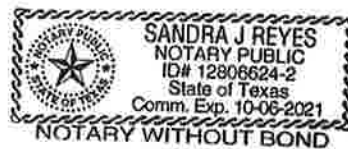
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180047
APPLICATION TITLE A Novel Dual Suppressor of Cancer Bone Metastasis
APPLICANT NAME Wan, Yihong
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Cancer Biology (18.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/05/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/05/18
	Date application submitted	05/22/17	01/05/18
	Method of submission	CARS	01/05/18
	Within receipt period	YES	01/05/18
	Request for extension to submit application after CARS closed	N/A	01/05/18
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	01/05/18
	Administrative review notification	N/A	01/05/18
	Donation(s) made to CPRIT/foundation	NO	01/05/18
	Assigned to primary reviewers	08/02/17	01/05/18
	Applicant notified of review panel assignment	07/12/17	01/05/18
	Primary Reviewer 1 COI signed	06/18/17	01/05/18
	Primary Reviewer 2 COI signed	06/20/17	01/05/18
	Primary Reviewer 3 COI signed	07/17/17	01/05/18
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	01/05/18
	Primary Reviewer 1 critique submitted	08/15/17	01/05/18
	Primary Reviewer 2 critique submitted	08/25/17	01/05/18
	Primary Reviewer 3 critique submitted	08/19/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/05/18
	COI indicated by non-primary reviewer	Geoffrey Greene	01/05/18
	Preliminary Evaluation score summary sent to Chair	08/28/17	01/05/18
	Recommended for full review	YES	01/05/18
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	01/05/18
	Assigned to primary reviewers	09/01/17	01/05/18
	Primary Reviewer 1 COI signed	08/15/17	01/05/18
	Primary Reviewer 2 COI signed	09/27/17	01/05/18
	Primary Reviewer 3 COI signed	08/07/17	01/05/18
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	01/05/18
	Primary Reviewer 1 critique submitted	10/06/17	01/05/18
	Primary Reviewer 2 critique submitted	10/10/17	01/05/18
	Primary Reviewer 3 critique submitted	09/30/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	09/01/17	01/05/18
	COI indicated by non-primary reviewer	Geoffrey Greene	01/05/18
	COI recused from participation	YES	01/05/18
	Discussed at Peer Review Meeting	YES	01/05/18
	Peer Review Meeting	10/16/17	01/05/18
	Post review statements signed	11/01/17	01/05/18
	Third Party Observer Report	10/16/17	01/05/18
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	01/05/18
	Recommended for SRC Review	YES	01/05/18
	COI indicated by SRC member	NONE	01/05/18
	COI recused from participation	N/A	01/05/18
	SRC Meeting	12/14/17	01/05/18
	Third Party Observer Report	12/14/17	01/05/18
6. PIC Review	Recommended for grant award	YES	01/05/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180055
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

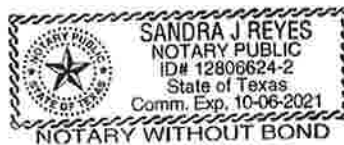
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180055
APPLICATION TITLE Mechanisms and Treatment of Hippocampal Cognitive Impairment Associated with Androgen Deprivation Therapy for Prostate Cancer
APPLICANT NAME Morilak, David
ORGANIZATION The University of Texas Health Science Center at San Antonio
PANEL NAME 18.1 Clinical / Translational Cancer Research (18.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/28/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/28/17
	Date application submitted	05/30/17	12/28/17
	Method of submission	CARS	12/28/17
	Within receipt period	YES	12/28/17
	Request for extension to submit application after CARS closed	N/A	12/28/17
	Request for extension for late application submission accepted	N/A	12/28/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/28/17
	Donation(s) made to CPRIT/Foundation	NO	12/28/17
	Assigned to primary reviewers	08/07/17	12/28/17
	Applicant notified of review panel assignment	07/12/17	12/28/17
	Primary Reviewer 1 COI signed	08/01/17	12/28/17
	Primary Reviewer 2 COI signed	07/28/17	12/28/17
	Primary Reviewer 3 COI signed	07/31/17	12/28/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/28/17
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	09/06/17	12/28/17
	Primary Reviewer 2 critique submitted	08/28/17	12/28/17
	Primary Reviewer 3 critique submitted	08/14/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	Preliminary Evaluation score summary sent to Chair	09/04/17	12/28/17
	Recommended for full review	YES	12/28/17
	Applicant notified of outcome	10/02/17	12/28/17
4. Peer Review Meeting	Assigned to primary reviewers	09/14/17	12/28/17
	Primary Reviewer 1 COI signed	09/06/17	12/28/17
	Primary Reviewer 2 COI signed	09/16/17	12/28/17
	Primary Reviewer 3 COI signed	08/07/17	12/28/17
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	Primary Reviewer 1 critique submitted	10/13/17	12/28/17
	Primary Reviewer 2 critique submitted	09/22/17	12/28/17
	Primary Reviewer 3 critique submitted	10/09/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	09/18/17	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	Discussed at Peer Review Meeting	YES	12/28/17
	Peer Review Meeting	10/19/17	12/28/17
	Post review statements signed	10/19/17	12/28/17
	Third Party Observer Report	10/19/17	12/28/17
	Score report delivered to CSO	11/08/17	12/28/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/28/17
	COI indicated by SRC member	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	SRC Meeting	12/14/17	12/28/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/28/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI Indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180073
Individual Investigator Research Awards
for Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 39 applications in response to this RFA, including two 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

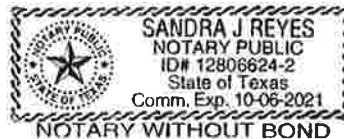
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP180073
APPLICATION TITLE Myeloid support of refractory and aggressive T-ALL at distinct tumor sites
APPLICANT NAME Ehrlich, Lauren
ORGANIZATION The University of Texas at Austin
PANEL NAME 18.1 Basic Cancer Research-1 (18.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/06/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	06/22/17	12/26/17
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	Primary Reviewer 3 COI signed	06/16/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
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	Primary Reviewer 2 critique submitted	08/18/17	12/26/17
	Primary Reviewer 3 critique submitted	08/22/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
	Applicant notified of outcome	10/02/17	12/26/17
4. Peer Review Meeting	Assigned to primary reviewers	09/01/17	12/26/17
	Primary Reviewer 1 COI signed	08/23/17	12/26/17
	Primary Reviewer 2 COI signed	08/11/17	12/26/17
	Primary Reviewer 3 COI signed	08/03/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	10/12/17	12/26/17
	Primary Reviewer 2 critique submitted	10/11/17	12/26/17
	Primary Reviewer 3 critique submitted	10/13/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/03/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/20/17	12/26/17
	Post review statements signed	10/20/17	12/26/17
	Third Party Observer Report	10/20/17	12/26/17
	Score report delivered to CSO	11/08/17	12/26/17
	Recommended for SRC Review	YES	12/26/17
5. Final SRC Recommendation	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/26/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180131
Individual Investigator Research Awards
for Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 39 applications in response to this RFA, including two 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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.

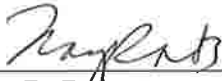
An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



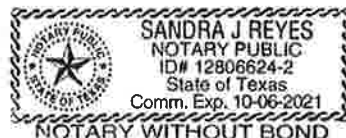
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP180131
APPLICATION TITLE DNA methylation signatures of cell-free DNA in CSF as a new response biomarker for pediatric medulloblastoma
APPLICANT NAME Sun, Deqiang
ORGANIZATION Texas A&M University System Health Science Center
PANEL NAME 18.1 Basic Cancer Research-1 (18.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/08/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	07/17/17	12/26/17
	Primary Reviewer 2 COI signed	06/22/17	12/26/17
	Primary Reviewer 3 COI signed	06/16/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/21/17	12/26/17
	Primary Reviewer 2 critique submitted	08/22/17	12/26/17
	Primary Reviewer 3 critique submitted	08/17/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
	Applicant notified of outcome	10/02/17	12/26/17
4. Peer Review Meeting	Assigned to primary reviewers	09/01/17	12/26/17
	Primary Reviewer 1 COI signed	08/03/17	12/26/17
	Primary Reviewer 2 COI signed	08/23/17	12/26/17
	Primary Reviewer 3 COI signed	08/03/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	10/12/17	12/26/17
	Primary Reviewer 2 critique submitted	10/12/17	12/26/17
	Primary Reviewer 3 critique submitted	09/05/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/05/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/20/17	12/26/17
	Post review statements signed	10/20/17	12/26/17
	Third Party Observer Report	10/20/17	12/26/17
	Score report delivered to CSO	11/08/17	12/26/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/26/17
	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/26/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180140
Individual Investigator Research Awards
for Clinical Translation

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 *Individual Investigator Research Awards for Clinical Translation* Request for Applications (RFA). CPRIT received 54 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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,

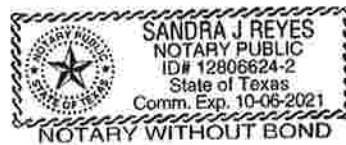
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Clinical Translation (IIRACT)
APPLICATION ID RP180140
APPLICATION TITLE EXternal beam radiation to Eliminate Nominal metastatic Disease (EXTEND): A randomized phase II basket trial to assess local control of oligometastatic disease
APPLICANT NAME Tang, Chad
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Clinical / Translational Cancer Research (18.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/28/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/28/17
	Date application submitted	06/06/17	12/28/17
	Method of submission	CARS	12/28/17
	Within receipt period	YES	12/28/17
	Request for extension to submit application after CARS closed	N/A	12/28/17
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	12/28/17
	Administrative review notification	N/A	12/28/17
	Donation(s) made to CPRIT/foundation	NO	12/28/17
	Assigned to primary reviewers	08/07/17	12/28/17
	Applicant notified of review panel assignment	07/12/17	12/28/17
	Primary Reviewer 1 COI signed	07/24/17	12/28/17
	Primary Reviewer 2 COI signed	06/16/17	12/28/17
	Primary Reviewer 3 COI signed	07/31/17	12/28/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/28/17
	Primary Reviewer 1 critique submitted	08/27/17	12/28/17
	Primary Reviewer 2 critique submitted	08/21/17	12/28/17
	Primary Reviewer 3 critique submitted	08/29/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	Preliminary Evaluation score summary sent to Chair	09/04/17	12/28/17
	Recommended for full review	YES	12/28/17
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	12/28/17
	Assigned to primary reviewers	09/14/17	12/28/17
	Primary Reviewer 1 COI signed	08/07/17	12/28/17
	Primary Reviewer 2 COI signed	09/07/17	12/28/17
	Primary Reviewer 3 COI signed	08/28/17	12/28/17
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	12/28/17
	Primary Reviewer 1 critique submitted	10/12/17	12/28/17
	Primary Reviewer 2 critique submitted	10/09/17	12/28/17
	Primary Reviewer 3 critique submitted	10/13/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	10/03/17	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	Discussed at Peer Review Meeting	YES	12/28/17
	Peer Review Meeting	10/19/17	12/28/17
	Post review statements signed	10/19/17	12/28/17
	Third Party Observer Report	10/19/17	12/28/17
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	12/28/17
	Recommended for SRC Review	YES	12/28/17
	COI indicated by SRC member	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	SRC Meeting	12/14/17	12/28/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/28/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180147
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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.

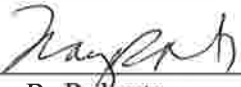
An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

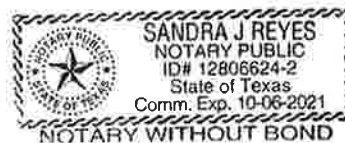
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180147
APPLICATION TITLE Prevalence of Rare Passenger Mutations in Biopsy Tissue as Cancer Stratification Markers
APPLICANT NAME Zhang, David
ORGANIZATION Rice University
PANEL NAME 18.1 Imaging Technology and Informatics (18.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/31/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/31/17
	Date application submitted	05/18/17	12/31/17
	Method of submission	CARS	12/31/17
	Within receipt period	YES	12/31/17
	Request for extension to submit application after CARS closed	N/A	12/31/17
	Request for extension for late application submission accepted	N/A	12/31/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/31/17
	Donation(s) made to CPRIT/foundation	NO	12/31/17
	Assigned to primary reviewers	09/05/17	12/31/17
	Applicant notified of review panel assignment	07/12/17	12/31/17
	Primary Reviewer 1 COI signed	09/19/17	12/31/17
	Primary Reviewer 2 COI signed	09/06/17	12/31/17
	Primary Reviewer 3 COI signed	08/23/17	12/31/17
	Primary (Advocate) Reviewer 4 COI signed	09/01/17	12/31/17
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	12/31/17
	Primary Reviewer 2 critique submitted	N/A	12/31/17
	Primary Reviewer 3 critique submitted	N/A	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/31/17
	COI indicated by non-primary reviewer	N/A	12/31/17
	Preliminary Evaluation score summary sent to Chair	N/A	12/31/17
	Recommended for full review	N/A	12/31/17
	Applicant notified of outcome	N/A	12/31/17
4. Peer Review Meeting	Assigned to primary reviewers	09/05/17	12/31/17
	Primary Reviewer 1 COI signed	09/19/17	12/31/17
	Primary Reviewer 2 COI signed	09/06/17	12/31/17
	Primary Reviewer 3 COI signed	08/23/17	12/31/17
	Primary (Advocate) Reviewer 4 COI signed	09/01/17	12/31/17
	Primary Reviewer 1 critique submitted	10/09/17	12/31/17
	Primary Reviewer 2 critique submitted	10/06/17	12/31/17
	Primary Reviewer 3 critique submitted	10/18/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	10/05/17	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	Discussed at Peer Review Meeting	YES	12/31/17
	Peer Review Meeting	10/23/17	12/31/17
	Post review statements signed	11/03/17	12/31/17
	Third Party Observer Report	10/23/17	12/31/17
	Score report delivered to CSO	11/08/17	12/31/17
	Recommended for SRC Review	YES	12/31/17
5. Final SRC Recommendation	COI indicated by SRC member	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	SRC Meeting	12/14/17	12/31/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/31/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180166
Individual Investigator Research Awards
for Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 39 applications in response to this RFA, including two 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



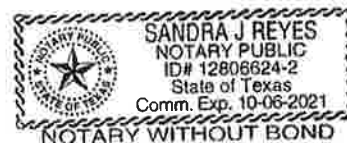
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP180166
APPLICATION TITLE Molecular mechanisms of anthracycline response in cardiomyocytes and link to genetic susceptibility to cardiotoxicity in long-term childhood cancer survivors
APPLICANT NAME Hildebrandt, Michelle
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Cancer Prevention Research (18.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/05/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	07/19/17	12/26/17
	Primary Reviewer 2 COI signed	06/16/17	12/26/17
	Primary Reviewer 3 COI signed	07/18/17	12/26/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
	Primary Reviewer 1 critique submitted	08/24/17	12/26/17
	Primary Reviewer 2 critique submitted	08/03/17	12/26/17
	Primary Reviewer 3 critique submitted	08/23/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
	Applicant notified of outcome	10/02/17	12/26/17
4. Peer Review Meeting	Assigned to primary reviewers	09/05/17	12/26/17
	Primary Reviewer 1 COI signed	09/06/17	12/26/17
	Primary Reviewer 2 COI signed	09/11/17	12/26/17
	Primary Reviewer 3 COI signed	08/02/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	09/05/17	12/26/17
	Primary Reviewer 1 critique submitted	10/10/17	12/26/17
	Primary Reviewer 2 critique submitted	09/13/17	12/26/17
	Primary Reviewer 3 critique submitted	10/26/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/12/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/24/17	12/26/17
	Post review statements signed	11/03/17	12/26/17
	Third Party Observer Report	10/24/17	12/26/17
	Score report delivered to CSO	11/08/17	12/26/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/26/17
	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/26/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180177
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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.

