



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP140020
Multi-Investigator Research Award Continuation Grants for Years 4 and 5

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 the *Multi-Investigator Research Award Continuation Grants for Years 4 and 5* Request for Applications (RFA). CPRIT received 5 applications for this RFA. The 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:

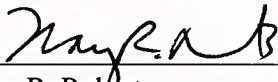
- The applicable Request for Applications (RFA) for this grant cycle
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committee 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 related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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. However, I note that this application did not meet an eligibility requirement stated in the Request for Applications (RFA). Specifically, the RFA stated that "an applicant institution that is delinquent in programmatic and/or fiscal reporting for its CPRIT MIRA grant at the time of the grant application deadline is not eligible for additional MIRA funding." Upon investigation, it was determined that matching funds certification was submitted on December 19, 2013, (prior to the application deadline) but was not reviewed by CPRIT until January 16, 2014. Although the time between submission and review by CPRIT was consistent with the agency's standard review period, the certification's pending status affected the applicant's eligibility. CPRIT is working with the grant applicant to receive the matching funds verification documentation. The PIC considered the mitigating circumstances - that a delay for which CPRIT processes were partly responsible contributed to the delinquency - in recommending approval of this application for grant funding, contingent upon the grant applicant being fully compliant by the time that the Oversight Committee takes action on the award recommendation.


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 12th day of February, 2014,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas

Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
CYCLE 1
PROGRAM Research
AWARD MECHANISM Multi-Investigator Research Awards – Continuation (MIRA-C)
APPLICATION ID RP140020
APPLICATION TITLE Comparative Effectiveness Research on Cancer in Texas (CERCIT)
APPLICANT NAME Goodwin, James
ORGANIZATION The University of Texas Medical Branch at Galveston
PANEL NAME MIRA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	12/19/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	01/10/14	02/05/14	SRA International, Inc.
	Date application submitted	01/09/14	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/21/14	02/05/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	12/06/13	02/05/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	12/11/13	02/05/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	01/07/14	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/26/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/28/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/30/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	02/05/14	SRA International, Inc.
	COI recused from participation	N/A	02/05/14	SRA International, Inc.
	Peer Review: Teleconference	02/03/14	02/05/14	SRA International, Inc.
	Third Party Observer Report	02/03/14	02/10/14	SRA International, Inc.
	Post review statements signed	02/09/14	02/10/14	SRA International, Inc.
4. Final SRC Recommendation	Score report delivered to CPRIT	02/05/14	02/05/14	SRA International, Inc.
	COI indicated by SRC member	NONE	02/07/14	SRA International, Inc.
	COI recused from participation	N/A	02/07/14	SRA International, Inc.
	Third Party Observer Report	02/03/14	02/10/14	SRA International, Inc.
	SRC meeting	02/03/14	02/07/14	SRA International, Inc.
	Recommended for PIC review	02/03/14	02/07/14	SRA International, Inc.
5. PIC Review	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
6. CEO Recommendation	Approved by PIC	YES	02/07/14	SRA International, Inc.
	Recommended for slate by CEO	YES	02/26/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/26/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/26/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/26/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT - S Balderrama
	Award Approved by Oversight Committee	YES	02/26/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

CEO AFFIDAVIT

Application RP140021

Multi-Investigator Research Award Continuation Grants for Years 4 and 5

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:


- The applicable Request for Applications (RFA) for this grant cycle
- 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 committee 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 related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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. However, I note that this application did not meet an eligibility requirement stated in the Request for Applications (RFA). Specifically, the RFA stated that "an applicant institution that is delinquent in programmatic and/or fiscal reporting for its CPRIT MIRA grant at the time of the grant application deadline is not eligible for additional MIRA funding." Upon investigation, it was determined that matching fund certification was submitted by the applicant on November 26, 2013, prior to the application deadline, but was not approved by CPRIT until February 4, 2014. The PIC considered the mitigating circumstances - that the delinquency was beyond the applicant's control because CPRIT did not timely review the applicant's matching fund certification - in recommending approval of this application for grant funding.

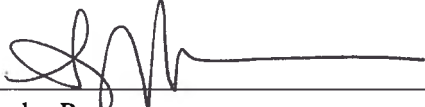
This statement is true."



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 12th day of February, 2014,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
CYCLE 1
PROGRAM Research
AWARD MECHANISM Multi-Investigator Research Awards – Continuation (MIRA-C)
APPLICATION ID RP140021
APPLICATION TITLE Novel MRI and MRS Methods for Imaging Cancer Metabolism
APPLICANT NAME Sherry, Dean
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME MIRA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	12/19/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	01/10/14	02/05/14	SRA International, Inc.
	Date application submitted	01/10/14	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/21/14	02/05/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	01/17/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	01/07/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	01/09/14	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/31/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/30/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/30/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	02/05/14	SRA International, Inc.
	COI recused from participation	N/A	02/05/14	SRA International, Inc.
	Peer Review: Teleconference	02/03/14	02/05/14	SRA International, Inc.
	Third Party Observer Report	02/03/14	02/10/14	SRA International, Inc.
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4. Final SRC Recommendation	Score report delivered to CPRIT	02/05/14	02/05/14	SRA International, Inc.
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	Third Party Observer Report	02/03/14	02/10/14	SRA International, Inc.
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5. PIC Review	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
6. CEO Recommendation	Approved by PIC	YES	02/07/14	SRA International, Inc.
	Recommended for slate by CEO	YES	02/26/14	CPRIT-S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/26/14	CPRIT-S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/26/14	CPRIT-S Balderrama
	COI recused from participation	YES	02/26/14	CPRIT-S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT-S Balderrama
	Award Approved by Oversight Committee	YES	02/26/14	CPRIT-S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT-S Balderrama

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CEO AFFIDAVIT

Application RP140022

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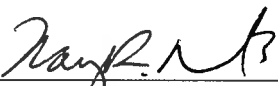
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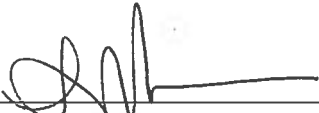

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This statement is true."



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 <u>12th</u> day of <u>February</u> , 2014, by WAYNE R. ROBERTS.	
 _____ Sandra Reyes Notary Public, State of Texas	 Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Multi-Investigator Research Awards – Continuation (MIRA-C)
 APPLICATION ID RP140022
 APPLICATION TITLE Targeted Therapies for Metastatic Osteosarcoma
 APPLICANT NAME Poplack, David
 ORGANIZATION Baylor College of Medicine
 PANEL NAME MIRA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
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	Primary Reviewer 3 critique submitted	01/30/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	Carol Prives	02/05/14	SRA International, Inc.
	COI recused from participation	YES	02/05/14	SRA International, Inc.
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	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
5. PIC Review	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
	Approved by PIC	YES	02/07/14	SRA International, Inc.
6. CEO Recommendation	Recommended for slate by CEO	YES	02/26/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/26/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/26/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/26/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT - S Balderrama
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	Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT

**SRC members who indicated a COI with an application recused themselves from the peer review meeting and did not participate in the discussion, scoring, or funding recommendation(s) for these applications during this meeting.

***All SRC members participated in the final ranking of applications after the peer review meetings. SRC members who had previously declared a COI did not recuse themselves from participation in the final ranking meeting since the discussion did not influence scoring.



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In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the

application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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. However, I note that this application did not meet an eligibility requirement stated in the Request for Applications (RFA). Specifically, the RFA stated that "an applicant institution that is delinquent in programmatic and/or fiscal reporting for its CPRIT MIRA grant at the time of the grant application deadline is not eligible for additional MIRA funding." Upon investigation, it was determined that matching fund certifications for some projects were not submitted by the applicant prior to the application deadline. The matching funds certifications for all projects are now up to date. The PIC considered the mitigating circumstances - that a delay for which CPRIT processes were partly responsible contributed to the delinquency - in recommending approval of this application for grant funding.

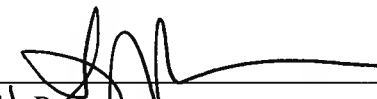
This statement is true."