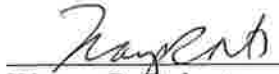
An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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

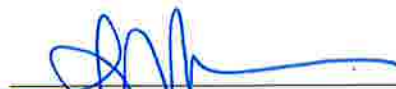
State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
 CYCLE 1
 PROGRAM Academic Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP180177
 APPLICATION TITLE Novel Small Molecule Probes Targeting Histone Acetyltransferase p300/CBP
 APPLICANT NAME Song, Yongcheng
 ORGANIZATION Baylor College of Medicine
 PANEL NAME 18.1 Basic Cancer Research-1 (18.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (Initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/08/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	12/26/17
	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	09/01/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	08/11/17	12/26/17
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3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	N/A	12/26/17
	Primary Reviewer 2 critique submitted	N/A	12/26/17
	Primary Reviewer 3 critique submitted	N/A	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	N/A	12/26/17
	Preliminary Evaluation score summary sent to Chair	N/A	12/26/17
	Recommended for full review	N/A	12/26/17
4. Peer Review Meeting	Applicant notified of outcome	N/A	12/26/17
	Assigned to primary reviewers	09/01/17	12/26/17
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	SRC Meeting	12/14/17	12/26/17
6. PIC Review	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/26/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
7. Oversight Committee Approval	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180178
Individual 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).

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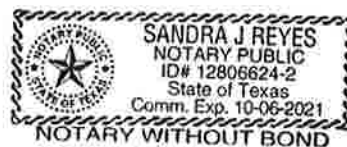
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
 CYCLE 1
 PROGRAM Academic Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP180178
 APPLICATION TITLE Imaging glucose stimulated zinc secretion (GSZS) from the prostate by MRI: A potentially powerful method for early detection of prostate cancer
 APPLICANT NAME Sherry, Dean
 ORGANIZATION The University of Texas Southwestern Medical Center
 PANEL NAME 18.1 Imaging Technology and Informatics (18.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
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	Method of submission	CARS	12/31/17
	Within receipt period	YES	12/31/17
	Request for extension to submit application after CARS closed	N/A	12/31/17
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	Primary (Advocate) Reviewer 4 COI signed	09/01/17	12/31/17
	Primary Reviewer 1 critique submitted	10/08/17	12/31/17
	Primary Reviewer 2 critique submitted	10/16/17	12/31/17
	Primary Reviewer 3 critique submitted	10/09/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	10/05/17	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	Discussed at Peer Review Meeting	YES	12/31/17
	Peer Review Meeting	10/23/17	12/31/17
	Post review statements signed	11/03/17	12/31/17
	Third Party Observer Report	10/23/17	12/31/17
	Score report delivered to CSO	11/08/17	12/31/17
	Recommended for SRC Review	YES	12/31/17
5. Final SRC Recommendation	COI indicated by SRC member	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	SRC Meeting	12/14/17	12/31/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/31/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI Indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180181
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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.

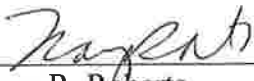
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



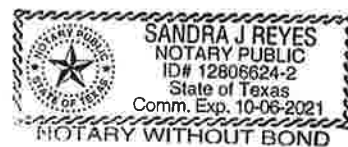
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180181
APPLICATION TITLE Targeting neutrophil elastase as a novel therapy for metastatic breast cancer
APPLICANT NAME Watowich, Stephanie
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Cancer Biology (18.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/05/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/05/18
	Date application submitted	06/01/17	01/05/18
	Method of submission	CARS	01/05/18
	Within receipt period	YES	01/05/18
	Request for extension to submit application after CARS closed	N/A	01/05/18
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	01/05/18
	Administrative review notification	N/A	01/05/18
	Donation(s) made to CPRIT/foundation	NO	01/05/18
	Assigned to primary reviewers	08/02/17	01/05/18
	Applicant notified of review panel assignment	07/12/17	01/05/18
	Primary Reviewer 1 COI signed	07/17/17	01/05/18
	Primary Reviewer 2 COI signed	07/27/17	01/05/18
3. Preliminary Evaluation	Primary Reviewer 3 COI signed	06/21/17	01/05/18
	Primary (Advocate) Reviewer 4 COI signed	N/A	01/05/18
	Primary Reviewer 1 critique submitted	08/18/17	01/05/18
	Primary Reviewer 2 critique submitted	08/21/17	01/05/18
	Primary Reviewer 3 critique submitted	08/27/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/05/18
	COI indicated by non-primary reviewer	Lee Helman	01/05/18
	COI indicated by non-primary reviewer	Yves DeClerck	01/05/18
	Preliminary Evaluation score summary sent to Chair	08/28/17	01/05/18
	Recommended for full review	YES	01/05/18
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	01/05/18
	Assigned to primary reviewers	09/01/17	01/05/18
	Primary Reviewer 1 COI signed	09/26/17	01/05/18
	Primary Reviewer 2 COI signed	08/02/17	01/05/18
	Primary Reviewer 3 COI signed	08/02/17	01/05/18
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	01/05/18
	Primary Reviewer 1 critique submitted	10/08/17	01/05/18
	Primary Reviewer 2 critique submitted	10/06/17	01/05/18
	Primary Reviewer 3 critique submitted	10/12/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	09/02/17	01/05/18
	COI indicated by non-primary reviewer	Lee Helman	01/05/18
	COI recused from participation	YES	01/05/18
	COI indicated by non-primary reviewer	Yves DeClerck	01/05/18
	COI recused from participation	YES	01/05/18
	Discussed at Peer Review Meeting	YES	01/05/18
	Peer Review Meeting	10/16/17	01/05/18
	Post review statements signed	11/01/17	01/05/18
	Third Party Observer Report	10/16/17	01/05/18
	Score report delivered to CSO	11/08/17	01/05/18
5. Final SRC Recommendation	Recommended for SRC Review	YES	01/05/18
	COI indicated by SRC member	NONE	01/05/18
	COI recused from participation	N/A	01/05/18
	SRC Meeting	12/14/17	01/05/18
	Third Party Observer Report	12/14/17	01/05/18
6. PIC Review	Recommended for grant award	YES	01/05/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180191
Individual Investigator Research Awards
for Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 39 applications in response to this RFA, including two 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



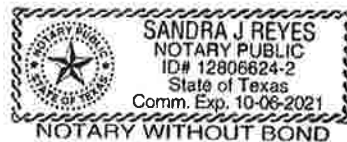
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP180191
APPLICATION TITLE Understanding TFE3-mediated Tumorigenesis through Analysis of a Novel, Clinically-Relevant Mouse Model of Translocation Renal Cell Carcinoma
APPLICANT NAME Brugarolas, James
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Basic Cancer Research-2 (18.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/03/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/03/18
	Date application submitted	06/06/17	01/03/18
	Method of submission	CARS	01/03/18
	Within receipt period	YES	01/03/18
	Request for extension to submit application after CARS closed	N/A	01/03/18
	Request for extension for late application submission accepted	N/A	01/03/18
	Administrative review notification	N/A	01/03/18
2. Receipt, Referral, and Assignment	Donation(s) made to CPRIT/foundation	NO	01/03/18
	Assigned to primary reviewers	08/10/17	01/03/18
	Applicant notified of review panel assignment	07/12/17	01/03/18
	Primary Reviewer 1 COI signed	07/27/17	01/03/18
	Primary Reviewer 2 COI signed	07/18/17	01/03/18
	Primary Reviewer 3 COI signed	06/21/17	01/03/18
	Primary (Advocate) Reviewer 4 COI signed	N/A	01/03/18
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/29/17	01/03/18
	Primary Reviewer 2 critique submitted	08/28/17	01/03/18
	Primary Reviewer 3 critique submitted	08/27/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/03/18
	COI indicated by non-primary reviewer	NONE	01/03/18
	Preliminary Evaluation score summary sent to Chair	08/30/17	01/03/18
	Recommended for full review	YES	01/03/18
	Applicant notified of outcome	10/02/17	01/03/18
4. Peer Review Meeting	Assigned to primary reviewers	09/08/17	01/03/18
	Primary Reviewer 1 COI signed	08/24/17	01/03/18
	Primary Reviewer 2 COI signed	09/08/17	01/03/18
	Primary Reviewer 3 COI signed	09/24/17	01/03/18
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	01/03/18
	Primary Reviewer 1 critique submitted	10/11/17	01/03/18
	Primary Reviewer 2 critique submitted	10/09/17	01/03/18
	Primary Reviewer 3 critique submitted	10/10/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	10/11/17	01/03/18
	COI indicated by non-primary reviewer	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	Discussed at Peer Review Meeting	YES	01/03/18
	Peer Review Meeting	10/18/17	01/03/18
	Post review statements signed	11/07/17	01/03/18
	Third Party Observer Report	10/18/17	01/03/18
	Score report delivered to CSO	11/08/17	01/03/18
	Recommended for SRC Review	YES	01/03/18
5. Final SRC Recommendation	COI indicated by SRC member	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	SRC Meeting	12/14/17	01/03/18
	Third Party Observer Report	12/14/17	01/03/18
	Recommended for grant award	YES	01/03/18
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180192
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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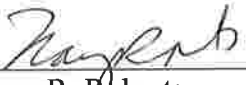
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

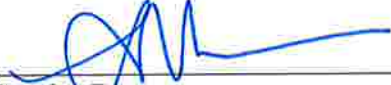
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



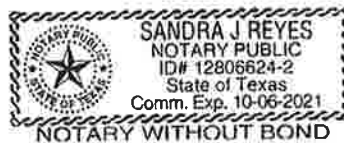
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180192
APPLICATION TITLE Dissecting the interplay between BAP1 and PBRM1 in renal cancer
APPLICANT NAME Brugarolas, James
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Basic Cancer Research-1 (18.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/06/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	09/01/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	08/21/17	12/26/17
	Primary Reviewer 2 COI signed	09/05/17	12/26/17
	Primary Reviewer 3 COI signed	09/01/17	12/26/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	N/A	12/26/17
	Primary Reviewer 2 critique submitted	N/A	12/26/17
	Primary Reviewer 3 critique submitted	N/A	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	N/A	12/26/17
	Preliminary Evaluation score summary sent to Chair	N/A	12/26/17
4. Peer Review Meeting	Recommended for full review	N/A	12/26/17
	Applicant notified of outcome	N/A	12/26/17
	Assigned to primary reviewers	09/01/17	12/26/17
	Primary Reviewer 1 COI signed	08/21/17	12/26/17
	Primary Reviewer 2 COI signed	09/05/17	12/26/17
	Primary Reviewer 3 COI signed	09/01/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	10/12/17	12/26/17
	Primary Reviewer 2 critique submitted	10/07/17	12/26/17
	Primary Reviewer 3 critique submitted	10/13/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	09/24/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/20/17	12/26/17
	Post review statements signed	10/20/17	12/26/17
	Third Party Observer Report	10/20/17	12/26/17
	Score report delivered to CSO	11/08/17	12/26/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/26/17
	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/26/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI Indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180196
Individual Investigator Research Awards
for Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 39 applications in response to this RFA, including two 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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.

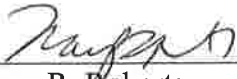
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

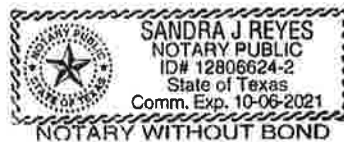
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP180196
APPLICATION TITLE Microwafers as Novel Drug or Gene Delivery Vehicles for Noninvasive Treatment of Retinoblastoma
APPLICANT NAME Hurwitz, Richard
ORGANIZATION Baylor College of Medicine
PANEL NAME 18.1 Imaging Technology and Informatics (18.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/31/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/31/17
	Date application submitted	06/07/17	12/31/17
	Method of submission	CARS	12/31/17
	Within receipt period	YES	12/31/17
	Request for extension to submit application after CARS closed	N/A	12/31/17
	Request for extension for late application submission accepted	N/A	12/31/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/31/17
	Donation(s) made to CPRIT/foundation	NO	12/31/17
	Assigned to primary reviewers	08/03/17	12/31/17
	Applicant notified of review panel assignment	07/12/17	12/31/17
	Primary Reviewer 1 COI signed	07/31/17	12/31/17
	Primary Reviewer 2 COI signed	06/16/17	12/31/17
	Primary Reviewer 3 COI signed	06/16/17	12/31/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/31/17
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/23/17	12/31/17
	Primary Reviewer 2 critique submitted	08/16/17	12/31/17
	Primary Reviewer 3 critique submitted	08/16/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/31/17
	Recommended for full review	YES	12/31/17
	Applicant notified of outcome	10/02/17	12/31/17
4. Peer Review Meeting	Assigned to primary reviewers	09/05/17	12/31/17
	Primary Reviewer 1 COI signed	08/23/17	12/31/17
	Primary Reviewer 2 COI signed	09/06/17	12/31/17
	Primary Reviewer 3 COI signed	08/09/17	12/31/17
	Primary (Advocate) Reviewer 4 COI signed	09/01/17	12/31/17
	Primary Reviewer 1 critique submitted	10/17/17	12/31/17
	Primary Reviewer 2 critique submitted	10/19/17	12/31/17
	Primary Reviewer 3 critique submitted	10/13/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	10/10/17	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	Discussed at Peer Review Meeting	YES	12/31/17
	Peer Review Meeting	10/23/17	12/31/17
	Post review statements signed	11/03/17	12/31/17
	Third Party Observer Report	10/23/17	12/31/17
	Score report delivered to CSO	11/08/17	12/31/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/31/17
	COI indicated by SRC member	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	SRC Meeting	12/14/17	12/31/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/31/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180220
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



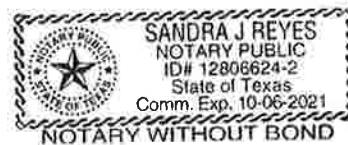
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180220
APPLICATION TITLE Targeting the prion protein Doppel in brain tumor angiogenesis
APPLICANT NAME Joseph McCarty
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Cancer Biology (18.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (Initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/05/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/05/18
	Date application submitted	06/06/17	01/05/18
	Method of submission	CARS	01/05/18
	Within receipt period	YES	01/05/18
	Request for extension to submit application after CARS closed	N/A	01/05/18
	Request for extension for late application submission accepted	N/A	01/05/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/05/18
	Donation(s) made to CPRIT/foundation	NO	01/05/18
	Assigned to primary reviewers	08/02/17	01/05/18
	Applicant notified of review panel assignment	07/12/17	01/05/18
	Primary Reviewer 1 COI signed	06/23/17	01/05/18
	Primary Reviewer 2 COI signed	06/18/17	01/05/18
	Primary Reviewer 3 COI signed	06/21/17	01/05/18
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	01/05/18
	Primary Reviewer 1 critique submitted	08/11/17	01/05/18
	Primary Reviewer 2 critique submitted	08/16/17	01/05/18
	Primary Reviewer 3 critique submitted	08/15/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/05/18
	COI indicated by non-primary reviewer	Lee Helman	01/05/18
	Preliminary Evaluation score summary sent to Chair	08/28/17	01/05/18
	Recommended for full review	YES	01/05/18
	Applicant notified of outcome	10/02/17	01/05/18
4. Peer Review Meeting	Assigned to primary reviewers	09/01/17	01/05/18
	Primary Reviewer 1 COI signed	08/11/17	01/05/18
	Primary Reviewer 2 COI signed	08/15/17	01/05/18
	Primary Reviewer 3 COI signed	08/15/17	01/05/18
	Primary (Advocate) Reviewer 4 COI signed	09/01/17	01/05/18
	Primary Reviewer 1 critique submitted	10/08/17	01/05/18
	Primary Reviewer 2 critique submitted	10/06/17	01/05/18
	Primary Reviewer 3 critique submitted	10/06/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	10/04/17	01/05/18
	COI indicated by non-primary reviewer	Lee Helman	01/05/18
	COI recused from participation	YES	01/05/18
	Discussed at Peer Review Meeting	YES	01/05/18
	Peer Review Meeting	10/16/17	01/05/18
	Post review statements signed	11/01/17	01/05/18
	Third Party Observer Report	10/16/17	01/05/18
	Score report delivered to CSO	11/08/17	01/05/18
5. Final SRC Recommendation	Recommended for SRC Review	YES	01/05/18
	COI indicated by SRC member	NONE	01/05/18
	COI recused from participation	N/A	01/05/18
	SRC Meeting	12/14/17	01/05/18
	Third Party Observer Report	12/14/17	01/05/18
6. PIC Review	Recommended for grant award	YES	01/05/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180244
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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.