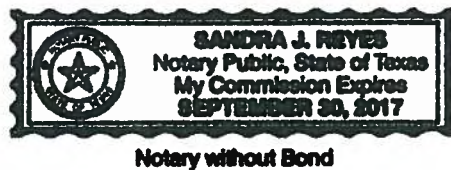
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 12th day of February, 2014,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Multi-Investigator Research Awards – Continuation (MIRA-C)
 APPLICATION ID RP140024
 APPLICATION TITLE Texas Cancer Diagnostics Pipeline Consortium
 APPLICANT NAME McDevitt, John
 ORGANIZATION Rice University
 PANEL NAME MIRA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	12/19/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	01/10/14	02/05/14	SRA International, Inc.
	Date application submitted	01/10/14	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/21/14	02/05/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	01/08/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	01/17/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	12/11/13	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/30/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/31/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/31/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	Richard O'Reilly	02/05/14	SRA International, Inc.
	COI recused from participation	YES	02/05/14	SRA International, Inc.
	Peer Review: Teleconference	02/03/14	02/05/14	SRA International, Inc.
	Third Party Observer Report	02/03/14	02/10/14	SRA International, Inc.
	Post review statements signed	02/09/14	02/10/14	SRA International, Inc.
	Score report delivered to CPRIT	02/05/14	02/05/14	SRA International, Inc.
4. Final SRC Recommendation	COI indicated by SRC member	**	02/07/14	SRA International, Inc.
	COI recused from participation	***	02/07/14	SRA International, Inc.
	Third Party Observer Report	02/03/14	02/10/14	SRA International, Inc.
	SRC meeting	02/03/14	02/07/14	SRA International, Inc.
	Recommended for PIC review	02/03/14	02/07/14	SRA International, Inc.
	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
5. PIC Review	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
	Approved by PIC	YES	02/07/14	SRA International, Inc.
6. CEO Recommendation	Recommended for slate by CEO	YES	02/26/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/26/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	AM,GG	02/26/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/26/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT - S Balderrama
	Award Approved by Oversight Committee	YES	02/26/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT

**SRC members who indicated a COI with an application recused themselves from the peer review meeting and did not participate in the discussion, scoring, or funding recommendation(s) for these applications during this meeting.

***All SRC members participated in the final ranking of applications after the peer review meetings. SRC members who had previously declared a COI did not recuse themselves from participation in the final ranking meeting since the discussion did not influence scoring.



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

**CEO Affidavit
Supporting Information**

FY 2014 – Cycle 1
***Multi-Investigator Research Awards Continuation for
Years 4 and 5***

Request for Applications



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-14-MIRA-C-1

Multi-Investigator Research Awards

Continuation for Years 4 and 5

**Please also refer to the Instructions for Applicants document,
which will be posted December 19, 2013**

Application Receipt Opening Date: December 19, 2013

Application Receipt Closing Date: January 10, 2014

FY 2014

Fiscal Year Award Period

September 1, 2013–August 31, 2014

TABLE OF CONTENTS

1. ABOUT CPRIT	5
2. EXECUTIVE SUMMARY	5
3. MECHANISM OF SUPPORT	6
4. CHARACTERISTICS OF MULTI-INVESTIGATOR RESEARCH AWARDS..	7
4.1. SYNERGY	7
4.2. LEADERSHIP.....	8
4.2.1. <i>Principal Investigator (PI)</i>	8
4.2.2. <i>Co-PI</i>	8
4.3. RESEARCH PROJECTS	8
4.4. CORE RESOURCES.....	9
4.5. COMMITMENT OF TIME AND EFFORT	9
4.6. PARTICIPATION ON MORE THAN ONE APPLICATION	10
5. FUNDING INFORMATION.....	11
6. ELIGIBILITY	11
7. RESUBMISSION POLICY.....	12
8. RESPONDING TO THIS RFA—APPLICATION GUIDELINES.....	13
8.1. APPLICATION SUBMISSION GUIDELINES	13
8.2. APPLICATION COMPONENTS	13
8.2.1. <i>Abstract and Significance (5,000 characters)</i>	13
8.2.2. <i>Layperson’s Summary (2,000 characters)</i>	14
8.2.3. <i>Overall Goals and Timeline (Two pages)</i>	14
8.2.4. <i>Overview of Research Program (Maximum of five pages)</i>	14
8.2.5. <i>Publications/References</i>	15
8.2.6. <i>Budget and Justification</i>	15
8.2.7. <i>Components: Research Projects and Core Resources</i>	15
9. RESEARCH PROJECT COMPONENTS	15
9.1. ABSTRACT (2,500 CHARACTERS)	15
9.2. LAYPERSON’S SUMMARY (2,000 CHARACTERS)	15
9.3. OVERALL GOALS AND TIMELINE (ONE PAGE).....	16

9.4.	SUMMARY OF PROGRESS (THREE PAGES).....	16
9.5.	RESEARCH PLAN (THREE PAGES).....	16
9.6.	SYNERGY ILLUSTRATION (ONE PAGE).....	17
10.	CORE RESOURCES COMPONENTS	17
10.1.	ABSTRACT (2,500 CHARACTERS).....	17
10.2.	OVERALL GOALS AND TIMELINE (ONE PAGE).....	17
10.3.	RESOURCE PLAN (TWO PAGES).....	17
10.4.	SYNERGY ILLUSTRATION (ONE PAGE).....	18
11.	ADMINISTRATIVE CORE COMPONENTS	18
11.1.	ADMINISTRATIVE PLAN (TWO PAGES)	18
11.2.	SUMMARY OF PROGRESS (THREE PAGES).....	18
11.3.	SYNERGY ILLUSTRATION (ONE PAGE).....	18
12.	APPLICATION REVIEW	18
12.1.	REVIEW PROCESS OVERVIEW	18
12.2.	CONFIDENTIALITY OF REVIEW	19
12.3.	REVIEW CRITERIA.....	20
13.	KEY DATES	20
14.	BUDGET AND JUSTIFICATION	21
15.	BIOGRAPHICAL SKETCHES.....	22
16.	CURRENT AND PENDING SUPPORT	22
17.	INSTITUTIONAL/COLLABORATOR SUPPORT AND/OR OTHER	
	CERTIFICATION (TWO PAGES).....	22
18.	PRODUCT DEVELOPMENT PLAN.....	22
19.	PUBLICATIONS RESULTING FROM PROGRAM.....	23
20.	AWARD ADMINISTRATION.....	23
21.	REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS	24
22.	CONTACT INFORMATION	25
22.1.	HELPDESK	25
22.2.	SCIENTIFIC AND PROGRAMMATIC QUESTIONS	25

RFA VERSION HISTORY

Rev 12/16/13 RFA release

01 SUMMARY OF PROGRAM (THIS PAGE) 1

02 RESEARCH PLAN (THIS PAGE) 2

03 SYNERGY ILLUSTRATION (ONE PAGE) 3

04 CORE RESEARCH COMPONENTS 4

05 ABSTRACT (SHORT FACTS) 5

06 OVERALL GOALS AND TIMELINE (ONE PAGE) 6

07 PERSONNEL (THIS PAGE) 7

08 SYNERGY ILLUSTRATION (ONE PAGE) 8

09 ADMINISTRATIVE CORE COMPONENTS 9

10 ADMINISTRATIVE PLAN (TWO PAGES) 10

11 SUMMARY OF PROGRESS (THREE PAGES) 11

12 SYNERGY ILLUSTRATION (ONE PAGE) 12

13 PUBLICATION REVIEW 13

14 REVIEW PROCESS OVERVIEW 14

15 CONFIDENTIALITY OF REVIEW 15

16 REVIEW CRITERIA 16

17 KEY DATES 17

18 BUDGET OR BUDGETATION 18

19 BUDGETARY SHEETS 19

20 CURRENT AND PENDING SUPPORT 20

21 INSTITUTIONAL OR LABORATORY SUPPORT AND/OR OTHER CURRENT FUNDING (TWO PAGES) 21

22 PROJECT DEVELOPMENT PLAN 22

23 PUBLICATION RESULTS FROM PROGRAM 23

24 NEW AND ADMINISTRATIVE 24

25 REQUIREMENT TO DEMONSTRATE ACADEMIC FIELDS 25

26 CONTACT INFORMATION 26

27 F. 100 Desk 27

28 SCIENCE AND PROGRAM FIELDS 28

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 and the citizens of Texas to:

- Create and expedite innovation in the area of cancer research and product or service development, thereby enhancing the potential for a medical or scientific breakthrough in the prevention, treatment, and possible cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the State of Texas; and
- Continue to develop and implement the Texas Cancer Plan by promoting the development and coordination of effective and efficient statewide public and private policies, programs, and services related to cancer and by encouraging cooperative, comprehensive, and complementary planning among the public, private, and volunteer sectors involved in cancer prevention, detection, treatment, and research.

CPRIT furthers cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research.

2. EXECUTIVE SUMMARY

This Request for Applications (RFA) solicits applications for the continuation of the Multi-Investigator Research Awards (MIRA) for Years 4 and 5 to support integrated programs of collaborative and cross-disciplinary research among multiple investigators and focus on critical research areas that contribute meaningfully to advancing knowledge of the causes, prevention, and/or treatment of cancer. **This award mechanism is open only to programs funded in 2010 pursuant to RFA R-10-MIRA1.** CPRIT encourages applicants to develop state-of-the-art technologies, tools, and/or resources for cancer

research, including those projects with potential product development opportunities. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and cure. To fulfill this vision, applications may address any research topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, or cure.

3. MECHANISM OF SUPPORT

CPRIT will fund Years 4 and 5 of the MIRAs that were originally funded in 2010 for 3 years pursuant to RFA R-10-MIRA1. MIRAs are intended to support the creation of integrated programs of collaborative and cross-disciplinary research among multiple investigators. The equivalent of program projects, centers, NCI SPOREs, shared instrumentation, core laboratories, clinical trials, or other types of collaborative interaction is appropriate. Teams will focus on critical areas of cancer research, especially those that have been inadequately addressed by research up to this point or for which there may be an absence of an established paradigm or technical framework. Laboratory research, translational studies, and clinical and epidemiological investigations may be supported. Awards are expected to promote a cooperative environment that fosters intensive interaction among members in all aspects of the research program. This approach is expected to transform the research process through the integration of basic and/or clinical disciplines, leading to the aggressive translation of scientific discoveries (including the development of databases and tissue banks) into tools and applications that have the potential to significantly impact cancer incidence, detection, treatment, and/or mortality.

While all investigators need not be trained specifically in cancer research, this award is intended to continue sustainable, collaborative programs of cancer research that cannot be effectively addressed by an individual researcher or a group of researchers within the same discipline. It is aimed at research programs that, by their complexity and interdisciplinary nature, require a cross-disciplinary team approach to achieve significant progress and sustainability, thereby creating a culture for teaching and research that

transcends traditional disciplinary boundaries. Clinical research or a clinical trial (Phase I, I/II, or II) may be included as part of the proposed program.

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

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

4. CHARACTERISTICS OF MULTI-INVESTIGATOR RESEARCH AWARDS

4.1. Synergy

Successful MIRA recipient programs are characterized by an exceptionally synergistic theme. Applications in response to this RFA must maintain a strong group of research projects and necessary core resources that contribute to a common goal in cancer research as a single, coherent entity. Synergy between projects and cores to support the overall objective of the proposed program and the multidisciplinary focus of each project and core are essential aspects of the award mechanism.

Research programs must continue to interact extensively with each other and, if applicable, with newly formed or established companies interested in bringing specific, Texas-based cancer discoveries to the market for the benefit of patients with cancer everywhere. Plans for such interactions should be further developed and described as part of the application.

4.2. Leadership

4.2.1. Principal Investigator (PI)

The overall research program will be directed and overseen by a PI. The PI is responsible for developing and managing an integrated and collaborative research environment that permits uninterrupted progress of the research projects regardless of distinct geographic locations of collaborators within the State. The PI must direct the required Administrative Core (see [Section 4.4](#)).

4.2.2. Co-PI

Each research project and core resource within the overall research program must be directed by a single individual designated as a Co-PI on the application for the overall research program. The Co-PI will be responsible for the research activities of his or her research project(s) and/or core resource(s) within the framework and goals of the overall research program. The PI may also direct a research project and/or core resource.

4.3. Research Projects

Research projects (also referred to as “projects” in this RFA) will challenge existing paradigms; develop or employ novel concepts, approaches, methodologies, tools, or technologies for the proposed cancer research area; or address important under- or unexplored areas. The thrust of the MIRA mechanism is to support research projects that lead to truly substantial advances in the field rather than add modest increments of insight. Each project must be poised individually to make significant contributions to the field of cancer research as well as to be complementary to the overall research program.

The guidelines for research projects are as follows:

- Minimum: Three projects
- Maximum: Five projects
- Each research project must be directed by the PI or by a Co-PI. There is no restriction on the number of projects that the PI or a Co-PI can direct within one MIRA application.
- **New projects may not be added in this award continuation.**

4.4. Core Resources

Supporting core resources (also referred to as “cores” in this RFA) constitute integral components of multi-investigator research programs by providing the expertise and/or infrastructure essential to the completion of the individual research projects. Examples of core resources include, but are not limited to, Administrative Core, Tissue/Specimen Core, Sequencing/Bioinformatics Core, Histopathology Core, and Imaging Core. All applications submitted in response to this RFA must include an Administrative Core that comprehensively coordinates all activities proposed within the objectives of the projects and cores.

The guidelines for core resources are as follows:

- Minimum: Administrative Core
- Maximum: Three Technical Cores
- A maximum of four cores is permitted (i.e., the Administrative Core and three Technical Cores).
- **New cores may not be added in this award continuation.**
- Each core must be directed by the PI or by a Co-PI. There is no restriction on the number of cores that the PI or a Co-PI can direct within one MIRA application. The Administrative Core must be directed by the PI.
- Cores should include clear descriptions of the projects they are designed to support.
- Research projects must **not** be submitted as cores in an attempt to circumvent the limitation on the number of research projects that may be submitted as part of a single MIRA application.

4.5. Commitment of Time and Effort

Investigators are expected to commit *significant percentage effort* to research projects and cores. As a strong guideline, the PI should commit 15-percent effort to the overall research program; this includes effort on the required Administrative Core that must be directed by the PI. A project/core lead (i.e., the PI or a Co-PI) should commit 10-percent effort for each project and/or core that he or she directs.

As examples:

- The PI of a multi-investigator research program who is leading only the Administrative Core—not any project or Technical Core on the application—should commit 15-percent effort.
- The PI of a multi-investigator research program who is also leading one project or one Technical Core on the application—in addition to the required Administrative Core—should commit 25-percent effort.
- A Co-PI who is leading a single project or a single core should commit 10-percent effort.
- A Co-PI who is leading a project and a core should commit 20-percent effort.

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

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

4.6. Participation on More Than One Application

CPRIT is concerned that many investigators appear frequently as part of several different research programs, which makes it difficult to discern the investigators' commitment to a given project. CPRIT requires that investigators be named on only one MIRA application in a given funding cycle, regardless of their role. However, CPRIT recognizes that specific individuals directing and/or participating in core resources (e.g., Biostatistics,

Bioinformatics, or Histopathology Cores) may be involved in multiple research studies. A common set of tools may be applied in more than one situation, leading to economies of scale (but **not** duplications of budgets). Thus, exceptions to investigators being listed on only one application may be made if prior permission has been requested and granted. Reductions in percentage effort will usually not be approved after an application is funded unless there have been major changes in scope and, therefore, in budget.

5. FUNDING INFORMATION

The maximum period of performance for this continuation award is 2 years. The maximum amount that may be requested by applicants is two-thirds of the total amount awarded as part of the initial 3-year contract. Funds may be used for salary and fringe benefits, research supplies, equipment, clinical costs, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism.