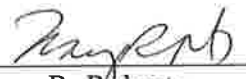
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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

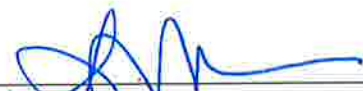
State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

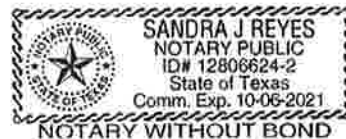
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
 CYCLE 1
 PROGRAM Academic Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP180244
 APPLICATION TITLE Functional analyses of linkage-specific ubiquitination in the DNA damage response
 APPLICANT NAME Wang, Bin
 ORGANIZATION The University of Texas M. D. Anderson Cancer Center
 PANEL NAME 18.1 Basic Cancer Research-2 (18.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/03/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/03/18
	Date application submitted	06/06/17	01/03/18
	Method of submission	CARS	01/03/18
	Within receipt period	YES	01/03/18
	Request for extension to submit application after CARS closed	N/A	01/03/18
	Request for extension for late application submission accepted	N/A	01/03/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/03/18
	Donation(s) made to CPRIT/foundation	NO	01/03/18
	Assigned to primary reviewers	08/10/17	01/03/18
	Applicant notified of review panel assignment	07/12/17	01/03/18
	Primary Reviewer 1 COI signed	07/17/17	01/03/18
	Primary Reviewer 2 COI signed	07/24/17	01/03/18
	Primary Reviewer 3 COI signed	06/16/17	01/03/18
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	01/03/18
	Primary Reviewer 1 critique submitted	08/17/17	01/03/18
	Primary Reviewer 2 critique submitted	08/17/17	01/03/18
	Primary Reviewer 3 critique submitted	08/28/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/03/18
	COI indicated by non-primary reviewer	Matthew Weitzman	01/03/18
	Preliminary Evaluation score summary sent to Chair	08/30/17	01/03/18
4. Peer Review Meeting	Recommended for full review	YES	01/03/18
	Applicant notified of outcome	10/02/17	01/03/18
	Assigned to primary reviewers	09/08/17	01/03/18
	Primary Reviewer 1 COI signed	09/15/17	01/03/18
	Primary Reviewer 2 COI signed	08/08/17	01/03/18
	Primary Reviewer 3 COI signed	09/06/17	01/03/18
	Primary (Advocate) Reviewer 4 COI signed	09/05/17	01/03/18
	Primary Reviewer 1 critique submitted	10/06/17	01/03/18
	Primary Reviewer 2 critique submitted	10/10/17	01/03/18
	Primary Reviewer 3 critique submitted	10/09/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	10/10/17	01/03/18
	COI indicated by non-primary reviewer	Matthew Weitzman	01/03/18
	COI recused from participation	YES	01/03/18
	Discussed at Peer Review Meeting	YES	01/03/18
	Peer Review Meeting	10/18/17	01/03/18
	Post review statements signed	11/07/17	01/03/18
	Third Party Observer Report	10/18/17	01/03/18
	Score report delivered to CSO	11/08/17	01/03/18
	Recommended for SRC Review	YES	01/03/18
5. Final SRC Recommendation	COI indicated by SRC member	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	SRC Meeting	12/14/17	01/03/18
	Third Party Observer Report	12/14/17	01/03/18
	Recommended for grant award	YES	01/03/18
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180248
Individual Investigator Research Awards
for Computational Biology

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 *Individual Investigator Research Awards for Computational Biology* Request for Applications (RFA). CPRIT received 43 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

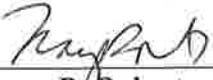
The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

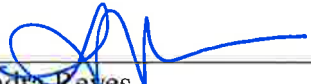
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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

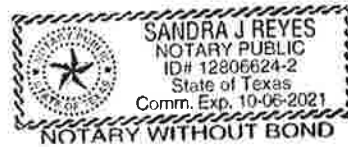


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Computational Biology (IIRACB)
APPLICATION ID RP180248
APPLICATION TITLE Characterizing cancer genome instability and translational impact using new sequencing technologies
APPLICANT NAME Chen, Ken
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Basic Cancer Research-2 (18.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 01/12/17 (revised) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/03/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/03/18
	Date application submitted	06/05/17	01/03/18
	Method of submission	CARS	01/03/18
	Within receipt period	YES	01/03/18
	Request for extension to submit application after CARS closed	N/A	01/03/18
	Request for extension for late application submission accepted	N/A	01/03/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/03/18
	Donation(s) made to CPRIT/foundation	NO	01/03/18
	Assigned to primary reviewers	08/10/17	01/03/18
	Applicant notified of review panel assignment	07/12/17	01/03/18
	Primary Reviewer 1 COI signed	07/27/17	01/03/18
	Primary Reviewer 2 COI signed	07/24/17	01/03/18
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	Primary Reviewer 1 critique submitted	08/30/17	01/03/18
	Primary Reviewer 2 critique submitted	08/18/17	01/03/18
	Primary Reviewer 3 critique submitted	08/25/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/03/18
	COI indicated by non-primary reviewer	NONE	01/03/18
	Preliminary Evaluation score summary sent to Chair	08/30/17	01/03/18
	Recommended for full review	YES	01/03/18
	Applicant notified of outcome	10/02/17	01/03/18
4. Peer Review Meeting	Assigned to primary reviewers	09/08/17	01/03/18
	Primary Reviewer 1 COI signed	10/04/17	01/03/18
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	Primary Reviewer 3 COI signed	08/10/17	01/03/18
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	01/03/18
	Primary Reviewer 1 critique submitted	10/09/17	01/03/18
	Primary Reviewer 2 critique submitted	09/21/17	01/03/18
	Primary Reviewer 3 critique submitted	10/08/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	10/11/17	01/03/18
	COI indicated by non-primary reviewer	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	Discussed at Peer Review Meeting	YES	01/03/18
	Peer Review Meeting	10/18/17	01/03/18
	Post review statements signed	11/07/17	01/03/18
	Third Party Observer Report	10/18/17	01/03/18
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	01/03/18
	Recommended for SRC Review	YES	01/03/18
	COI indicated by SRC member	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	SRC Meeting	12/14/17	01/03/18
6. PIC Review	Third Party Observer Report	12/14/17	01/03/18
	Recommended for grant award	YES	01/03/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI Indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180259
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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.

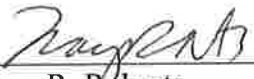
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

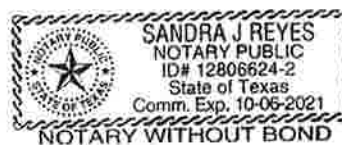
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180259
APPLICATION TITLE PTEN Promotes Diabetic breast cancer metastasis
APPLICANT NAME LIN, CHUNRU
ORGANIZATION The University of Texas M, D. Anderson Cancer Center
PANEL NAME 18.1 Cancer Biology (18.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/05/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/05/18
	Date application submitted	06/06/17	01/05/18
	Method of submission	CARS	01/05/18
	Within receipt period	YES	01/05/18
	Request for extension to submit application after CARS closed	N/A	01/05/18
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	01/05/18
	Administrative review notification	N/A	01/05/18
	Donation(s) made to CPRIT/foundation	NO	01/05/18
	Assigned to primary reviewers	08/02/17	01/05/18
	Applicant notified of review panel assignment	07/12/17	01/05/18
	Primary Reviewer 1 COI signed	07/17/17	01/05/18
	Primary Reviewer 2 COI signed	06/16/17	01/05/18
3. Preliminary Evaluation	Primary Reviewer 3 COI signed	06/20/17	01/05/18
	Primary (Advocate) Reviewer 4 COI signed	N/A	01/05/18
	Primary Reviewer 1 critique submitted	08/18/17	01/05/18
	Primary Reviewer 2 critique submitted	08/21/17	01/05/18
	Primary Reviewer 3 critique submitted	08/24/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/05/18
	COI indicated by non-primary reviewer	Lee Helman	01/05/18
4. Peer Review Meeting	Preliminary Evaluation score summary sent to Chair	08/28/17	01/05/18
	Recommended for full review	YES	01/05/18
	Applicant notified of outcome	10/02/17	01/05/18
	Assigned to primary reviewers	09/01/17	01/05/18
	Primary Reviewer 1 COI signed	08/02/17	01/05/18
	Primary Reviewer 2 COI signed	09/08/17	01/05/18
	Primary Reviewer 3 COI signed	09/27/17	01/05/18
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	01/05/18
	Primary Reviewer 1 critique submitted	10/06/17	01/05/18
	Primary Reviewer 2 critique submitted	10/06/17	01/05/18
	Primary Reviewer 3 critique submitted	10/10/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	09/03/17	01/05/18
	COI indicated by non-primary reviewer	Lee Helman	01/05/18
	COI recused from participation	YES	01/05/18
	Discussed at Peer Review Meeting	YES	01/05/18
5. Final SRC Recommendation	Peer Review Meeting	10/16/17	01/05/18
	Post review statements signed	11/01/17	01/05/18
	Third Party Observer Report	10/16/17	01/05/18
	Score report delivered to CSO	11/08/17	01/05/18
	Recommended for SRC Review	YES	01/05/18
	COI indicated by SRC member	NONE	01/05/18
	COI recused from participation	N/A	01/05/18
6. PIC Review	SRC Meeting	12/14/17	01/05/18
	Third Party Observer Report	12/14/17	01/05/18
	Recommended for grant award	YES	01/05/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
7. Oversight Committee Approval	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180268
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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.

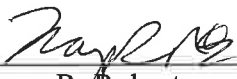
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



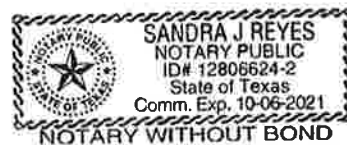
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180268
APPLICATION TITLE Determining the role of polyploidization in liver cancer development
APPLICANT NAME Zhu, Hao
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Cancer Biology (18.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/05/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/05/18
	Date application submitted	06/07/17	01/05/18
	Method of submission	CARS	01/05/18
	Within receipt period	YES	01/05/18
	Request for extension to submit application after CARS closed	N/A	01/05/18
	Request for extension for late application submission accepted	N/A	01/05/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/05/18
	Donation(s) made to CPRIT/foundation	NO	01/05/18
	Assigned to primary reviewers	08/02/17	01/05/18
	Applicant notified of review panel assignment	07/12/17	01/05/18
	Primary Reviewer 1 COI signed	07/17/17	01/05/18
	Primary Reviewer 2 COI signed	06/20/17	01/05/18
	Primary Reviewer 3 COI signed	06/16/17	01/05/18
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	01/05/18
	Primary Reviewer 1 critique submitted	08/19/17	01/05/18
	Primary Reviewer 2 critique submitted	08/24/17	01/05/18
	Primary Reviewer 3 critique submitted	08/21/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/05/18
	COI indicated by non-primary reviewer	NONE	01/05/18
	Preliminary Evaluation score summary sent to Chair	08/28/17	01/05/18
4. Peer Review Meeting	Recommended for full review	YES	01/05/18
	Applicant notified of outcome	10/02/17	01/05/18
	Assigned to primary reviewers	09/01/17	01/05/18
	Primary Reviewer 1 COI signed	09/02/17	01/05/18
	Primary Reviewer 2 COI signed	09/08/17	01/05/18
	Primary Reviewer 3 COI signed	08/04/17	01/05/18
	Primary (Advocate) Reviewer 4 COI signed	09/01/17	01/05/18
	Primary Reviewer 1 critique submitted	10/09/17	01/05/18
	Primary Reviewer 2 critique submitted	10/06/17	01/05/18
	Primary Reviewer 3 critique submitted	10/05/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	10/04/17	01/05/18
	COI indicated by non-primary reviewer	NONE	01/05/18
	COI recused from participation	N/A	01/05/18
	Discussed at Peer Review Meeting	YES	01/05/18
	Peer Review Meeting	10/16/17	01/05/18
	Post review statements signed	11/01/17	01/05/18
	Third Party Observer Report	10/16/17	01/05/18
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	01/05/18
	Recommended for SRC Review	YES	01/05/18
	COI indicated by SRC member	NONE	01/05/18
	COI recused from participation	N/A	01/05/18
	SRC Meeting	12/14/17	01/05/18
	Third Party Observer Report	12/14/17	01/05/18
6. PIC Review	Recommended for grant award	YES	01/05/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180275
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

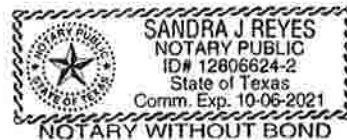
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180275
APPLICATION TITLE Targeting Stromal ERalpha for Cervical Cancer Therapy
APPLICANT NAME Chung, Sang-Hyuk
ORGANIZATION University of Houston
PANEL NAME 18.1 Cancer Biology (18.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/05/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/05/18
	Date application submitted	06/08/17	01/05/18
	Method of submission	CARS	01/05/18
	Within receipt period	YES	01/05/18
	Request for extension to submit application after CARS closed	N/A	01/05/18
	Request for extension for late application submission accepted	N/A	01/05/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/05/18
	Donation(s) made to CPRIT/foundation	NO	01/05/18
	Assigned to primary reviewers	08/02/17	01/05/18
	Applicant notified of review panel assignment	07/12/17	01/05/18
	Primary Reviewer 1 COI signed	06/16/17	01/05/18
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	Primary Reviewer 1 critique submitted	08/22/17	01/05/18
	Primary Reviewer 2 critique submitted	08/25/17	01/05/18
	Primary Reviewer 3 critique submitted	08/24/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/05/18
	COI indicated by non-primary reviewer	NONE	01/05/18
	Preliminary Evaluation score summary sent to Chair	08/28/17	01/05/18
	Recommended for full review	YES	01/05/18
	Applicant notified of outcome	10/02/17	01/05/18
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	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180288
Individual 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).

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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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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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

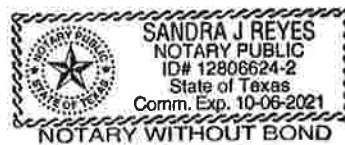
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Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180288
APPLICATION TITLE Innate Immune Regulation of Cancer Cell Proliferation
APPLICANT NAME Yan, Nan
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Basic Cancer Research-1 (18.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	05/31/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	12/26/17
	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	07/25/17	12/26/17
	Primary Reviewer 2 COI signed	06/21/17	12/26/17
	Primary Reviewer 3 COI signed	06/16/17	12/26/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
	Primary Reviewer 1 critique submitted	08/18/17	12/26/17
	Primary Reviewer 2 critique submitted	08/22/17	12/26/17
	Primary Reviewer 3 critique submitted	08/03/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	12/26/17
	Assigned to primary reviewers	09/01/17	12/26/17
	Primary Reviewer 1 COI signed	08/21/17	12/26/17
	Primary Reviewer 2 COI signed	09/13/17	12/26/17
	Primary Reviewer 3 COI signed	08/03/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	10/12/17	12/26/17
	Primary Reviewer 2 critique submitted	10/12/17	12/26/17
	Primary Reviewer 3 critique submitted	09/13/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/05/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/20/17	12/26/17
	Post review statements signed	10/20/17	12/26/17
	Third Party Observer Report	10/20/17	12/26/17
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	12/26/17
	Recommended for SRC Review	YES	12/26/17
	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/26/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180309
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



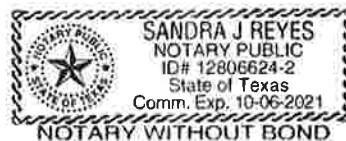
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180309
APPLICATION TITLE Inhibiting Oxidative Phosphorylation: A Novel Strategy in Leukemia
APPLICANT NAME Konopleva, Marina
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Clinical / Translational Cancer Research (18.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (Initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/28/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/28/17
	Date application submitted	06/05/17	12/28/17
	Method of submission	CARS	12/28/17
	Within receipt period	YES	12/28/17
	Request for extension to submit application after CARS closed	N/A	12/28/17
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	12/28/17
	Administrative review notification	N/A	12/28/17
	Donation(s) made to CPRIT/foundation	NO	12/28/17
	Assigned to primary reviewers	09/14/17	12/28/17
	Applicant notified of review panel assignment	07/12/17	12/28/17
	Primary Reviewer 1 COI signed	09/06/17	12/28/17
	Primary Reviewer 2 COI signed	09/15/17	12/28/17
	Primary Reviewer 3 COI signed	09/07/17	12/28/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/28/17
	Primary Reviewer 1 critique submitted	N/A	12/28/17
	Primary Reviewer 2 critique submitted	N/A	12/28/17
	Primary Reviewer 3 critique submitted	N/A	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/28/17
	COI indicated by non-primary reviewer	N/A	12/28/17
	Preliminary Evaluation score summary sent to Chair	N/A	12/28/17
	Recommended for full review	N/A	12/28/17
4. Peer Review Meeting	Applicant notified of outcome	N/A	12/28/17
	Assigned to primary reviewers	09/14/17	12/28/17
	Primary Reviewer 1 COI signed	09/06/17	12/28/17
	Primary Reviewer 2 COI signed	09/15/17	12/28/17
	Primary Reviewer 3 COI signed	09/07/17	12/28/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/28/17
	Primary Reviewer 1 critique submitted	10/18/17	12/28/17
	Primary Reviewer 2 critique submitted	09/29/17	12/28/17
	Primary Reviewer 3 critique submitted	10/09/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	09/20/17	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	COI recused from participation	YES	12/28/17
	Discussed at Peer Review Meeting	YES	12/28/17
	Peer Review Meeting	10/19/17	12/28/17
	Post review statements signed	10/19/17	12/28/17
	Third Party Observer Report	10/19/17	12/28/17
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	12/28/17
	Recommended for SRC Review	YES	12/28/17
	COI indicated by SRC member	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	SRC Meeting	12/14/17	12/28/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/28/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180313
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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.

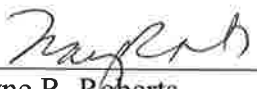
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



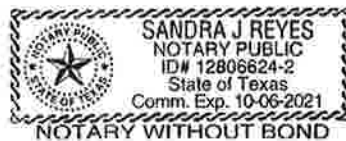
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180313
APPLICATION TITLE A somatic mutant p53 mouse model of metastatic triple negative breast cancer
APPLICANT NAME Lozano, Guillermina
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Basic Cancer Research-2 (18.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/03/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/03/18
	Date application submitted	06/02/17	01/03/18
	Method of submission	CARS	01/03/18
	Within receipt period	YES	01/03/18
	Request for extension to submit application after CARS closed	N/A	01/03/18
	Request for extension for late application submission accepted	N/A	01/03/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/03/18
	Donation(s) made to CPRIT/foundation	NO	01/03/18
	Assigned to primary reviewers	08/10/17	01/03/18
	Applicant notified of review panel assignment	07/12/17	01/03/18
	Primary Reviewer 1 COI signed	06/16/17	01/03/18
	Primary Reviewer 2 COI signed	07/27/17	01/03/18
	Primary Reviewer 3 COI signed	06/21/17	01/03/18
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	01/03/18
	Primary Reviewer 1 critique submitted	08/17/17	01/03/18
	Primary Reviewer 2 critique submitted	08/29/17	01/03/18
	Primary Reviewer 3 critique submitted	08/27/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/03/18
	COI indicated by non-primary reviewer	Carol Prives	01/03/18
	Preliminary Evaluation score summary sent to Chair	08/30/17	01/03/18
4. Peer Review Meeting	Recommended for full review	YES	01/03/18
	Applicant notified of outcome	10/02/17	01/03/18
	Assigned to primary reviewers	09/08/17	01/03/18
	Primary Reviewer 1 COI signed	09/06/17	01/03/18
	Primary Reviewer 2 COI signed	08/24/17	01/03/18
	Primary Reviewer 3 COI signed	09/24/17	01/03/18
	Primary (Advocate) Reviewer 4 COI signed	09/05/17	01/03/18
	Primary Reviewer 1 critique submitted	10/09/17	01/03/18
	Primary Reviewer 2 critique submitted	10/11/17	01/03/18
	Primary Reviewer 3 critique submitted	10/09/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	10/10/17	01/03/18
	COI indicated by non-primary reviewer	Carol Prives	01/03/18
	COI recused from participation	YES	01/03/18
	Discussed at Peer Review Meeting	YES	01/03/18
	Peer Review Meeting	10/18/17	01/03/18
	Post review statements signed	11/07/17	01/03/18
	Third Party Observer Report	10/18/17	01/03/18
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	01/03/18
	Recommended for SRC Review	YES	01/03/18
	COI indicated by SRC member	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	SRC Meeting	12/14/17	01/03/18
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6. PIC Review	Recommended for grant award	YES	01/03/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180319
Individual Investigator Research Awards
for Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 39 applications in response to this RFA, including two 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



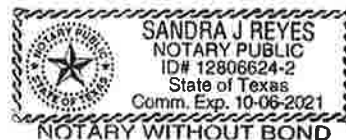
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP180319
APPLICATION TITLE Rhabdomyosarcoma vulnerabilities: Prioritizing and extending to the clinic
APPLICANT NAME Skapek, Stephen
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Basic Cancer Research-1 (18.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/07/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	07/10/17	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	06/22/17	12/26/17
	Primary Reviewer 2 COI signed	07/17/17	12/26/17
	Primary Reviewer 3 COI signed	06/16/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/20/17	12/26/17
	Primary Reviewer 2 critique submitted	08/21/17	12/26/17
	Primary Reviewer 3 critique submitted	08/22/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
	Applicant notified of outcome	10/02/17	12/26/17
4. Peer Review Meeting	Assigned to primary reviewers	09/01/17	12/26/17
	Primary Reviewer 1 COI signed	08/03/17	12/26/17
	Primary Reviewer 2 COI signed	08/23/17	12/26/17
	Primary Reviewer 3 COI signed	08/03/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	10/12/17	12/26/17
	Primary Reviewer 2 critique submitted	10/13/17	12/26/17
	Primary Reviewer 3 critique submitted	09/11/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/11/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/20/17	12/26/17
	Post review statements signed	10/20/17	12/26/17
	Third Party Observer Report	10/20/17	12/26/17
	Score report delivered to CSO	11/08/17	12/26/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/26/17
	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/26/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180343
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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.

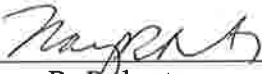
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

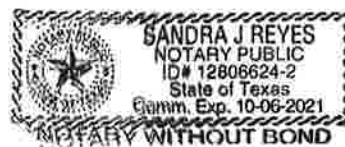
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180343
APPLICATION TITLE Turn ON the Tumor Contrast in Lymph Node Metastases for Occult Disease Detection
APPLICANT NAME Gao, Jinming
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Imaging Technology and Informatics (18.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/31/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/31/17
	Date application submitted	06/05/17	12/31/17
	Method of submission	CARS	12/31/17
	Within receipt period	YES	12/31/17
	Request for extension to submit application after CARS closed	N/A	12/31/17
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	12/31/17
	Administrative review notification	N/A	12/31/17
	Donation(s) made to CPRIT/foundation	NO	12/31/17
	Assigned to primary reviewers	09/05/17	12/31/17
	Applicant notified of review panel assignment	07/12/17	12/31/17
	Primary Reviewer 1 COI signed	09/06/17	12/31/17
	Primary Reviewer 2 COI signed	09/06/17	12/31/17
	Primary Reviewer 3 COI signed	09/05/17	12/31/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	09/05/17	12/31/17
	Primary Reviewer 1 critique submitted	N/A	12/31/17
	Primary Reviewer 2 critique submitted	N/A	12/31/17
	Primary Reviewer 3 critique submitted	N/A	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/31/17
	COI indicated by non-primary reviewer	N/A	12/31/17
	Preliminary Evaluation score summary sent to Chair	N/A	12/31/17
	Recommended for full review	N/A	12/31/17
4. Peer Review Meeting	Applicant notified of outcome	N/A	12/31/17
	Assigned to primary reviewers	09/05/17	12/31/17
	Primary Reviewer 1 COI signed	09/06/17	12/31/17
	Primary Reviewer 2 COI signed	09/06/17	12/31/17
	Primary Reviewer 3 COI signed	09/05/17	12/31/17
	Primary (Advocate) Reviewer 4 COI signed	09/05/17	12/31/17
	Primary Reviewer 1 critique submitted	10/16/17	12/31/17
	Primary Reviewer 2 critique submitted	10/19/17	12/31/17
	Primary Reviewer 3 critique submitted	10/14/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	10/15/17	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	Discussed at Peer Review Meeting	YES	12/31/17
	Peer Review Meeting	10/23/17	12/31/17
	Post review statements signed	11/03/17	12/31/17
	Third Party Observer Report	10/23/17	12/31/17
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	12/31/17
	Recommended for SRC Review	YES	12/31/17
	COI indicated by SRC member	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	SRC Meeting	12/14/17	12/31/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/31/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	J. Willson	02/06/18
	COI recused from participation	YES	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180349
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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.

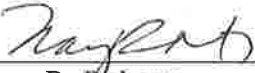
An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).


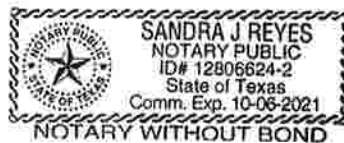
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
 CYCLE 1
 PROGRAM Academic Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP180349
 APPLICATION TITLE Therapeutics Targeting Cancer-Associated HPV Replication
 APPLICANT NAME Chiang, Cheng-Ming
 ORGANIZATION The University of Texas Southwestern Medical Center
 PANEL NAME 18.1 Basic Cancer Research-2 (18.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/03/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/03/18
	Date application submitted	06/02/17	01/03/18
	Method of submission	CARS	01/03/18
	Within receipt period	YES	01/03/18
	Request for extension to submit application after CARS closed	N/A	01/03/18
	Request for extension for late application submission accepted	N/A	01/03/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/03/18
	Donation(s) made to CPRIT/foundation	NO	01/03/18
	Assigned to primary reviewers	08/10/17	01/03/18
	Applicant notified of review panel assignment	07/12/17	01/03/18
	Primary Reviewer 1 COI signed	07/19/17	01/03/18
	Primary Reviewer 2 COI signed	06/16/17	01/03/18
	Primary Reviewer 3 COI signed	06/17/17	01/03/18
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	01/03/18
	Primary Reviewer 1 critique submitted	08/28/17	01/03/18
	Primary Reviewer 2 critique submitted	08/17/17	01/03/18
	Primary Reviewer 3 critique submitted	08/24/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/03/18
	COI indicated by non-primary reviewer	NONE	01/03/18
	Preliminary Evaluation score summary sent to Chair	08/30/17	01/03/18
	Recommended for full review	YES	01/03/18
	Applicant notified of outcome	10/02/17	01/03/18
4. Peer Review Meeting	Assigned to primary reviewers	09/08/17	01/03/18
	Primary Reviewer 1 COI signed	09/08/17	01/03/18
	Primary Reviewer 2 COI signed	09/06/17	01/03/18
	Primary Reviewer 3 COI signed	08/10/17	01/03/18
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	01/03/18
	Primary Reviewer 1 critique submitted	10/09/17	01/03/18
	Primary Reviewer 2 critique submitted	10/09/17	01/03/18
	Primary Reviewer 3 critique submitted	10/08/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	10/11/17	01/03/18
	COI indicated by non-primary reviewer	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	Discussed at Peer Review Meeting	YES	01/03/18
	Peer Review Meeting	10/18/17	01/03/18
	Post review statements signed	11/07/17	01/03/18
	Third Party Observer Report	10/18/17	01/03/18
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	01/03/18
	Recommended for SRC Review	YES	01/03/18
	COI indicated by SRC member	NONE	01/03/18
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6. PIC Review	Recommended for grant award	YES	01/03/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180381
Individual Investigator Research Awards
for Clinical Translation

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 *Individual Investigator Research Awards for Clinical Translation* Request for Applications (RFA). CPRIT received 54 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



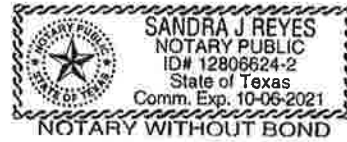
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Clinical Translation (IIRACT)
APPLICATION ID RP180381
APPLICATION TITLE Mass Spectrometry Imaging to Uncover Predictive Metabolic Markers of Ovarian Cancer Surgical Outcome and Treatment Response
APPLICANT NAME Schiavinato Eberlin, Livia
ORGANIZATION The University of Texas at Austin
PANEL NAME 18.1 Clinical / Translational Cancer Research (18.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/28/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/28/17
	Date application submitted	06/08/17	12/28/17
	Method of submission	CARS	12/28/17
	Within receipt period	YES	12/28/17
	Request for extension to submit application after CARS closed	N/A	12/28/17
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	12/28/17
	Administrative review notification	N/A	12/28/17
	Donation(s) made to CPRIT/foundation	NO	12/28/17
	Assigned to primary reviewers	08/07/17	12/28/17
	Applicant notified of review panel assignment	07/12/17	12/28/17
	Primary Reviewer 1 COI signed	06/15/17	12/28/17
	Primary Reviewer 2 COI signed	07/24/17	12/28/17
	Primary Reviewer 3 COI signed	06/22/17	12/28/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/28/17
	Primary Reviewer 1 critique submitted	08/31/17	12/28/17
	Primary Reviewer 2 critique submitted	09/01/17	12/28/17
	Primary Reviewer 3 critique submitted	08/16/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/28/17
	COI indicated by non-primary reviewer	Robertson Parkman	12/28/17
	COI indicated by non-primary reviewer	Ying Lu	12/28/17
	Preliminary Evaluation score summary sent to Chair	09/04/17	12/28/17
4. Peer Review Meeting	Recommended for full review	YES	12/28/17
	Applicant notified of outcome	10/02/17	12/28/17
	Assigned to primary reviewers	09/14/17	12/28/17
	Primary Reviewer 1 COI signed	08/10/17	12/28/17
	Primary Reviewer 2 COI signed	08/18/17	12/28/17
	Primary Reviewer 3 COI signed	09/14/17	12/28/17
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	12/28/17
	Primary Reviewer 1 critique submitted	10/12/17	12/28/17
	Primary Reviewer 2 critique submitted	10/11/17	12/28/17
	Primary Reviewer 3 critique submitted	10/07/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	10/03/17	12/28/17
	COI indicated by non-primary reviewer	Robertson Parkman	12/28/17
	COI recused from participation	YES	12/28/17
	COI indicated by non-primary reviewer	Ying Lu	12/28/17
	COI recused from participation	YES	12/28/17
	Discussed at Peer Review Meeting	YES	12/28/17
	Peer Review Meeting	10/19/17	12/28/17
	Post review statements signed	10/19/17	12/28/17
5. Final SRC Recommendation	Third Party Observer Report	10/19/17	12/28/17
	Score report delivered to CSO	11/08/17	12/28/17
	Recommended for SRC Review	YES	12/28/17
	COI indicated by SRC member	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	SRC Meeting	12/14/17	12/28/17
6. PIC Review	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/28/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180394
Individual Investigator Research Awards
for Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 39 applications in response to this RFA, including two 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP180394
APPLICATION TITLE Targeting the metastatic sarcoma niche using leukocyte biomimetic nanoparticles
APPLICANT NAME Tasciotti, Ennio
ORGANIZATION The Methodist Hospital Research Institute
PANEL NAME 18.1 Imaging Technology and Informatics (18.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial)	01/18/18
	RFA published in Texas.gov eGrants	03/20/17 (revised)	01/18/18
	CPRIT Application Receipt System (CARS) opened	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) closed	03/15/17	12/31/17
	Date application submitted	06/08/17	12/31/17
	Method of submission	CARS	12/31/17
	Within receipt period	YES	12/31/17
	Request for extension to submit application after CARS closed	N/A	12/31/17
	Request for extension for late application submission accepted	N/A	12/31/17
	Administrative review notification	N/A	12/31/17
2. Receipt, Referral, and Assignment	Donation(s) made to CPRIT/foundation	NO	12/31/17
	Assigned to primary reviewers	08/03/17	12/31/17
	Applicant notified of review panel assignment	07/12/17	12/31/17
	Primary Reviewer 1 COI signed	06/18/17	12/31/17
	Primary Reviewer 2 COI signed	07/22/17	12/31/17
	Primary Reviewer 3 COI signed	06/16/17	12/31/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/31/17
	Primary Reviewer 1 critique submitted	08/22/17	12/31/17
3. Preliminary Evaluation	Primary Reviewer 2 critique submitted	08/16/17	12/31/17
	Primary Reviewer 3 critique submitted	08/16/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/31/17
	Recommended for full review	YES	12/31/17
	Applicant notified of outcome	10/02/17	12/31/17
	Assigned to primary reviewers	09/05/17	12/31/17
4. Peer Review Meeting	Primary Reviewer 1 COI signed	08/23/17	12/31/17
	Primary Reviewer 2 COI signed	09/05/17	12/31/17
	Primary Reviewer 3 COI signed	09/19/17	12/31/17
	Primary (Advocate) Reviewer 4 COI signed	09/05/17	12/31/17
	Primary Reviewer 1 critique submitted	10/19/17	12/31/17
	Primary Reviewer 2 critique submitted	10/14/17	12/31/17
	Primary Reviewer 3 critique submitted	10/13/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	10/15/17	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	Discussed at Peer Review Meeting	YES	12/31/17
	Peer Review Meeting	10/23/17	12/31/17
	Post review statements signed	11/03/17	12/31/17
	Third Party Observer Report	10/23/17	12/31/17
	Score report delivered to CSO	11/08/17	12/31/17
	Recommended for SRC Review	YES	12/31/17
5. Final SRC Recommendation	COI indicated by SRC member	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	SRC Meeting	12/14/17	12/31/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/31/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180404
Individual Investigator Research Awards
for Clinical Translation