6. ELIGIBILITY

- **An applicant institution that is delinquent in programmatic and/or fiscal reporting for its CPRIT MIRA grant at the time of the grant application deadline is not eligible for additional MIRA funding.**
- The applicant must be a Texas-based entity that previously received MIRA funding pursuant to RFA R-10-MIRA1.
- The PI and Co-PIs must have a doctoral degree, including M.D., Ph.D., D.D.S., D.M.D., Dr.P.H., D.O., D.V.M., or equivalent. The PI must reside in Texas during the time the research that is the subject of the grant is conducted.
- Collaborations are permitted and encouraged and collaborators, including Co-PIs, 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 individual should be listed on only one application submitted under this continuation RFA during this funding cycle, regardless of his or her role (note exceptions stated in Section 4.6).
- 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 one or more of these individuals within the second degree of consanguinity or affinity), have 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 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 the individuals will receive salary or compensation under the grant award, is currently ineligible to receive Federal grant funds or has 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 State law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time that 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 20 and Section 21. All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

7. RESUBMISSION POLICY

Applications submitted in response to this RFA are not eligible for resubmission.

8. RESPONDING TO THIS RFA—APPLICATION GUIDELINES

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 Authorized Signing Official (ASO), the 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 12 p.m. Central Time on December 19, 2013 and must be submitted by 3 p.m. Central Time on January 10, 2014. **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. Submissions that are missing one or more of these components or that do not meet the eligibility requirements listed in [Section 6](#) will be administratively withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

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

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

Provide a layperson's summary of the proposed program. Describe in simple, nontechnical terms the overall goals of the proposed program, the type(s) of cancer addressed, the potential significance of the results, and the impact of the program on advancing the field of cancer research. 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.

8.2.3. Overall Goals and Timeline (Two pages)

List specific goals and objectives for each year of the program. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of program success. 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 to be confidential or proprietary when preparing this section.

8.2.4. Overview of Research Program (Maximum of five pages)

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

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

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

Summary of Progress: Describe the progress made toward achieving the goals and objectives of the originally proposed and implemented program. Provide a brief summary of the progress of the program, results obtained to date, problems/issues encountered and actions taken, and include information about any publications, patents/patent

applications, and/or economic impact. Information provided should be based on stated specific aims and goals as set forth in the original Scope of Work as approved.

8.2.5. Publications/References

Provide a concise and relevant list of publications/references cited for the overall research program.

8.2.6. Budget and Justification

Provide an overall budget and a compelling justification of the budget for the entire proposed period of support for all the projects and core resources, including indirect costs. See [Section 14](#) for additional details and for guidance regarding indirect costs.

8.2.7. Components: Research Projects and Core Resources

Each project and core must be submitted individually as directed in CARS. Projects and cores should be labeled numerically (Project 1 to Project 5, Core 1 to Core 3). The Administrative Core should be labeled as such and should not be numerically labeled.

9. RESEARCH PROJECT COMPONENTS

The following items (Sections 9.1–9.6) and items listed in Sections 14–16 are required for research projects. Sections 17–19 should be completed, if applicable.

9.1. Abstract (2,500 characters)

Explain the question or problem to be addressed and the approach to its answer or solution. Address how the proposed project, if successful, will have a major impact on the field of cancer research or on the care of patients with cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. State the synergistic value that the individual research project presents to the goals of the overall application.

9.2. 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. 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.

9.3. Overall Goals and Timeline (One page)

List specific goals and objectives for each year of the research project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success. 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 to be confidential or proprietary when preparing this section.

9.4. Summary of Progress (Three pages)

Describe the progress made in achieving the goals and objectives of the originally proposed and implemented project. Provide a brief summary of the progress of the project, results obtained to date, problems/issues encountered and actions taken, and include information about any publications, patents/patent applications, and/or economic impact. Information provided should be based around the stated specific aims and goals as set forth in the original Scope of Work as approved.

9.5. Research Plan (Three pages)

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

Research Strategy: Briefly describe the proposed studies for this grant period including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Explain the rationale for any changes in direction.

Vertebrate Animals and/or Human Subjects: If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or

human biological samples will be used, provide a plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

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

9.6. Synergy Illustration (One page)

Provide a diagrammatic representation of the synergistic interactions between this project and other research projects and/or core resources during the initial 3-year funding period.

10. CORE RESOURCES COMPONENTS

The following items (Sections 10.1–10.4) and items listed in Sections 14–16 are required for core resources. Sections 17–19 should be completed, if applicable.

10.1. Abstract (2,500 characters)

Summarize the proposed core resource. Clearly state the project(s) that the core will support and the synergistic value that it provides to the goals of the research project(s).

10.2. Overall Goals and Timeline (One page)

List specific goals and objectives for each year of the core resource. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of core resource. 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 to be confidential or proprietary when preparing this section.

10.3. Resource Plan (Two pages)

Background: Present the rationale behind continuing the proposed core resource.

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

10.4. Synergy Illustration (One page)

Provide a diagrammatic representation of synergistic interactions between this core and other research projects and/or core resources of the research program.

11. ADMINISTRATIVE CORE COMPONENTS

The following items (Sections 11.1–11.3) and items listed in Sections 14–16 are required for each Administrative Core.

11.1. Administrative Plan (Two pages)

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

11.2. Summary of Progress (Three pages)

Describe the progress made toward achieving the goals and objectives of the originally proposed and implemented project. Provide a brief summary of the progress of the project, results obtained to date, problems/issues encountered and actions taken, and include information about any publications, patents/patent applications, and/or economic impact. Information provided should be based on stated specific aims and goals as set forth in the original Scope of Work as approved.

11.3. Synergy Illustration (One page)

Provide a diagrammatic representation of interactions between the Administrative Core and all research projects and core resources of the research program.

12. APPLICATION REVIEW

12.1. Review Process Overview

All eligible applications will be evaluated, scored, and recommended for funding by the CPRIT Scientific Review Council using the criteria listed below.

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

12.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, Program Integration Committee 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 Program Integration Committee member, or a Scientific Review Council member. Applicants should note that the CPRIT Program Integration Committee is comprised of the CPRIT Chief Executive Officer, the

Application review February 2014

Award

Award notification February 2014

Anticipated start date March 1, 2014

14. BUDGET AND JUSTIFICATION

For each research project and core resource (including the Administrative Core), provide a budget and a compelling justification for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, other expenses, and indirect costs. The maximum amount that may be requested is two-thirds of the total amount awarded as part of the initial three year contract. Reasonable budgets clearly work in the favor of the applicant and are encouraged.

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 State law limits the amount of grant funds that may be spent on indirect costs to no more than 5 percent of the total award amount (5.263 percent of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cprit.state.tx.us. So-called Grants Management and Facilities Fees (e.g., sponsored programs fee; 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 2014 and 2015 is \$200,000; CPRIT FY 2014 is from September 1, 2013 through August 31, 2014 and FY 2015 is from September 1, 2014 through August 31, 2015. Salary does not include fringe

benefits and/or facilities and administrative (F&A) 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.

15. BIOGRAPHICAL SKETCHES

A biographical sketch is required for the individual leading each project/core (i.e., the PI/Co-PI). Up to two additional biographical sketches for other key personnel on the project/core may be provided. The biographical sketch should describe the individual's education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed two pages.

16. 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 for each project/core. For each award, provide the title, a two-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 project/core lead must be provided.

17. INSTITUTIONAL/COLLABORATOR SUPPORT AND/OR OTHER CERTIFICATION (TWO PAGES)

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

18. PRODUCT DEVELOPMENT PLAN

If the proposed research will lead to the development of a product that requires regulatory filing, applicants must complete a product development plan. Applicants have the option

of submitting a product development plan for the entire application and/or for individual projects/cores.

If two or fewer projects/cores have the potential for product development, then a product development plan for only those projects/cores will suffice.

If three or more projects/cores have the potential for product development, then the applicants should consider submitting a product development plan for the projects and cores in question and also a product development plan for the entire application. This decision is at the discretion of the PI and Co-PI(s).

Applications that are missing one or more of these components, exceed the specified page, word, or budget limits, or that do not meet the eligibility requirements listed in [Section 6](#) will be administratively rejected without review.

19. PUBLICATIONS RESULTING FROM PROGRAM

Provide a list of publications resulting from this program so far.

20. 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.state.tx.us. 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.state.tx.us.

21. 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 that 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.