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 *Individual Investigator Research Awards for Clinical Translation* Request for Applications (RFA). CPRIT received 54 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



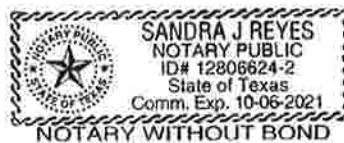
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Clinical Translation (IIRACT)
APPLICATION ID RP180404
APPLICATION TITLE Noninvasive detection of anthracycline induced cardiotoxicity using hyperpolarized carbon 13 based magnetic resonance spectroscopic imaging
APPLICANT NAME Zaha, Vlad
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Imaging Technology and Informatics (18.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (Initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/31/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/31/17
	Date application submitted	06/08/17	12/31/17
	Method of submission	CARS	12/31/17
	Within receipt period	YES	12/31/17
	Request for extension to submit application after CARS closed	N/A	12/31/17
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	12/31/17
	Administrative review notification	07/10/17	12/31/17
	Donation(s) made to CPRIT/foundation	NO	12/31/17
	Assigned to primary reviewers	08/03/17	12/31/17
	Applicant notified of review panel assignment	07/12/17	12/31/17
	Primary Reviewer 1 COI signed	06/21/17	12/31/17
	Primary Reviewer 2 COI signed	06/16/17	12/31/17
	Primary Reviewer 3 COI signed	06/16/17	12/31/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/31/17
	Primary Reviewer 1 critique submitted	08/18/17	12/31/17
	Primary Reviewer 2 critique submitted	08/09/17	12/31/17
	Primary Reviewer 3 critique submitted	08/20/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/31/17
	Recommended for full review	YES	12/31/17
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	12/31/17
	Assigned to primary reviewers	09/05/17	12/31/17
	Primary Reviewer 1 COI signed	08/25/17	12/31/17
	Primary Reviewer 2 COI signed	09/05/17	12/31/17
	Primary Reviewer 3 COI signed	08/03/17	12/31/17
	Primary (Advocate) Reviewer 4 COI signed	09/05/17	12/31/17
	Primary Reviewer 1 critique submitted	10/02/17	12/31/17
	Primary Reviewer 2 critique submitted	10/09/17	12/31/17
	Primary Reviewer 3 critique submitted	10/08/17	12/31/17
	Primary (Advocate) Reviewer 4 critique submitted	10/15/17	12/31/17
	COI indicated by non-primary reviewer	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	Discussed at Peer Review Meeting	YES	12/31/17
	Peer Review Meeting	10/23/17	12/31/17
	Post review statements signed	11/03/17	12/31/17
5. Final SRC Recommendation	Third Party Observer Report	10/23/17	12/31/17
	Score report delivered to CSO	11/08/17	12/31/17
	Recommended for SRC Review	YES	12/31/17
	COI indicated by SRC member	NONE	12/31/17
	COI recused from participation	N/A	12/31/17
	SRC Meeting	12/14/17	12/31/17
6. PIC Review	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/31/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
7. Oversight Committee Approval	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180410
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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.

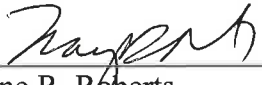
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

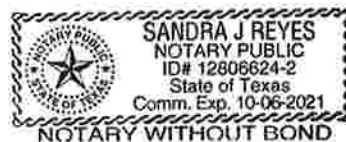
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180410
APPLICATION TITLE Mechanisms of Nuclear Export in Cancer
APPLICANT NAME Chook, Yuh Min
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Basic Cancer Research-2 (18.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/03/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/03/18
	Date application submitted	06/06/17	01/03/18
	Method of submission	CARS	01/03/18
	Within receipt period	YES	01/03/18
	Request for extension to submit application after CARS closed	N/A	01/03/18
	Request for extension for late application submission accepted	N/A	01/03/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/03/18
	Donation(s) made to CPRIT/foundation	NO	01/03/18
	Assigned to primary reviewers	9/8/2017	01/03/18
	Applicant notified of review panel assignment	07/12/17	01/03/18
	Primary Reviewer 1 COI signed	08/24/17	01/03/18
	Primary Reviewer 2 COI signed	09/24/17	01/03/18
	Primary Reviewer 3 COI signed	09/08/17	01/03/18
	Primary (Advocate) Reviewer 4 COI signed	9/6/2017	01/03/18
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	01/03/18
	Primary Reviewer 2 critique submitted	N/A	01/03/18
	Primary Reviewer 3 critique submitted	N/A	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/03/18
	COI indicated by non-primary reviewer	N/A	01/03/18
	Preliminary Evaluation score summary sent to Chair	N/A	01/03/18
	Recommended for full review	N/A	01/03/18
	Applicant notified of outcome	N/A	01/03/18
4. Peer Review Meeting	Assigned to primary reviewers	09/08/17	01/03/18
	Primary Reviewer 1 COI signed	08/24/17	01/03/18
	Primary Reviewer 2 COI signed	09/24/17	01/03/18
	Primary Reviewer 3 COI signed	09/08/17	01/03/18
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	01/03/18
	Primary Reviewer 1 critique submitted	10/12/17	01/03/18
	Primary Reviewer 2 critique submitted	10/08/17	01/03/18
	Primary Reviewer 3 critique submitted	09/21/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	10/10/17	01/03/18
	COI indicated by non-primary reviewer	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	Discussed at Peer Review Meeting	YES	01/03/18
	Peer Review Meeting	10/18/17	01/03/18
	Post review statements signed	11/07/17	01/03/18
	Third Party Observer Report	10/18/17	01/03/18
	Score report delivered to CSO	11/08/17	01/03/18
	Recommended for SRC Review	YES	01/03/18
5. Final SRC Recommendation	COI indicated by SRC member	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	SRC Meeting	12/14/17	01/03/18
	Third Party Observer Report	12/14/17	01/03/18
	Recommended for grant award	YES	01/03/18
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180435
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

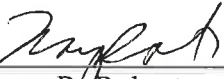
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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.

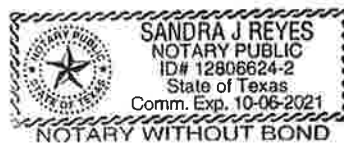
This statement is true."


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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180435
APPLICATION TITLE Fasting-induced inhibition of leukemia development
APPLICANT NAME Zhang, Chengcheng
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Basic Cancer Research-1 (18.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/07/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	06/16/17	12/26/17
	Primary Reviewer 2 COI signed	06/22/17	12/26/17
	Primary Reviewer 3 COI signed	06/21/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/03/17	12/26/17
	Primary Reviewer 2 critique submitted	08/22/17	12/26/17
	Primary Reviewer 3 critique submitted	08/22/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
	Applicant notified of outcome	10/02/17	12/26/17
4. Peer Review Meeting	Assigned to primary reviewers	09/01/17	12/26/17
	Primary Reviewer 1 COI signed	08/03/17	12/26/17
	Primary Reviewer 2 COI signed	08/21/17	12/26/17
	Primary Reviewer 3 COI signed	08/03/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	09/21/17	12/26/17
	Primary Reviewer 2 critique submitted	10/12/17	12/26/17
	Primary Reviewer 3 critique submitted	10/13/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/11/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/20/17	12/26/17
	Post review statements signed	10/20/17	12/26/17
	Third Party Observer Report	10/20/17	12/26/17
	Score report delivered to CSO	11/08/17	12/26/17
	Recommended for SRC Review	YES	12/26/17
5. Final SRC Recommendation	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/26/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
6. PIC Review	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
7. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180457
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications. "

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



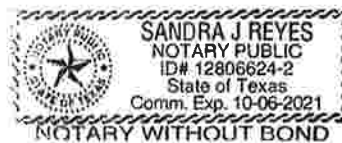
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180457
APPLICATION TITLE Tumor Activated Enzyme Inhibitors for the Treatment of Cancer
APPLICANT NAME Ready, Joseph
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Clinical / Translational Cancer Research (18.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/28/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/28/17
	Date application submitted	06/07/17	12/28/17
	Method of submission	CARS	12/28/17
	Within receipt period	YES	12/28/17
	Request for extension to submit application after CARS closed	N/A	12/28/17
	Request for extension for late application submission accepted	N/A	12/28/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/28/17
	Donation(s) made to CPRIT/foundation	NO	12/28/17
	Assigned to primary reviewers	08/07/17	12/28/17
	Applicant notified of review panel assignment	07/12/17	12/28/17
	Primary Reviewer 1 COI signed	06/19/17	12/28/17
	Primary Reviewer 2 COI signed	06/21/17	12/28/17
	Primary Reviewer 3 COI signed	06/22/17	12/28/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/28/17
	Primary Reviewer 1 critique submitted	08/25/17	12/28/17
	Primary Reviewer 2 critique submitted	08/15/17	12/28/17
	Primary Reviewer 3 critique submitted	08/16/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	Preliminary Evaluation score summary sent to Chair	09/04/17	12/28/17
	Recommended for full review	YES	12/28/17
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	12/28/17
	Assigned to primary reviewers	09/14/17	12/28/17
	Primary Reviewer 1 COI signed	08/07/17	12/28/17
	Primary Reviewer 2 COI signed	09/01/17	12/28/17
	Primary Reviewer 3 COI signed	09/12/17	12/28/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/28/17
	Primary Reviewer 1 critique submitted	10/12/17	12/28/17
	Primary Reviewer 2 critique submitted	10/13/17	12/28/17
	Primary Reviewer 3 critique submitted	10/15/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	10/02/17	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	Discussed at Peer Review Meeting	YES	12/28/17
	Peer Review Meeting	10/19/17	12/28/17
	Post review statements signed	10/19/17	12/28/17
	Third Party Observer Report	10/19/17	12/28/17
	Score report delivered to CSO	11/08/17	12/28/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/28/17
	COI indicated by SRC member	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	SRC Meeting	12/14/17	12/28/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/28/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180463
Individual Investigator Research Awards
for Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 39 applications in response to this RFA, including two 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



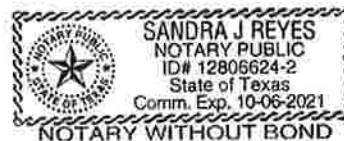
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP180463
APPLICATION TITLE Compound heterozygous mutations in pediatric cancer predisposition
APPLICANT NAME Schlacher, Katharina
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Basic Cancer Research-1 (18.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/05/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	07/25/17	12/26/17
	Primary Reviewer 2 COI signed	07/17/17	12/26/17
	Primary Reviewer 3 COI signed	06/16/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/18/17	12/26/17
	Primary Reviewer 2 critique submitted	08/18/17	12/26/17
	Primary Reviewer 3 critique submitted	08/03/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
	Applicant notified of outcome	10/02/17	12/26/17
4. Peer Review Meeting	Assigned to primary reviewers	09/01/17	12/26/17
	Primary Reviewer 1 COI signed	09/02/17	12/26/17
	Primary Reviewer 2 COI signed	08/03/17	12/26/17
	Primary Reviewer 3 COI signed	09/21/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	09/29/17	12/26/17
	Primary Reviewer 2 critique submitted	09/11/17	12/26/17
	Primary Reviewer 3 critique submitted	10/12/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/10/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/20/17	12/26/17
	Post review statements signed	10/20/17	12/26/17
	Third Party Observer Report	10/20/17	12/26/17
	Score report delivered to CSO	11/08/17	12/26/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/26/17
	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/26/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180466
Individual Investigator Research Awards
for Clinical Translation

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 *Individual Investigator Research Awards for Clinical Translation* Request for Applications (RFA). CPRIT received 54 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."

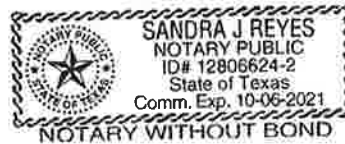


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Clinical Translation (IIRACT)
APPLICATION ID RP180466
APPLICATION TITLE Integrated single-cell biomarkers of T-cell efficacy
APPLICANT NAME Navin Varadarajan
ORGANIZATION University of Houston
PANEL NAME 18.1 Clinical / Translational Cancer Research (18.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/28/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/28/17
	Date application submitted	06/07/17	12/28/17
	Method of submission	CARS	12/28/17
	Within receipt period	YES	12/28/17
	Request for extension to submit application after CARS closed	N/A	12/28/17
	Request for extension for late application submission accepted	N/A	12/28/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/28/17
	Donation(s) made to CPRIT/foundation	NO	12/28/17
	Assigned to primary reviewers	09/14/17	12/28/17
	Applicant notified of review panel assignment	07/12/17	12/28/17
	Primary Reviewer 1 COI signed	08/25/17	12/28/17
	Primary Reviewer 2 COI signed	09/06/17	12/28/17
	Primary Reviewer 3 COI signed	08/21/17	12/28/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/28/17
	Primary Reviewer 1 critique submitted	N/A	12/28/17
	Primary Reviewer 2 critique submitted	N/A	12/28/17
	Primary Reviewer 3 critique submitted	N/A	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/28/17
	COI indicated by non-primary reviewer	N/A	12/28/17
	Preliminary Evaluation score summary sent to Chair	N/A	12/28/17
	Recommended for full review	N/A	12/28/17
4. Peer Review Meeting	Applicant notified of outcome	N/A	12/28/17
	Assigned to primary reviewers	09/14/17	12/28/17
	Primary Reviewer 1 COI signed	08/25/17	12/28/17
	Primary Reviewer 2 COI signed	09/06/17	12/28/17
	Primary Reviewer 3 COI signed	08/21/17	12/28/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/28/17
	Primary Reviewer 1 critique submitted	10/09/17	12/28/17
	Primary Reviewer 2 critique submitted	10/12/17	12/28/17
	Primary Reviewer 3 critique submitted	10/09/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	09/23/17	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	Discussed at Peer Review Meeting	YES	12/28/17
	Peer Review Meeting	10/19/17	12/28/17
	Post review statements signed	10/19/17	12/28/17
	Third Party Observer Report	10/19/17	12/28/17
	Score report delivered to CSO	11/08/17	12/28/17
	Recommended for SRC Review	YES	12/28/17
5. Final SRC Recommendation	COI indicated by SRC member	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	SRC Meeting	12/14/17	12/28/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/28/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI Indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180472
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



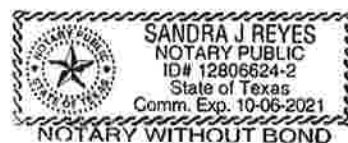
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180472
APPLICATION TITLE Mucosal vaccine formulations for targeted therapy of HPV cancers
APPLICANT NAME Sastry, Jagannadha
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Cancer Prevention Research (18.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/06/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	06/16/17	12/26/17
	Primary Reviewer 2 COI signed	06/16/17	12/26/17
	Primary Reviewer 3 COI signed	07/19/17	12/26/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
	Primary Reviewer 1 critique submitted	08/22/17	12/26/17
	Primary Reviewer 2 critique submitted	08/03/17	12/26/17
	Primary Reviewer 3 critique submitted	08/18/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	12/26/17
	Assigned to primary reviewers	09/05/17	12/26/17
	Primary Reviewer 1 COI signed	08/02/17	12/26/17
	Primary Reviewer 2 COI signed	08/02/17	12/26/17
	Primary Reviewer 3 COI signed	09/13/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	12/26/17
	Primary Reviewer 1 critique submitted	10/16/17	12/26/17
	Primary Reviewer 2 critique submitted	10/13/17	12/26/17
	Primary Reviewer 3 critique submitted	10/10/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/14/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/24/17	12/26/17
	Post review statements signed	11/03/17	12/26/17
	Third Party Observer Report	10/24/17	12/26/17
	Score report delivered to CSO	11/08/17	12/26/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/26/17
	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/26/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI Indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180473
Individual Investigator Research Awards
for Clinical Translation

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 *Individual Investigator Research Awards for Clinical Translation* Request for Applications (RFA). CPRIT received 54 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

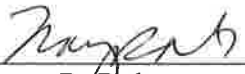
The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

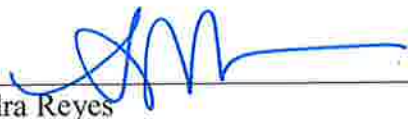
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



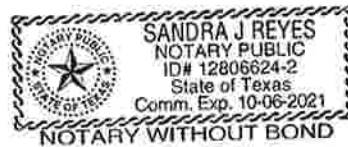
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
 CYCLE 1
 PROGRAM Academic Research
 AWARD MECHANISM Individual Investigator Research Awards for Clinical Translation (IIRACT)
 APPLICATION ID RP180473
 APPLICATION TITLE Clinical trials of C188-9, an oral inhibitor of signal transducer and activator of transcription (STAT) 3, in patients with hepatocellular carcinoma (HCC)
 APPLICANT NAME Tweardy, David
 ORGANIZATION The University of Texas M. D. Anderson Cancer Center
 PANEL NAME 18.1 Clinical / Translational Cancer Research (18.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/28/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/28/17
	Date application submitted	06/05/17	12/28/17
	Method of submission	CARS	12/28/17
	Within receipt period	YES	12/28/17
	Request for extension to submit application after CARS closed	N/A	12/28/17
	Request for extension for late application submission accepted	N/A	12/28/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/28/17
	Donation(s) made to CPRIT/foundation	NO	12/28/17
	Assigned to primary reviewers	08/07/17	12/28/17
	Applicant notified of review panel assignment	07/12/17	12/28/17
	Primary Reviewer 1 COI signed	07/19/17	12/28/17
	Primary Reviewer 2 COI signed	06/21/17	12/28/17
	Primary Reviewer 3 COI signed	07/24/17	12/28/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/28/17
	Primary Reviewer 1 critique submitted	08/08/17	12/28/17
	Primary Reviewer 2 critique submitted	08/30/17	12/28/17
	Primary Reviewer 3 critique submitted	08/27/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	Preliminary Evaluation score summary sent to Chair	09/04/17	12/28/17
	Recommended for full review	YES	12/28/17
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	12/28/17
	Assigned to primary reviewers	09/14/17	12/28/17
	Primary Reviewer 1 COI signed	09/06/17	12/28/17
	Primary Reviewer 2 COI signed	09/14/17	12/28/17
	Primary Reviewer 3 COI signed	08/07/17	12/28/17
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	12/28/17
	Primary Reviewer 1 critique submitted	10/09/17	12/28/17
	Primary Reviewer 2 critique submitted	10/10/17	12/28/17
	Primary Reviewer 3 critique submitted	10/12/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	10/03/17	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	Discussed at Peer Review Meeting	YES	12/28/17
	Peer Review Meeting	10/19/17	12/28/17
	Post review statements signed	10/19/17	12/28/17
	Third Party Observer Report	10/19/17	12/28/17
	Score report delivered to CSO	11/08/17	12/28/17
5. Final SRC Recommendation	Recommended for SRC Review	YES	12/28/17
	COI indicated by SRC member	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	SRC Meeting	12/14/17	12/28/17
	Thlr Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/28/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180504
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



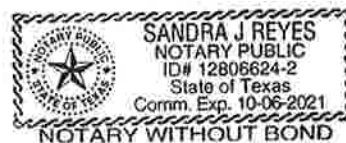
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
 CYCLE 1
 PROGRAM Academic Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP180504
 APPLICATION TITLE Elucidating the Epigenetic and Metabolic Vulnerabilities of Myeloproliferative Neoplasms
 APPLICANT NAME Xu, Jian
 ORGANIZATION The University of Texas Southwestern Medical Center
 PANEL NAME 18.1 Cancer Biology (18.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/05/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/05/18
	Date application submitted	06/07/17	01/05/18
	Method of submission	CARS	01/05/18
	Within receipt period	YES	01/05/18
	Request for extension to submit application after CARS closed	N/A	01/05/18
	Request for extension for late application submission accepted	N/A	01/05/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/05/18
	Donation(s) made to CPRIT/foundation	NO	01/05/18
	Assigned to primary reviewers	08/02/17	01/05/18
	Applicant notified of review panel assignment	07/12/17	01/05/18
	Primary Reviewer 1 COI signed	07/31/17	01/05/18
	Primary Reviewer 2 COI signed	06/21/17	01/05/18
	Primary Reviewer 3 COI signed	07/25/17	01/05/18
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	01/05/18
	Primary Reviewer 1 critique submitted	08/23/17	01/05/18
	Primary Reviewer 2 critique submitted	08/27/17	01/05/18
	Primary Reviewer 3 critique submitted	08/21/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/05/18
	COI indicated by non-primary reviewer	NONE	01/05/18
	Preliminary Evaluation score summary sent to Chair	08/28/17	01/05/18
	Recommended for full review	YES	01/05/18
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	01/05/18
	Assigned to primary reviewers	09/01/17	01/05/18
	Primary Reviewer 1 COI signed	08/02/17	01/05/18
	Primary Reviewer 2 COI signed	08/07/17	01/05/18
	Primary Reviewer 3 COI signed	09/11/17	01/05/18
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	01/05/18
	Primary Reviewer 1 critique submitted	10/13/17	01/05/18
	Primary Reviewer 2 critique submitted	09/30/17	01/05/18
	Primary Reviewer 3 critique submitted	10/07/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	09/05/17	01/05/18
	COI indicated by non-primary reviewer	NONE	01/05/18
	COI recused from participation	N/A	01/05/18
	Discussed at Peer Review Meeting	YES	01/05/18
	Peer Review Meeting	10/16/17	01/05/18
	Post review statements signed	11/01/17	01/05/18
	Third Party Observer Report	10/16/17	01/05/18
	Score report delivered to CSO	11/08/17	01/05/18
5. Final SRC Recommendation	Recommended for SRC Review	YES	01/05/18
	COI indicated by SRC member	NONE	01/05/18
	COI recused from participation	N/A	01/05/18
	SRC Meeting	12/14/17	01/05/18
	Third Party Observer Report	12/14/17	01/05/18
	Recommended for grant award	YES	01/05/18
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180505
Individual Investigator Research Awards
for Prevention and Early Detection

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 *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 40 applications in response to this RFA. 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



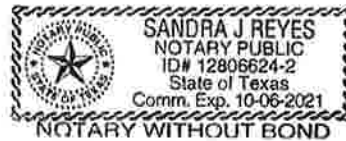
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Prevention and Early Detection (IIRAP)
APPLICATION ID RP180505
APPLICATION TITLE Circulating Exosomes as Biomarkers for Lung Cancer Early Detection
APPLICANT NAME Taguchi, Ayumu
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Cancer Prevention Research (18.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial)	01/18/18
	RFA published in Texas.gov eGrants	03/20/17 (revised)	01/18/18
	01/09/17		01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/29/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/29/17
	Date application submitted	06/02/17	12/29/17
	Method of submission	CARS	12/29/17
	Within receipt period	YES	12/29/17
	Request for extension to submit application after CARS closed	N/A	12/29/17
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	12/29/17
	Administrative review notification	N/A	12/29/17
	Donation(s) made to CPRIT/foundation	NO	12/29/17
	Assigned to primary reviewers	08/02/17	12/29/17
	Applicant notified of review panel assignment	07/12/17	12/29/17
	Primary Reviewer 1 COI signed	06/15/17	12/29/17
	Primary Reviewer 2 COI signed	06/15/17	12/29/17
	Primary Reviewer 3 COI signed	06/16/17	12/29/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/29/17
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/25/17	12/29/17
	Primary Reviewer 2 critique submitted	08/14/17	12/29/17
	Primary Reviewer 3 critique submitted	08/22/17	12/29/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/29/17
	COI indicated by non-primary reviewer	Christopher Li	12/29/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/29/17
	Recommended for full review	YES	12/29/17
	Applicant notified of outcome	10/02/17	12/29/17
4. Peer Review Meeting	Assigned to primary reviewers	09/05/17	12/29/17
	Primary Reviewer 1 COI signed	08/15/17	12/29/17
	Primary Reviewer 2 COI signed	09/06/17	12/29/17
	Primary Reviewer 3 COI signed	09/15/17	12/29/17
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	12/29/17
	Primary Reviewer 1 critique submitted	10/16/17	12/29/17
	Primary Reviewer 2 critique submitted	10/05/17	12/29/17
	Primary Reviewer 3 critique submitted	10/17/17	12/29/17
	Primary (Advocate) Reviewer 4 critique submitted	10/02/17	12/29/17
	COI indicated by non-primary reviewer	Christopher Li	12/29/17
	COI recused from participation	YES	12/29/17
	Discussed at Peer Review Meeting	YES	12/29/17
	Peer Review Meeting	10/24/17	12/29/17
	Post review statements signed	11/03/17	12/29/17
	Third Party Observer Report	10/24/17	12/29/17
	Score report delivered to CSO	11/08/17	12/29/17
	Recommended for SRC Review	YES	12/29/17
5. Final SRC Recommendation	COI indicated by SRC member	NONE	12/29/17
	COI recused from participation	N/A	12/29/17
	SRC Meeting	12/14/17	12/29/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/29/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180530
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

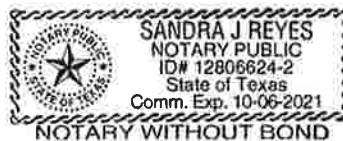
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180530
APPLICATION TITLE Hippo signaling in non-alcoholic fatty liver disease (NAFLD) and its progression to hepatocellular carcinoma
APPLICANT NAME Johnson, Randy
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Cancer Biology (18.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/05/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/05/18
	Date application submitted	06/05/17	01/05/18
	Method of submission	CARS	01/05/18
	Within receipt period	YES	01/05/18
	Request for extension to submit application after CARS closed	N/A	01/05/18
	Request for extension for late application submission accepted	N/A	01/05/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/05/18
	Donation(s) made to CPRIT/foundation	NO	01/05/18
	Assigned to primary reviewers	08/02/17	01/05/18
	Applicant notified of review panel assignment	07/12/17	01/05/18
	Primary Reviewer 1 COI signed	06/16/17	01/05/18
	Primary Reviewer 2 COI signed	06/23/17	01/05/18
	Primary Reviewer 3 COI signed	06/18/17	01/05/18
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	01/05/18
	Primary Reviewer 1 critique submitted	08/21/17	01/05/18
	Primary Reviewer 2 critique submitted	08/22/17	01/05/18
	Primary Reviewer 3 critique submitted	08/16/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/05/18
	COI indicated by non-primary reviewer	Lee Helman	01/05/18
	Preliminary Evaluation score summary sent to Chair	08/28/17	01/05/18
	Recommended for full review	YES	01/05/18
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	01/05/18
	Assigned to primary reviewers	09/01/17	01/05/18
	Primary Reviewer 1 COI signed	09/11/17	01/05/18
	Primary Reviewer 2 COI signed	08/11/17	01/05/18
	Primary Reviewer 3 COI signed	09/08/17	01/05/18
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	01/05/18
	Primary Reviewer 1 critique submitted	10/07/17	01/05/18
	Primary Reviewer 2 critique submitted	10/08/17	01/05/18
	Primary Reviewer 3 critique submitted	10/06/17	01/05/18
	Primary (Advocate) Reviewer 4 critique submitted	10/09/17	01/05/18
	COI indicated by non-primary reviewer	Lee Helman	01/05/18
	COI recused from participation	YES	01/05/18
	Discussed at Peer Review Meeting	YES	01/05/18
	Peer Review Meeting	10/16/17	01/05/18
	Post review statements signed	11/01/17	01/05/18
	Third Party Observer Report	10/16/17	01/05/18
	Score report delivered to CSO	11/08/17	01/05/18
5. Final SRC Recommendation	Recommended for SRC Review	YES	01/05/18
	COI indicated by SRC member	NONE	01/05/18
	COI recused from participation	N/A	01/05/18
	SRC Meeting	12/14/17	01/05/18
	Third Party Observer Report	12/14/17	01/05/18
6. PIC Review	Recommended for grant award	YES	01/05/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180553
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.”

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

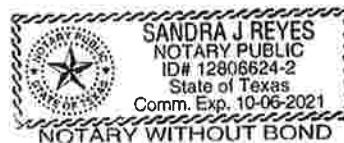
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180553
APPLICATION TITLE Structural and Functional Characterization of the DNA Double Strand Break Processing Complex of Mre11-Rad50
APPLICANT NAME Latham, Michael
ORGANIZATION Texas Tech University
PANEL NAME 18.1 Basic Cancer Research-2 (18.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	01/03/18
	CPRIT Application Receipt System (CARS) closed	06/08/17	01/03/18
	Date application submitted	06/08/17	01/03/18
	Method of submission	CARS	01/03/18
	Within receipt period	YES	01/03/18
	Request for extension to submit application after CARS closed	N/A	01/03/18
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	01/03/18
	Administrative review notification	N/A	01/03/18
	Donation(s) made to CPRIT/foundation	NO	01/03/18
	Assigned to primary reviewers	08/10/17	01/03/18
	Applicant notified of review panel assignment	07/12/17	01/03/18
	Primary Reviewer 1 COI signed	06/17/17	01/03/18
	Primary Reviewer 2 COI signed	06/16/17	01/03/18
	Primary Reviewer 3 COI signed	07/24/17	01/03/18
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	01/03/18
	Primary Reviewer 1 critique submitted	08/24/17	01/03/18
	Primary Reviewer 2 critique submitted	08/28/17	01/03/18
	Primary Reviewer 3 critique submitted	08/17/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	N/A	01/03/18
	COI indicated by non-primary reviewer	NONE	01/03/18
	Preliminary Evaluation score summary sent to Chair	08/30/17	01/03/18
	Recommended for full review	YES	01/03/18
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	01/03/18
	Assigned to primary reviewers	09/08/17	01/03/18
	Primary Reviewer 1 COI signed	08/10/17	01/03/18
	Primary Reviewer 2 COI signed	08/08/17	01/03/18
	Primary Reviewer 3 COI signed	09/06/17	01/03/18
	Primary (Advocate) Reviewer 4 COI signed	09/05/17	01/03/18
	Primary Reviewer 1 critique submitted	10/08/17	01/03/18
	Primary Reviewer 2 critique submitted	10/10/17	01/03/18
	Primary Reviewer 3 critique submitted	10/09/17	01/03/18
	Primary (Advocate) Reviewer 4 critique submitted	10/10/17	01/03/18
	COI indicated by non-primary reviewer	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	Discussed at Peer Review Meeting	YES	01/03/18
	Peer Review Meeting	10/18/17	01/03/18
	Post review statements signed	11/07/17	01/03/18
5. Final SRC Recommendation	Third Party Observer Report	10/18/17	01/03/18
	Score report delivered to CSO	11/08/17	01/03/18
	Recommended for SRC Review	YES	01/03/18
	COI indicated by SRC member	NONE	01/03/18
	COI recused from participation	N/A	01/03/18
	SRC Meeting	12/14/17	01/03/18
6. PIC Review	Third Party Observer Report	12/14/17	01/03/18
	Recommended for grant award	YES	01/03/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI Indicated by PIC member	NONE	02/06/18
7. Oversight Committee Approval	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180588
Individual Investigator Research Awards
for Prevention and Early Detection

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 *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 40 applications in response to this RFA. 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."