22. CONTACT INFORMATION

22.1. HelpDesk

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

Dates of operation: December 19, 2013 – January 10, 2014 (excluding public holidays)

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. Central Time
Wednesday, 8 a.m. to 4 p.m. Central Time

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

22.2. Scientific and Programmatic Questions

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Research Program Director.

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Web site: www.cprit.state.tx.us

Third Party Observer Report

CPRIT Scientific Review Council Observation Report

Panel Name: Scientific Review Council Meeting – Multi- Investigator
Research Awards Continuation for Years 4 and 5

Panel Date: February 3, 2014

Report Date: February 3, 2014

Background

As part of CPRIT's on-going 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 is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized its out-sourced internal audit provider to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council review of Multi-Investigator Research Awards Continuation for Years 4 and 5. The meeting was chaired by Richard Kolodner and held over the phone on February 3, 2014.

Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation 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;
- The peer review panel discussion is focused on the established scoring criteria.

Observation Results Summary

Internal Audit participated in the Scientific Review Council meeting held telephonically and chaired by Richard Kolodner on February 3, 2014. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator.

Internal Audit noted the following during our observation:

- Five research applications were discussed and evaluated by the Scientific Review Council to determine which grants would receive CPRIT funding.
- Eight council members, three CPRIT staff members, and two SRA employees were present for the Council meeting over the phone.

- Two conflicts of interest were identified prior to or during the call. The council members with conflicts of interest left the teleconference and did not participate in the review of the conflicted applications.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the peer review panel's discussion of scientific, technical or programmatic aspects of the applications.

Internal Audit was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. 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 and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

De-Identified Overall Evaluation Scores

Multi-Investigator Research Awards Continuation for Years 4 and 5

De-identified Final Overall Evaluation Score for all applicants

1	2.1
2	1.1
3	2.0
4	6.0
5	4.7

Final Overall Evaluation Scores and Rank Order Scores

Rank	Application ID	Organization	Title	Mechanism	Project Budget (Requested)	Overall score
1	RP140020	The University of Texas Medical Branch at Galveston	Comparative Effectiveness Research on Cancer in Texas (CERCIT)	MIRA-C	\$3,231,048	1.1
2	RP140110	The University of Texas Southwestern Medical Center	Cancer Intervention and Prevention Discoveries Program	RTA-C	\$1,916,038	1.9
3	RP140024	Rice University	Texas Cancer Diagnostics Pipeline Consortium	MIRA-C	\$3,912,225	2.0
3	RP140102	Baylor College of Medicine	Baylor College of Medicine Comprehensive Cancer Training Program	RTA-C	\$1,574,628	2.0
5	RP140021	The University of Texas Southwestern Medical Center	Novel MRI and MRS Methods for Imaging Cancer Metabolism	MIRA-C	\$1,758,888	2.1
6	RP140103	The University of Texas Health Science Center at Houston	Collaborative Training of a New Cadre of Innovative Cancer Prevention Researchers	RTA-C	\$1,745,076	2.3
7	RP140113	University of Houston	Continuation of Computational Cancer Biomedicine Training Program	RTA-C	\$1,591,594	2.7
7	RP140105	The University of Texas Health Science Center at San Antonio	Cancer Research Training Grant	RTA-C	\$1,588,673	2.7
9	RP140108	The University of Texas at Austin	Molecularly-Targeted Approaches to Cancer Therapeutics, Diagnostics and Prevention	RTA-C	\$1,648,814	3.7
10	RP140106	The University of Texas M. D. Anderson Cancer Center	The Future of Cancer Research: Training Program for Basic and Translational Scientists	RTA-C	\$1,710,524	4.1
11	RP140022	Baylor College of Medicine	Targeted Therapies for Metastatic Osteosarcoma	MIRA-C	\$2,220,472	4.7



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

CEO AFFIDAVIT

Application RP140102

Research Training Award Continuation Grants for Years 4 and 5

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 the *Research Training Award Continuation Grants for Years 4 and 5* Request for Applications (RFA). CPRIT received 7 applications for this RFA. The 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:

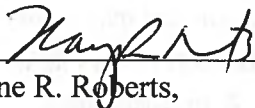
- The applicable Request for Applications (RFA) for this grant cycle
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications 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 related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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.

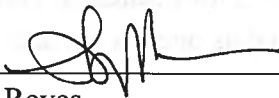
This statement is true."



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, 2014,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards - Continuation Awards (RTA-C)
APPLICATION ID RP140102
APPLICATION TITLE Baylor College of Medicine Comprehensive Cancer Training Program
APPLICANT NAME Rosen, Jeffrey
ORGANIZATION Baylor College of Medicine
PANEL NAME RTA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	12/17/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	01/03/14	02/05/14	SRA International, Inc.
	Date application submitted	12/26/13	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/10/14	02/05/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	01/08/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	12/11/13	02/05/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	01/07/14	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/24/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/26/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/27/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	Carol Prives	02/05/14	SRA International, Inc.
	COI recused from participation	YES	02/05/14	SRA International, Inc.
	Peer Review: Teleconference	01/31/14	02/05/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	Post review statements signed	02/06/14	02/07/14	SRA International, Inc.
	Score report delivered to CPRIT	02/05/14	02/05/14	SRA International, Inc.
4. Final SRC Recommendation	COI indicated by SRC member	**	02/07/14	SRA International, Inc.
	COI recused from participation	***	02/07/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	SRC meeting	01/31/14	02/10/14	SRA International, Inc.
	Recommended for PIC review	01/31/14	02/10/14	SRA International, Inc.
	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
5. PIC Review	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
	Approved by PIC	YES	02/07/14	SRA International, Inc.
6. CEO Recommendation	Recommended for slate by CEO	YES	02/27/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/27/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/27/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/27/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/27/14	CPRIT - S Balderrama
	Award Approved by Oversight Committee	YES	02/27/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/27/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT

**SRC members who indicated a COI with an application recused themselves from the peer review meeting and did not participate in the discussion, scoring, or funding recommendation(s) for these applications during this meeting.

***All SRC members participated in the final ranking of applications after the peer review meetings. SRC members who had previously declared a COI did not recuse themselves from participation in the final ranking meeting since the discussion did not influence scoring.



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

CEO AFFIDAVIT

Application RP140103

Research Training Award Continuation Grants for Years 4 and 5

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 the *Research Training Award Continuation Grants for Years 4 and 5* Request for Applications (RFA). CPRIT received 7 applications for this RFA. The 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:

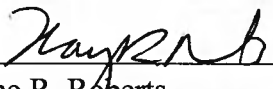
- The applicable Request for Applications (RFA) for this grant cycle
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications 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

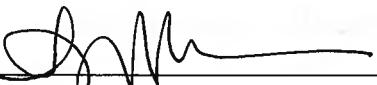

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached 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 related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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 <u>7th</u> day of <u>February</u> , 2014, by WAYNE R. ROBERTS.
 _____ Sandra Reyes Notary Public, State of Texas
 Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards - Continuation Awards (RTA-C)
APPLICATION ID RP140103
APPLICATION TITLE Collaborative Training of a New Cadre of Innovative Cancer Prevention Researchers
APPLICANT NAME Ness, Roberta
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME RTA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	12/17/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	01/03/14	02/05/14	SRA International, Inc.
	Date application submitted	01/03/14	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/10/14	02/05/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	12/06/13	02/05/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	01/07/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	01/09/14	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/20/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/27/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/14/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	02/05/14	SRA International, Inc.
	COI recused from participation	N/A	02/05/14	SRA International, Inc.
	Peer Review: Teleconference	01/31/14	02/05/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	Post review statements signed	02/06/14	02/07/14	SRA International, Inc.
	Score report delivered to CPRIT	02/05/14	02/05/14	SRA International, Inc.
4. Final SRC Recommendation	COI indicated by SRC member	NONE	02/07/14	SRA International, Inc.
	COI recused from participation	N/A	02/07/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	SRC meeting	01/31/14	02/10/14	SRA International, Inc.
	Recommended for PIC review	01/31/14	02/10/14	SRA International, Inc.
	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
5. PIC Review	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
	Approved by PIC	YES	02/07/14	SRA International, Inc.
6. CEO Recommendation	Recommended for slate by CEO	YES	02/27/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/27/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/27/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/27/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/27/14	CPRIT - S Balderrama
	Award Approved by Oversight Committee	YES	02/27/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/27/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP140105
Research Training Award Continuation Grants for Years 4 and 5

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 the *Research Training Award Continuation Grants for Years 4 and 5* Request for Applications (RFA). CPRIT received 7 applications for this RFA. The 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:

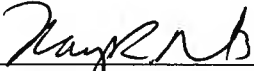
- The applicable Request for Applications (RFA) for this grant cycle
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications 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 related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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.”