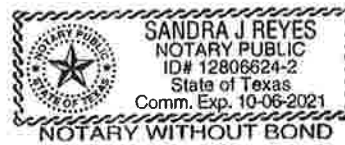
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Prevention and Early Detection (IIRAP)
APPLICATION ID RP180588
APPLICATION TITLE Novel Computer Aided Diagnosis System For Early Detection Of Oral Cancer Based On Quantitative Autofluorescence Imaging
APPLICANT NAME Jo, Javier
ORGANIZATION Texas Engineering Experiment Station
PANEL NAME 18.1 Cancer Prevention Research (18.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/08/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	12/26/17
	Administrative review notification	07/10/17	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	06/18/17	12/26/17
	Primary Reviewer 2 COI signed	07/18/17	12/26/17
	Primary Reviewer 3 COI signed	07/19/17	12/26/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
	Primary Reviewer 1 critique submitted	08/23/17	12/26/17
	Primary Reviewer 2 critique submitted	08/23/17	12/26/17
	Primary Reviewer 3 critique submitted	08/18/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	12/26/17
	Assigned to primary reviewers	09/05/17	12/26/17
	Primary Reviewer 1 COI signed	09/13/17	12/26/17
	Primary Reviewer 2 COI signed	08/02/17	12/26/17
	Primary Reviewer 3 COI signed	09/13/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	12/26/17
	Primary Reviewer 1 critique submitted	10/17/17	12/26/17
	Primary Reviewer 2 critique submitted	10/26/17	12/26/17
	Primary Reviewer 3 critique submitted	10/10/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/14/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/24/17	12/26/17
	Post review statements signed	11/03/17	12/26/17
	Third Party Observer Report	10/24/17	12/26/17
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	12/26/17
	Recommended for SRC Review	YES	12/26/17
	COI indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
6. PIC Review	Recommended for grant award	YES	12/26/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
7. Oversight Committee Approval	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180590
Individual 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 *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 356 applications in response to this RFA, including nine 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

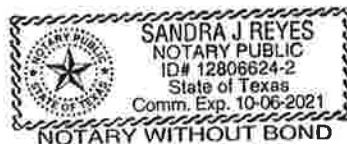
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP180590
APPLICATION TITLE Development of an engineered & pharmacologically optimized human methionine-gamma-lyase drug candidate for the treatment of prostate cancer and glioblastoma
APPLICANT NAME Stone, Everett
ORGANIZATION The University of Texas at Austin
PANEL NAME 18.1 Clinical / Translational Cancer Research (18.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/28/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/28/17
	Date application submitted	06/08/17	12/28/17
	Method of submission	CARS	12/28/17
	Within receipt period	YES	12/28/17
	Request for extension to submit application after CARS closed	N/A	12/28/17
	Request for extension for late application submission accepted	N/A	12/28/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/28/17
	Donation(s) made to CPRIT/foundation	NO	12/28/17
	Assigned to primary reviewers	08/07/17	12/28/17
	Applicant notified of review panel assignment	07/12/17	12/28/17
	Primary Reviewer 1 COI signed	07/31/17	12/28/17
	Primary Reviewer 2 COI signed	06/21/17	12/28/17
	Primary Reviewer 3 COI signed	06/20/17	12/28/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/28/17
	Primary Reviewer 1 critique submitted	08/14/17	12/28/17
	Primary Reviewer 2 critique submitted	08/29/17	12/28/17
	Primary Reviewer 3 critique submitted	08/21/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	Preliminary Evaluation score summary sent to Chair	09/04/17	12/28/17
	Recommended for full review	YES	12/28/17
	Applicant notified of outcome	10/02/17	12/28/17
4. Peer Review Meeting	Assigned to primary reviewers	09/14/17	12/28/17
	Primary Reviewer 1 COI signed	08/07/17	12/28/17
	Primary Reviewer 2 COI signed	09/14/17	12/28/17
	Primary Reviewer 3 COI signed	08/21/17	12/28/17
	Primary (Advocate) Reviewer 4 COI signed	09/06/17	12/28/17
	Primary Reviewer 1 critique submitted	10/09/17	12/28/17
	Primary Reviewer 2 critique submitted	10/07/17	12/28/17
	Primary Reviewer 3 critique submitted	10/09/17	12/28/17
	Primary (Advocate) Reviewer 4 critique submitted	10/03/17	12/28/17
	COI indicated by non-primary reviewer	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	Discussed at Peer Review Meeting	YES	12/28/17
	Peer Review Meeting	10/19/17	12/28/17
	Post review statements signed	10/19/17	12/28/17
	Third Party Observer Report	10/19/17	12/28/17
	Score report delivered to CSO	11/08/17	12/28/17
	Recommended for SRC Review	YES	12/28/17
5. Final SRC Recommendation	COI indicated by SRC member	NONE	12/28/17
	COI recused from participation	N/A	12/28/17
	SRC Meeting	12/14/17	12/28/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/28/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
7. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180607
Individual Investigator Research Awards
for Prevention and Early Detection

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 *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 40 applications in response to this RFA. 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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."

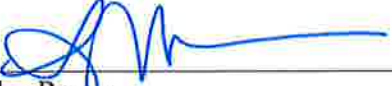


Wayne R. Roberts,

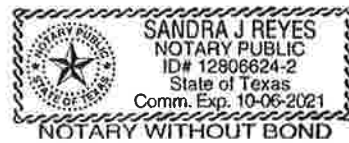
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Prevention and Early Detection (IIRAP)
APPLICATION ID RP180607
APPLICATION TITLE Blood-based biomarkers for the early detection of pancreatic cancer
APPLICANT NAME Killary, Ann
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 18.1 Cancer Prevention Research (18.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial)	01/18/18
	RFA published in Texas.gov eGrants	03/20/17 (revised)	01/18/18
	CPRIT Application Receipt System (CARS) opened	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) closed	03/15/17	12/26/17
	Date application submitted	06/08/17	12/26/17
	Method of submission	06/06/17	12/26/17
	Within receipt period	CARS	12/26/17
	Request for extension to submit application after CARS closed	YES	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	07/10/17	12/26/17
	Assigned to primary reviewers	NO	12/26/17
	Applicant notified of review panel assignment	08/02/17	12/26/17
	Primary Reviewer 1 COI signed	07/12/17	12/26/17
	Primary Reviewer 2 COI signed	07/18/17	12/26/17
	Primary Reviewer 3 COI signed	06/15/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	07/03/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/23/17	12/26/17
	Primary Reviewer 2 critique submitted	08/14/17	12/26/17
	Primary Reviewer 3 critique submitted	08/08/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
	Applicant notified of outcome	10/02/17	12/26/17
	Assigned to primary reviewers	10/02/17	12/26/17
4. Peer Review Meeting	Primary Reviewer 1 COI signed	09/05/17	12/26/17
	Primary Reviewer 2 COI signed	09/06/17	12/26/17
	Primary Reviewer 3 COI signed	08/02/17	12/26/17
	Primary Reviewer 4 COI signed	08/18/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	09/05/17	12/26/17
	Primary Reviewer 1 critique submitted	10/02/17	12/26/17
	Primary Reviewer 2 critique submitted	10/16/17	12/26/17
	Primary Reviewer 3 critique submitted	10/20/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/12/17	12/26/17
	COI indicated by non-primary reviewer	Christopher Li	12/26/17
	COI recused from participation	YES	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/24/17	12/26/17
	Post review statements signed	11/03/17	12/26/17
	Third Party Observer Report	10/24/17	12/26/17
	Score report delivered to CSO	11/08/17	12/26/17
	Recommended for SRC Review	YES	12/26/17
5. Final SRC Recommendation	COI Indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/26/17
6. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
7. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP180634
Individual Investigator Research Awards
for Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 39 applications in response to this RFA, including two 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 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications."

- 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 seven 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. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

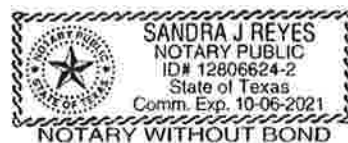
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 1
PROGRAM Academic Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP180634
APPLICATION TITLE Understanding metabolic regulation of pediatric glioma through mouse modeling and patient tumor interrogation in vivo.
APPLICANT NAME Bachoo, Robert
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 18.1 Basic Cancer Research-1 (18.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	01/03/17 (initial) 03/20/17 (revised)	01/18/18
	RFA published in Texas.gov eGrants	01/09/17	01/18/18
	CPRIT Application Receipt System (CARS) opened	03/15/17	12/26/17
	CPRIT Application Receipt System (CARS) closed	06/08/17	12/26/17
	Date application submitted	06/07/17	12/26/17
	Method of submission	CARS	12/26/17
	Within receipt period	YES	12/26/17
	Request for extension to submit application after CARS closed	N/A	12/26/17
	Request for extension for late application submission accepted	N/A	12/26/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/26/17
	Donation(s) made to CPRIT/foundation	NO	12/26/17
	Assigned to primary reviewers	08/02/17	12/26/17
	Applicant notified of review panel assignment	07/12/17	12/26/17
	Primary Reviewer 1 COI signed	06/15/17	12/26/17
	Primary Reviewer 2 COI signed	07/26/17	12/26/17
	Primary Reviewer 3 COI signed	07/25/17	12/26/17
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	12/26/17
	Primary Reviewer 1 critique submitted	08/06/17	12/26/17
	Primary Reviewer 2 critique submitted	08/26/17	12/26/17
	Primary Reviewer 3 critique submitted	08/18/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	N/A	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	Preliminary Evaluation score summary sent to Chair	08/28/17	12/26/17
	Recommended for full review	YES	12/26/17
4. Peer Review Meeting	Applicant notified of outcome	10/02/17	12/26/17
	Assigned to primary reviewers	09/01/17	12/26/17
	Primary Reviewer 1 COI signed	09/21/17	12/26/17
	Primary Reviewer 2 COI signed	09/06/17	12/26/17
	Primary Reviewer 3 COI signed	09/26/17	12/26/17
	Primary (Advocate) Reviewer 4 COI signed	08/31/17	12/26/17
	Primary Reviewer 1 critique submitted	10/12/17	12/26/17
	Primary Reviewer 2 critique submitted	10/14/17	12/26/17
	Primary Reviewer 3 critique submitted	10/16/17	12/26/17
	Primary (Advocate) Reviewer 4 critique submitted	10/03/17	12/26/17
	COI indicated by non-primary reviewer	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	Discussed at Peer Review Meeting	YES	12/26/17
	Peer Review Meeting	10/20/17	12/26/17
	Post review statements signed	10/20/17	12/26/17
	Third Party Observer Report	10/20/17	12/26/17
5. Final SRC Recommendation	Score report delivered to CSO	11/08/17	12/26/17
	Recommended for SRC Review	YES	12/26/17
	COI Indicated by SRC member	NONE	12/26/17
	COI recused from participation	N/A	12/26/17
	SRC Meeting	12/14/17	12/26/17
6. PIC Review	Third Party Observer Report	12/14/17	01/04/18
	Recommended for grant award	YES	12/26/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	COI indicated by PIC member	NONE	02/06/18
7. Oversight Committee Approval	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2018—Cycles 3-5
*Recruitment of First-Time, Tenure-Track
Faculty Members*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-18.1-RFT

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

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

Application Receipt Dates:

June 21, 2017-June 20, 2018

FY 2018

Fiscal Year Award Period

September 1, 2017-August 31, 2018

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RFA VERSION HISTORY

Rev 6/21/17 RFA release

1. ABOUT CPRIT

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

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

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

1.1. Academic Research Program Priorities

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

Established Principles:

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

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

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

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

2. RATIONALE

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

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

3. RECRUITMENT OBJECTIVES

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

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

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

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

4. INSTITUTIONAL COMMITMENT

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

5. FUNDING INFORMATION

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

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

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

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

6. ELIGIBILITY

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

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

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

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

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

7. RESUBMISSION POLICY

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

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

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

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

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

8.2. Application Components

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

8.2.1. Summary of Nomination (2,000 characters)

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

8.2.2. Institutional Commitment (3 pages)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

8.2.4. Curriculum Vitae (CV)

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

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

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

8.2.6. Research (4 pages)

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

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

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

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

8.2.7. Publications

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

8.2.8. Timeline (1 page)

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

8.2.9. Current and Pending Support

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

8.2.10. Letters of Recommendation

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

8.2.11. Research Environment (1 page)

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

8.2.12. Descriptive Biography (Up to 2 pages)

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

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

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

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

9. APPLICATION REVIEW

9.1. Review Process

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

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

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

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

9.1.1. Confidentiality of Review

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

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

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

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee member, a PIC member, or a Scientific Review Council member.

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

9.2. Review Criteria

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

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

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

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

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

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

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

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

10. KEY DATES

RFA

RFA Release June 21, 2017

Application Receipt and Review Timeline

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

11. AWARD ADMINISTRATION

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

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

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

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

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

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

13. CONTACT INFORMATION

13.1. Helpdesk

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

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

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports

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

Report No. 2017-11-16_REC_18.3-4
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.3-4 (REC_18.3-4)

Panel Date: November 16, 2017
Report Date: November 16, 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 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-18.3-4 (REC_18.3-4). The meeting was chaired by Richard Kolodner and conducted via teleconference on November 16, 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 is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Recruitment Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Recruitment meeting and in review of scoring documentation post-meeting:

- Four applications were discussed to score applicants for funding. Of the four applications reviewed and scored, two were recommended for funding and two were not recommended for funding.
- Participants: Six peer review panelists called into the teleconference, which included one Panel Chairperson and five review panelists;
- Two CPRIT staff members and three 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 COIs identified prior to or during the meeting. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of all objectives.

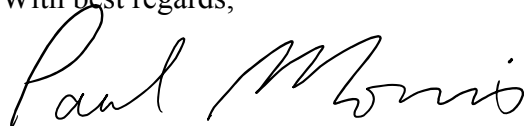
Conclusion

In conclusion; we observed that the activities of the Academic Research - Recruitment Peer Review panel 18.3-4 were limited to 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,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
November 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-12-14_REC_18.5
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.5 (REC_18.5)

Panel Date: December 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 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-18.5 (REC_18.5). The meeting was chaired by Richard Kolodner and conducted via teleconference on December 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 is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Recruitment Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Recruitment meeting:

- Five applications were discussed to score applicants for funding; three were recommended for funding, two were not recommended for funding.
- Participants: Seven peer review panelists participated in the panel, which included the Panel Chair and six review panelists;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- 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 COIs identified prior or during the meeting. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

Conclusion

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

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

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

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
September 14, 2017

cc: Vince Burgess, Chief Compliance Officer

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment 18.3-.5 Applications
(Academic Research Recruitment Cycles 18.3-.5 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 Academic Research Recruitment Cycle 18.3-.5 include *Recruitment of Established Investigators*, *Recruitment of Rising Stars*, and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
No conflicts reported.			
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 18.3-.5

Application ID	Final Overall Evaluation Score
RR180011*	1.0
RR180014*	1.0
RR180017*	2.0
www	3.0

*=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
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
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**T 858 534 7804
F 858 534 7750**

January 16, 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

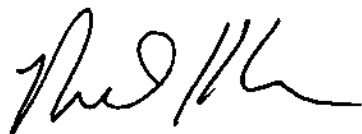
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on November 16, 2017 (REC Cycles 18.3 and 18.4) and December 14, 2017 (REC Cycle 18.5) to consider the applications submitted to CPRIT under the Recruitment of Rising Stars and Recruitment for First-Time Tenure Track Faculty Members. requests for applications for Recruitment Cycles REC 18.3, 18.4 and 18.5.