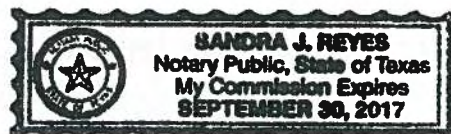
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2014,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards - Continuation Awards (RTA-C)
APPLICATION ID RP140105
APPLICATION TITLE Cancer Research Training Grant
APPLICANT NAME Oyajobi, Babatunde
ORGANIZATION The University of Texas Health Science Center at San Antonio
PANEL NAME RTA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	12/17/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	01/03/14	02/05/14	SRA International, Inc.
	Date application submitted	01/03/14	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/10/14	02/05/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	01/09/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	01/09/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	01/08/14	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/20/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/27/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/24/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	02/05/14	SRA International, Inc.
	COI recused from participation	N/A	02/05/14	SRA International, Inc.
	Peer Review: Teleconference	01/31/14	02/05/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	Post review statements signed	02/06/14	02/07/14	SRA International, Inc.
	Score report delivered to CPRIT	02/05/14	02/05/14	SRA International, Inc.
4. Final SRC Recommendation	COI indicated by SRC member	NONE	02/07/14	SRA International, Inc.
	COI recused from participation	N/A	02/07/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	SRC meeting	01/31/14	02/10/14	SRA International, Inc.
	Recommended for PIC review	01/31/14	02/10/14	SRA International, Inc.
	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
5. PIC Review	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
	Approved by PIC	YES	02/07/14	SRA International, Inc.
6. CEO Recommendation	Recommended for slate by CEO	YES	02/27/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/27/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/27/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/27/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/27/14	CPRIT - S Balderrama
	Award Approved by Oversight Committee	YES	02/27/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/27/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

CEO AFFIDAVIT

Application RP140106

Research Training Award Continuation Grants for Years 4 and 5

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 the *Research Training Award Continuation Grants for Years 4 and 5* Request for Applications (RFA). CPRIT received 7 applications for this RFA. The 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:

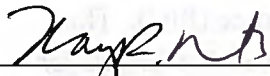
- The applicable Request for Applications (RFA) for this grant cycle
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications 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 related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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.

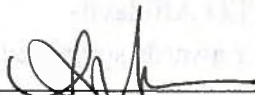
This statement is true."



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, 2014,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards - Continuation Awards (RTA-C)
APPLICATION ID RP140106
APPLICATION TITLE The Future of Cancer Research: Training Program for Basic and Translational Scientists
APPLICANT NAME Watowich, Stephanie
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME RTA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	12/17/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	01/03/14	02/05/14	SRA International, Inc.
	Date application submitted	12/31/13	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/10/14	02/05/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	12/11/13	02/05/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	12/06/13	02/05/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	01/09/14	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/25/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/20/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/27/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	02/05/14	SRA International, Inc.
	COI recused from participation	N/A	02/05/14	SRA International, Inc.
	Peer Review: Teleconference	01/31/14	02/05/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	Post review statements signed	02/06/14	02/07/14	SRA International, Inc.
	Score report delivered to CPRIT	02/05/14	02/05/14	SRA International, Inc.
4. Final SRC Recommendation	COI indicated by SRC member	NONE	02/07/14	SRA International, Inc.
	COI recused from participation	N/A	02/07/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	SRC meeting	01/31/14	02/10/14	SRA International, Inc.
	Recommended for PIC review	01/31/14	02/10/14	SRA International, Inc.
	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
5. PIC Review	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
	Approved by PIC	YES	02/07/14	SRA International, Inc.
6. CEO Recommendation	Recommended for slate by CEO	YES	02/27/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/27/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/27/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/27/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/27/14	CPRIT - S Balderrama
	Award Approved by Oversight Committee	YES	02/27/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/27/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

CEO AFFIDAVIT

Application RP140108

Research Training Award Continuation Grants for Years 4 and 5

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 the *Research Training Award Continuation Grants for Years 4 and 5* Request for Applications (RFA). CPRIT received 7 applications for this RFA. The 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:

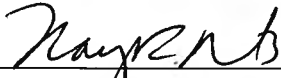
- The applicable Request for Applications (RFA) for this grant cycle
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications 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 related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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.

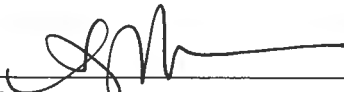
This statement is true."



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, 2014,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards - Continuation Awards (RTA-C)
APPLICATION ID RP140108
APPLICATION TITLE Molecularly-Targeted Approaches to Cancer Therapeutics, Diagnostics and Prevention
APPLICANT NAME Sessler, Jonathan
ORGANIZATION The University of Texas at Austin
PANEL NAME RTA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	12/17/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	01/03/14	02/05/14	SRA International, Inc.
	Date application submitted	01/03/14	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/10/14	02/05/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	01/07/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	01/17/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	12/06/13	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/27/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/28/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/20/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	02/05/14	SRA International, Inc.
	COI recused from participation	N/A	02/05/14	SRA International, Inc.
	Peer Review: Teleconference	01/31/14	02/05/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	Post review statements signed	02/06/14	02/07/14	SRA International, Inc.
	Score report delivered to CPRIT	02/05/14	02/05/14	SRA International, Inc.
4. Final SRC Recommendation	COI indicated by SRC member	NONE	02/07/14	SRA International, Inc.
	COI recused from participation	N/A	02/07/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	SRC meeting	01/31/14	02/10/14	SRA International, Inc.
	Recommended for PIC review	01/31/14	02/10/14	SRA International, Inc.
	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
5. PIC Review	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
	Approved by PIC	YES	02/07/14	SRA International, Inc.
6. CEO Recommendation	Recommended for slate by CEO	YES	02/27/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/27/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/27/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/27/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/27/14	CPRIT - S Balderrama
	Award Approved by Oversight Committee	YES	02/27/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/27/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP140110
Research Training Award Continuation Grants for Years 4 and 5

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 the *Research Training Award Continuation Grants for Years 4 and 5* Request for Applications (RFA). CPRIT received 7 applications for this RFA. The 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:

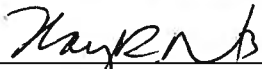
- The applicable Request for Applications (RFA) for this grant cycle
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications 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 related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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.

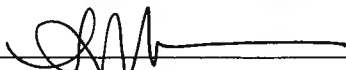
This statement is true."



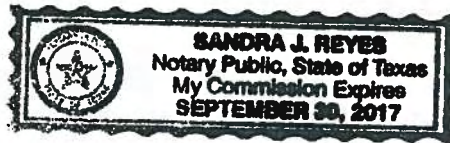
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 7th day of February, 2014,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards - Continuation Awards (RTA-C)
APPLICATION ID RP140110
APPLICATION TITLE Cancer Intervention and Prevention Discoveries Program
APPLICANT NAME White, Michael
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME RTA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	12/17/13	02/05/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	01/03/14	02/05/14	SRA International, Inc.
	Date application submitted	01/02/14	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/10/14	02/05/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	01/09/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	01/08/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	01/17/14	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/28/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/24/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/28/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	02/05/14	SRA International, Inc.
	COI recused from participation	N/A	02/05/14	SRA International, Inc.
	Peer Review: Teleconference	01/31/14	02/05/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	Post review statements signed	02/06/14	02/07/14	SRA International, Inc.
4. Final SRC Recommendation	Score report delivered to CPRIT	02/05/14	02/05/14	SRA International, Inc.
	COI indicated by SRC member	NONE	02/07/14	SRA International, Inc.
	COI recused from participation	N/A	02/07/14	SRA International, Inc.
	Third Party Observer Report	01/31/14	02/10/14	SRA International, Inc.
	SRC meeting	01/31/14	02/10/14	SRA International, Inc.
	Recommended for PIC review	01/31/14	02/10/14	SRA International, Inc.
5. PIC Review	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
6. CEO Recommendation	Approved by PIC	YES	02/07/14	SRA International, Inc.
	Recommended for slate by CEO	YES	02/27/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/27/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/27/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/27/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/27/14	CPRIT - S Balderrama
	Award Approved by Oversight Committee	YES	02/27/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/27/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP140113
Research Training Award Continuation Grants for Years 4 and 5

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 the *Research Training Award Continuation Grants for Years 4 and 5* Request for Applications (RFA). CPRIT received 7 applications for this RFA. The 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:

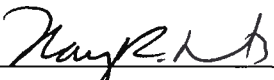
- The applicable Request for Applications (RFA) for this grant cycle
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications 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 related to this application. I note that two members of the PIC, Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David L. Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2014 applicable to the conflict of interest specified by V.T.C.A. Health & Safety Code § 102.106(c)(3).