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 \$14,000,000.

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	RR180011	Bose, Rohit	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.0
2	RR180014	Zhong, Zhenyu	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
3	RR180017	Jiang, Wen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.0
4	RR180016	Hoshida, Yujin	RRS	The University of Texas Southwestern Medical Center	\$4,000,000	2.0
5	RR180012	Jian, Xiaoqian	RRS	The University of Texas Health Science Center at Houston	\$4,000,000	2.8

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 3-5
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 Peer Review Observation Report*

Report No. 2017-11-16_REC_18.3-4
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.3-4 (REC_18.3-4)

Panel Date: November 16, 2017
Report Date: November 16, 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 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-18.3-4 (REC_18.3-4). The meeting was chaired by Richard Kolodner and conducted via teleconference on November 16, 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 is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Recruitment Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Recruitment meeting and in review of scoring documentation post-meeting:

- Four applications were discussed to score applicants for funding. Of the four applications reviewed and scored, two were recommended for funding and two were not recommended for funding.
- Participants: Six peer review panelists called into the teleconference, which included one Panel Chairperson and five review panelists;
- Two CPRIT staff members and three 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 COIs identified prior to or during the meeting. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of all objectives.

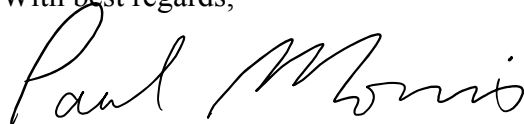
Conclusion

In conclusion; we observed that the activities of the Academic Research - Recruitment Peer Review panel 18.3-4 were limited to 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,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
November 16, 2017

cc: Vince Burgess, Chief Compliance Officer

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

Report No. 2017-12-14_REC_18.5
Program Name: Academic Research
Panel Name: Recruitment Review Panel-18.5 (REC_18.5)

Panel Date: December 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 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-18.5 (REC_18.5). The meeting was chaired by Richard Kolodner and conducted via teleconference on December 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 is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Recruitment Peer Review panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Recruitment Peer Review panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

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

The independent observers noted the following during the Recruitment meeting:

- Five applications were discussed to score applicants for funding; three were recommended for funding, two were not recommended for funding.
- Participants: Seven peer review panelists participated in the panel, which included the Panel Chair and six review panelists;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- 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 COIs identified prior or during the meeting. A list of all attendees and informational materials were provided by CSRA staff to aid in the observation of these objectives.

Conclusion

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

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

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

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
September 14, 2017

cc: Vince Burgess, Chief Compliance Officer

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment 18.3-.5 Applications
(Academic Research Recruitment Cycles 18.3-.5 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 Academic Research Recruitment Cycle 18.3-.5 include *Recruitment of Established Investigators*, *Recruitment of Rising Stars*, and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
No conflicts reported.			
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 18.3-.5

Application ID	Final Overall Evaluation Score
RR180016*	2.0
RR180012*	2.8

*=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**

January 16, 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

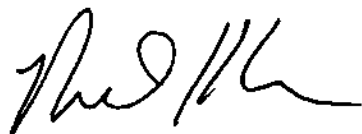
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on November 16, 2017 (REC Cycles 18.3 and 18.4) and December 14, 2017 (REC Cycle 18.5) to consider the applications submitted to CPRIT under the Recruitment of Rising Stars and Recruitment for First-Time Tenure Track Faculty Members. requests for applications for Recruitment Cycles REC 18.3, 18.4 and 18.5.

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 \$14,000,000.

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	RR180011	Bose, Rohit	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.0
2	RR180014	Zhong, Zhenyu	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
3	RR180017	Jiang, Wen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.0
4	RR180016	Hoshida, Yujin	RRS	The University of Texas Southwestern Medical Center	\$4,000,000	2.0
5	RR180012	Jian, Xiaoqian	RRS	The University of Texas Health Science Center at Houston	\$4,000,000	2.8

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180011
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Rohit Bose, M.D., Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received four applications for cycles 18.3 through 18.5 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.

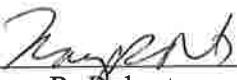
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

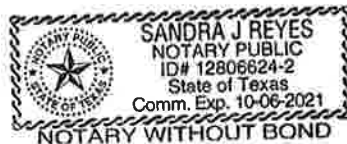
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 3
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Tenure-Track Faculty Members (RFTFM)
APPLICATION ID RR180011
APPLICATION TITLE Recruitment of First-Time, Tenure-Track Faculty Members- Rohit Bose
NOMINATOR NAME Hahn, Stephen
CANDIDATE NAME Bose, Rohit
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME Recruitment FY18 Cycle 3-4 (REC 18.3-4)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/15/17	01/19/18
	RFA published in Texas.gov eGrants	06/14/17	01/19/18
	CPRIT Application Receipt Cycle opened	08/22/17	12/19/17
	CPRIT Application Receipt Cycle closed	09/20/17	12/19/17
	Date application submitted	09/20/17	12/19/17
	Method of submission	CARS	12/19/17
	Within receipt period	YES	12/19/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/19/17
	Donation(s) made to CPRIT/foundation	NO	12/19/17
	Assigned to primary reviewers	11/03/17	12/19/17
	Applicant notified of review panel assignment	N/A	12/19/17
	Primary Reviewer 1 COI signed	10/26/17	12/19/17
3. Peer Review Meeting	Primary Reviewer 2 COI signed	11/01/17	12/19/17
	Primary Reviewer 1 critique submitted	11/06/17	12/19/17
	Primary Reviewer 2 critique submitted	11/15/17	12/19/17
	COI indicated by non-primary reviewer	NONE	12/19/17
	COI recused from participation	N/A	12/19/17
	Discussed at Peer Review Meeting	YES	12/19/17
	Peer Review Meeting	11/16/17	12/19/17
	Post review statements signed	11/20/17	12/19/17
	Third Party Observer Report	11/16/17	12/19/17
	Score report delivered to CSO	11/27/17	12/19/17
4. Final SRC Recommendation	Recommended for SRC Review	YES	12/19/17
	COI indicated by SRC member	NONE	12/19/17
	COI recused from participation	N/A	12/19/17
	SRC Meeting	11/16/17	12/19/17
	Third Party Observer Report	11/16/17	12/19/17
	Recommended for grant award	YES	12/19/17
5. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	02/01/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
6. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180012
Recruitment of Rising Stars
Nomination of Xiaoqian Jian, 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 two applications for cycles 18.3 through 18.5 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers 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 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 3
PROGRAM Academic Research
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR180012
APPLICATION TITLE Xiaoqian Jian Rising Star Application
NOMINATOR NAME Blackburn, Michael
CANDIDATE NAME Jian, Xiaoqian
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME Recruitment FY18 Cycle 3-4 (REC 18.3-4)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/18/17	01/19/18
	RFA published in Texas.gov eGrants	06/14/17	01/19/18
	CPRIT Application Receipt Cycle opened	08/22/17	12/19/17
	CPRIT Application Receipt Cycle closed	09/20/17	12/19/17
	Date application submitted	09/19/17	12/19/17
	Method of submission	CARS	12/19/17
	Within receipt period	YES	12/19/17
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	12/19/17
	Donation(s) made to CPRIT/foundation	NO	12/19/17
	Assigned to primary reviewers	11/03/17	12/19/17
	Applicant notified of review panel assignment	N/A	12/19/17
	Primary Reviewer 1 COI signed	10/27/17	12/19/17
	Primary Reviewer 2 COI signed	10/28/17	12/19/17
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	11/11/17	12/19/17
	Primary Reviewer 2 critique submitted	11/16/17	12/19/17
	COI indicated by non-primary reviewer	NONE	12/19/17
	COI recused from participation	N/A	12/19/17
	Discussed at Peer Review Meeting	YES	12/19/17
	Peer Review Meeting	11/16/17	12/19/17
	Post review statements signed	11/20/17	12/19/17
	Third Party Observer Report	11/16/17	12/19/17
	Score report delivered to CSO	11/27/17	12/19/17
	Recommended for SRC Review	YES	12/19/17
4. Final SRC Recommendation	COI indicated by SRC member	NONE	12/19/17
	COI recused from participation	N/A	12/19/17
	SRC Meeting	11/16/17	12/19/17
	Third Party Observer Report	11/16/17	12/19/17
	Recommended for grant award	YES	12/19/17
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
5. PIC Review	Candidate not accepted position prior to SRC date	YES	02/01/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180014
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Zhenyu Zhong, 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 four applications for cycles 18.3 through 18.5 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.

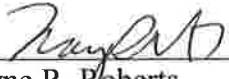
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

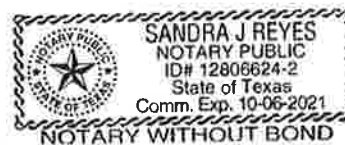
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 7th day of February, 2018,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 5
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Tenure-Track Faculty Members (RFTFM)
APPLICATION ID RR180014
APPLICATION TITLE Nomination of Zhenyu Zhong, Ph.D. for a CPRIT First-Time, Tenure-Track Faculty Member Award
NOMINATOR NAME Fitz, John
CANDIDATE NAME Zhong, Zhenyu
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY18 Cycle 5 (REC 18.5)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/15/17	01/19/18
	RFA published in Texas.gov eGrants	06/14/17	01/19/18
	CPRIT Application Receipt Cycle opened	10/23/17	01/15/18
	CPRIT Application Receipt Cycle closed	11/20/17	01/15/18
	Date application submitted	11/15/17	01/15/18
	Method of submission	CARS	01/15/18
	Within receipt period	YES	01/15/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/15/18
	Donation(s) made to CPRIT/foundation	NO	01/15/18
	Assigned to primary reviewers	12/01/17	01/15/18
	Applicant notified of review panel assignment	N/A	01/15/18
	Primary Reviewer 1 COI signed	11/27/17	01/15/18
	Primary Reviewer 2 COI signed	11/24/17	01/15/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	12/08/17	01/15/18
	Primary Reviewer 2 critique submitted	12/12/17	01/15/18
	COI indicated by non-primary reviewer	NONE	01/15/18
	COI recused from participation	N/A	01/15/18
	Discussed at Peer Review Meeting	YES	01/15/18
	Peer Review Meeting	12/14/17	01/15/18
	Post review statements signed	12/18/17	01/15/18
	Third Party Observer Report	12/14/17	01/15/18
	Score report delivered to CSO	12/22/17	01/15/18
	Recommended for SRC Review	YES	01/15/18
4. Final SRC Recommendation	COI indicated by SRC member	NONE	01/15/18
	COI recused from participation	N/A	01/15/18
	SRC Meeting	12/14/17	01/15/18
	Third Party Observer Report	12/14/17	01/15/18
	Recommended for grant award	YES	01/15/18
	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
5. PIC Review	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	02/01/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
	Recommended for grant award	YES	02/06/18
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180016
Recruitment of Rising Stars
Nomination of Yujin Hoshida, M.D., Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received two applications for cycles 18.3 through 18.5 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 members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2018 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

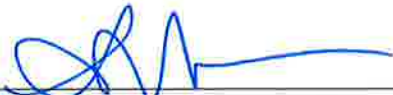
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



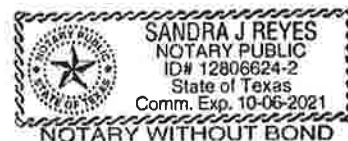
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 18
CYCLE 5
PROGRAM Academic Research
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR180016
APPLICATION TITLE Nomination of Yujin Hoshida, M.D., Ph.D. for a CPRIT Rising Stars Award
NOMINATOR NAME Fitz, John
CANDIDATE NAME Hoshida, Yujin
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY18 Cycle 5 (REC 18.5)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/18/17	01/19/18
	RFA published in Texas.gov eGrants	06/14/17	01/19/18
	CPRIT Application Receipt Cycle opened	10/23/17	01/15/18
	CPRIT Application Receipt Cycle closed	11/20/17	01/15/18
	Date application submitted	11/17/17	01/15/18
	Method of submission	CARS	01/15/18
	Within receipt period	YES	01/15/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/15/18
	Donation(s) made to CPRIT/foundation	NO	01/15/18
	Assigned to primary reviewers	12/01/17	01/15/18
	Applicant notified of review panel assignment	N/A	01/15/18
	Primary Reviewer 1 COI signed	11/27/17	01/15/18
	Primary Reviewer 2 COI signed	11/24/17	01/15/18
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	12/12/17	01/15/18
	Primary Reviewer 2 critique submitted	12/09/17	01/15/18
	COI indicated by non-primary reviewer	NONE	01/15/18
	COI recused from participation	N/A	01/15/18
	Discussed at Peer Review Meeting	YES	01/15/18
	Peer Review Meeting	12/14/17	01/15/18
	Post review statements signed	12/18/17	01/15/18
	Third Party Observer Report	12/14/17	01/15/18
	Score report delivered to CSO	12/22/17	01/15/18
	Recommended for SRC Review	YES	01/15/18
4. Final SRC Recommendation	COI indicated by SRC member	NONE	01/15/18
	COI recused from participation	N/A	01/15/18
	SRC Meeting	12/14/17	01/15/18
	Third Party Observer Report	12/14/17	01/15/18
	Recommended for grant award	YES	01/15/18
5. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	Candidate not accepted position prior to SRC date	YES	02/01/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
6. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR180017
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Wen Jiang, M.D., Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received four applications for cycles 18.3 through 18.5 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:

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

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

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



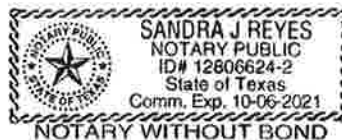
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

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the 7th day of February, 2018,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 18
CYCLE 5
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Tenure-Track Faculty Members (RFTFM)
APPLICATION ID RR180017
APPLICATION TITLE Nomination of Wen Jiang, M.D., Ph.D. for a CPRIT First-Time, Tenure-Track Faculty Member Award
NOMINATOR NAME Fitz, John
CANDIDATE NAME Jiang, Wen
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY18 Cycle 5 (REC 18.5)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/15/17	01/19/18
	RFA published in Texas.gov eGrants	06/14/17	01/19/18
	CPRIT Application Receipt Cycle opened	10/23/17	01/15/18
	CPRIT Application Receipt Cycle closed	11/20/17	01/15/18
	Date application submitted	11/16/17	01/15/18
	Method of submission	CARS	01/15/18
	Within receipt period	YES	01/15/18
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	01/15/18
	Donation(s) made to CPRIT/foundation	NO	01/15/18
	Assigned to primary reviewers	12/01/17	01/15/18
	Applicant notified of review panel assignment	N/A	01/15/18
	Primary Reviewer 1 COI signed	11/24/17	01/15/18
3. Peer Review Meeting	Primary Reviewer 2 COI signed	11/27/17	01/15/18
	Primary Reviewer 1 critique submitted	12/12/17	01/15/18
	Primary Reviewer 2 critique submitted	12/12/17	01/15/18
	COI indicated by non-primary reviewer	NONE	01/15/18
	COI recused from participation	N/A	01/15/18
	Discussed at Peer Review Meeting	YES	01/15/18
	Peer Review Meeting	12/14/17	01/15/18
	Post review statements signed	12/18/17	01/15/18
	Third Party Observer Report	12/14/17	01/15/18
	Score report delivered to CSO	12/22/17	01/15/18
4. Final SRC Recommendation	Recommended for SRC Review	YES	01/15/18
	COI indicated by SRC member	NONE	01/15/18
	COI recused from participation	N/A	01/15/18
	SRC Meeting	12/14/17	01/15/18
	Third Party Observer Report	12/14/17	01/15/18
	Recommended for grant award	YES	01/15/18
5. PIC Review	SRC Chair Notification to PIC and OC	01/19/18	01/24/18
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	02/01/18
	COI indicated by PIC member	NONE	02/06/18
	COI recused from participation	N/A	02/06/18
	PIC review meeting	02/06/18	02/06/18
6. Oversight Committee Approval	Recommended for grant award	YES	02/06/18
	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	

CPRIT retains the identity of the attesting party.