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, 2014,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2014
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards - Continuation Awards (RTA-C)
APPLICATION ID RP140113
APPLICATION TITLE Continuation of Computational Cancer Biomedicine Training Program
APPLICANT NAME Bose, Rathindra
ORGANIZATION University of Houston
PANEL NAME RTA-Continuation Review Panel

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA published in Texas Register	12/27/13	02/05/14	SRA International, Inc.
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	Date application submitted	12/23/13	02/05/14	SRA International, Inc.
	Method of submission	CARS	02/05/14	SRA International, Inc.
	Within receipt period	YES	02/05/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	02/05/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	02/05/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	02/05/14	SRA International, Inc.
	Assigned to primary reviewers	01/10/14	02/05/14	SRA International, Inc.
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	Primary Reviewer 3 COI signed	12/11/13	02/05/14	SRA International, Inc.
3. Peer Review	Primary Reviewer 1 critique submitted	01/28/14	02/05/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	01/20/14	02/05/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	01/26/14	02/05/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	02/05/14	SRA International, Inc.
	COI recused from participation	N/A	02/05/14	SRA International, Inc.
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	SRC meeting	01/31/14	02/10/14	SRA International, Inc.
	Recommended for PIC review	01/31/14	02/10/14	SRA International, Inc.
	SRC Chair Notification to PIC and OC	02/05/14	02/07/14	SRA International, Inc.
5. PIC Review	PIC review meeting	02/06/14	02/07/14	SRA International, Inc.
	Approved by PIC	YES	02/07/14	SRA International, Inc.
6. CEO Recommendation	Recommended for slate by CEO	YES	02/27/14	CPRIT - S Balderrama
7. Oversight Committee Ratification	CEO Notification to Oversight Committee	02/13/14	02/27/14	CPRIT - S Balderrama
	COI indicated by Oversight Committee member	Amy Mitchell	02/27/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/27/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/27/14	CPRIT - S Balderrama
	Award Approved by Oversight Committee	YES	02/27/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/27/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

**CEO Affidavit
Supporting Information**

FY 2014 – Cycle 1
*Research Training Awards Continuation
for Years 4 and 5*

Request for Applications



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-14-RTA-C-1

Research Training Awards

Continuation for Years 4 and 5

**Please also refer to the Instructions for Applicants document,
which will be posted December 19, 2013**

Application Receipt Opening Date: December 19, 2013
Application Receipt Closing Date: January 3, 2014

FY 2014

Fiscal Year Award Period

September 1, 2013–August 31, 2014

TABLE OF CONTENTS

1. ABOUT CPRIT	5
2. EXECUTIVE SUMMARY	5
3. MECHANISM OF SUPPORT	6
4. RESEARCH OBJECTIVES	7
5. FUNDING INFORMATION	8
6. KEY DATES.....	10
7. ELIGIBILITY	10
8. RESUBMISSION POLICY	12
9. RENEWAL POLICY	12
10. APPLICATION REVIEW	12
10.1. REVIEW PROCESS OVERVIEW	12
10.2. CONFIDENTIALITY OF REVIEW	12
10.3. REVIEW CRITERIA.....	13
10.3.1. Primary Criteria.....	14
10.3.2. Secondary Criteria.....	15
11. RESPONDING TO THIS RFA	15
11.1. APPLICATION SUBMISSION GUIDELINES	15
11.2. APPLICATION COMPONENTS	16
11.2.1. Summary (5,000 characters).....	16
11.2.2. Goals and Objectives	16
11.2.3. Timeline (One page)	16
11.2.4. Research Training Plan (Ten pages).....	17
11.2.5. Publications/References.....	18
11.2.6. Budget and Justification	18
11.2.7. PI, Co-PI, and Mentor Information.....	19
11.2.8. Institutional Current and Pending Support	19
11.2.9. Training Record.....	19
11.2.10. Current Trainee Pool.....	19
11.2.11. Institutional Environment and Commitment.....	19
12. AWARD ADMINISTRATION.....	20
13. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS.....	21

14. CONTACT INFORMATION..... 21
14.1. HELPDESK 21
14.2. SCIENTIFIC AND PROGRAMMATIC QUESTIONS 21

RFA VERSION HISTORY

Rev 12/9/13 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 and the citizens of Texas to:

- Create and expedite innovation in the area of cancer research and product or service development, thereby enhancing the potential for a medical or scientific breakthrough in the prevention, treatment, and possible cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the State of Texas; and
- Continue to develop and implement the Texas Cancer Plan by promoting the development and coordination of effective and efficient statewide public and private policies, programs, and services related to cancer and by encouraging cooperative, comprehensive, and complementary planning among the public, private, and volunteer sectors involved in cancer prevention, detection, treatment, and research.

CPRIT furthers cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research.

2. EXECUTIVE SUMMARY

This RFA solicits applications seeking to continue the integrated institutional Research Training Awards (RTA) for Years 4 and 5 to support promising individuals who seek specialized training in the area of cancer research. **This award mechanism is open only to programs funded in 2010 pursuant to RFA R-10-RTA1.** The goals of the RTAs are to attract outstanding predoctoral (Ph.D. or M.D./Ph.D.) and postdoctoral trainees committed to:

- Pursuing a career in basic, translational, or clinical cancer research;
- Expanding the skills and expertise of trainees to promote the next generation of investigators and leaders in cancer research;

- Positioning most trainees for independent research careers; and
- Supporting the development of high-quality, innovative, and creative research that, if successful, could provide the basis for a significant impact on cancer prevention, detection, and/or treatment.

Individuals from underrepresented racial and ethnic groups, individuals with disabilities, and individuals from disadvantaged backgrounds are especially encouraged to participate in CPRIT's training programs. In addition to predoctoral and postdoctoral research training, potential opportunities include master's degree-level programs to train clinical investigators; undergraduate summer research internship programs, including those directed at recruitment of underrepresented minorities; and master's degree-level programs to encourage the pursuit of alternative careers in laboratory support positions. **Awards will be made for institutional programs; individual fellowship applications will not be considered.** 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, trainees may pursue any research topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, or cure.

3. MECHANISM OF SUPPORT

CPRIT will fund Years 4 and 5 of the RTA programs that were originally funded in 2010 for 3 years pursuant to RFA R-10-RTA1. Programs are encouraged to provide a breadth of pre- and postdoctoral research training opportunities consistent with individual institutional strengths. Successful applicant institutions are expected to provide trainees with broad access to research opportunities across disciplinary and departmental lines and to maintain high standards for intellectual rigor and creativity. Under the leadership of the Principal Investigator (PI), the overall goal is to promote innovative research training in areas relevant to the prevention, detection, or treatment of cancer. It is expected that these training opportunities will increase the number of future investigators with knowledge, expertise, and skills in basic, translational, clinical, or population-based cancer research. Each supported trainee and his or her mentor and institution are jointly responsible for planning, directing, and executing the proposed research training program.

It is expected that the research training experience will provide:

- A strong foundation in research design, methods, and analytic techniques appropriate to the proposed research project;
- The development or enhancement of the supported trainee's ability to conceptualize and think through research problems with increasing independence;
- Experience in conducting, presenting, and publishing independent research;
- Instruction in the responsible conduct of research;
- The opportunity to interact with members of the scientific community at appropriate seminars, scientific meetings, and workshops; and
- A well-conceived career plan to increase the trainee's ability to secure additional support for his or her research.

Attracting the finest trainees to Texas laboratories and academic institutions is critically important for the local cancer research enterprises, but it is acknowledged that a significant number of those trained in Texas may ultimately seek positions elsewhere.

4. RESEARCH OBJECTIVES

The goal of this award is to facilitate the training of the next generation of outstanding cancer researchers. Achieving this goal will help ensure that a diverse pool of highly trained scientists is available in adequate numbers and in appropriate research areas to address the basic, translational, clinical, and population-based cancer research needs of the State and Nation. Training is expected to be directed toward building the broad research competence required to ensure that trainees are prepared to assume leadership roles in cancer research. This award supports the training of highly qualified individuals, both predoctoral and postdoctoral, who have the potential to become productive, independent research scientists or physician-scientists who intend to pursue careers focused on cancer research.

Committed institutional support is required in the form of superb research opportunities, excellent instruction and mentoring, and state-of-the-art facilities. Trainees are expected to be immersed in a highly interactive and supportive didactic and research program that facilitates research and instruction in cancer-related areas. These programs should contribute innovative approaches to key problems and will help bring novel solutions and potential therapies into

practice. The training environment should be enriched by programmatic elements such as seminars from visiting researchers, journal clubs, internal research seminars, videoconferencing with collaborating institutions (if applicable), and attendance at national and/or international scientific meetings. Each supported trainee is expected to identify an appropriate mentor and/or mentoring committee that will be responsible for providing critical teaching, advising, and leadership experience.

In addition to support of Ph.D. or M.D./Ph.D. and postdoctoral research training, potential opportunities include the following:

- Master's degree-level programs to train clinical investigators. Trainees may be in predoctoral (M.D./M.S.) programs or clinical fellowship positions, or they should have just received their first faculty appointment as an instructor or assistant professor.
- Master's degree-level programs to facilitate trainees' pursuit of research careers as high-level laboratory support personnel. When trained, such individuals would be capable of training others in a laboratory with regard to sophisticated technical issues and of performing research with only modest levels of supervision. CPRIT encourages innovative approaches to training such individuals. Programs whose goals are to produce trainees with a conventional master's degree in a relevant biomedical or related science by successful completion of a relatively modest research project are not appropriate.
- Undergraduate summer research internship programs, including those directed at underrepresented minorities.

5. FUNDING INFORMATION

The maximum amount that may be requested by applicants is two-thirds of the total amount awarded as part of the initial 3-year contract (total costs = direct costs plus indirect costs per year). The maximum duration of each award is 2 years, and budgets covering the 2 years of program continuation should be submitted. Initial awards were made for 3 years; these new awards are intended to support an additional 2-year period. Support may be requested as follows for the various types of trainees in an institutional training program:

- **Ph.D. trainees:** May request support for stipends up to \$28,000 per year (which may be supplemented with other available funds) plus benefits, and an allowance per trainee of \$1,000 per year that may be used for travel to scientific meetings if the trainee is making

a presentation (oral or poster). Funds for tuition, up to a maximum of \$6,000 per year, may be requested. Individual trainees may be supported for up to 4 years (including time already funded since 2010), but will not be supported by this mechanism until it is clear that their mentor and research program are highly relevant to cancer.

- **M.D./Ph.D. trainees:** May request support equal to that of Ph.D. trainees (see above). Funds may be used only during the time of research training, not during medical school years.
- **Postdoctoral trainees:** May request NIH-scale salary support plus benefits and an allowance per trainee of \$2,000 per year for travel to scientific meetings. Appointments may be made for up to 3 years (including time already funded since 2010). Individuals holding Ph.D., M.D./Ph.D., or M.D. degrees are eligible for postdoctoral fellowship support provided that the training supported by CPRIT is for research (basic, translational, clinical, or population-based).

Support may also be requested for the following types of institutional training programs:

- **Undergraduate summer internship programs:** May request up to \$5,000 per trainee for summer stipend and housing allowance.
- **Master's degree-level programs to support research careers as laboratory support personnel:** May request stipend support up to \$28,000 per year plus benefits. Appointments may be made for up to 2 years. Funds for tuition, up to a maximum of \$6,000 per year, may be requested.
- **Master's degree-level programs to train clinical investigators:** May request \$28,000 per year plus benefits if trainees are predoctoral (e.g., an M.D./M.S. training program). Funds may not be used while trainees are in medical school. May request \$50,000 per year plus benefits if trainees are clinical fellows or faculty members. It is anticipated that institutions will supplement stipends for trainees at this level. Funds for tuition, up to a maximum of \$6,000 per year, may be requested.

6. KEY DATES

RFA

RFA release December 9, 2013

Application

Online application opens December 19, 2013, 7 a.m. Central Time

Application due January 3, 2014, 3 p.m. Central Time

Application review February 2014

Award

Award notification February 2014

Anticipated start date March 1, 2014

7. ELIGIBILITY

- An applicant institution that is delinquent in programmatic and/or fiscal reporting for its CPRIT RTA at the time of the grant application deadline is not eligible to apply for additional RTA funding from CPRIT.
- The applicant must be a Texas-based institution of higher education or a component of a university system with appropriately accredited degree-granting training programs (if support is requested for training leading to a degree), and must have received a 3-year RTA pursuant to RFA R-10-RTA1.
- The PI must have a doctoral degree, including M.D., Ph.D., D.D.S., D.M.D., Dr.P.H., D.O., D.V.M., or equivalent. The PI must reside in Texas during the time the training program that is the subject of the grant is conducted.
- Trainees with the skills and background necessary to carry out the proposed research training should work with their mentors and other appropriate individuals in the institution to develop individual applications for their own support. These applications are to be submitted to the PI in a form to be determined by the PI and will be evaluated in a manner to be described by the PI.
- All supported trainees must reside in Texas during the time that the training program that is the subject of the grant is conducted.

- Trainees may be citizens or noncitizen nationals of the United States or citizens of foreign countries who hold student visas. All trainees should be officially enrolled in the appropriate training program.
- Excluding summer interns, trainees must have at least a baccalaureate degree and show evidence of both high academic performance in the sciences and keen interest in research in areas of high priority to the participating institution. In addition, trainees who are degree candidates must be enrolled in an accredited program and be sponsored by a mentor for the research component.
- CPRIT funds may be used to supplement funding available from other sources if the pool of trainees is of sufficient size and quality to justify additional support.
- 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 one or more of these individuals within the second degree of consanguinity or affinity), have 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, and any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive Federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law and/or administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract

are listed in [Section 12](#) and [Section 13](#). All statutory provisions and relevant administrative rules can be found at www.cpriti.state.tx.us.

8. RESUBMISSION POLICY

Applications submitted in response to this RFA are not eligible for resubmission.

9. RENEWAL POLICY

An application funded by CPRIT under this mechanism may be submitted for a competitive renewal.

10. APPLICATION REVIEW

10.1. Review Process Overview

All eligible applications will be evaluated, scored, and recommended for funding by the CPRIT Scientific Review Council using the criteria listed below.

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

10.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, Program Integration Committee 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 Program Integration Committee member, or a Scientific Review Council member. Applicants should note that the CPRIT Program Integration Committee is comprised of the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when pre-applications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

10.3. Review Criteria

Peer review of applications will be based primarily on successes and progress made during Years 1 through 3 of the original award against primary scored criteria and secondary unscored criteria, as described below. The CPRIT Scientific Review Council 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 Scientific Review Council's overall impression of the application.

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

10.3.1. Primary Criteria

Primary criteria will evaluate the progress and quality of the previous training program. Primary criteria include:

Overall Evaluation of Training Outcomes and Future Potential

- Does the proposed continuation of the program demonstrate a high likelihood of success based on the initial program's results and outcomes?
- Has the applicant sufficiently described results and findings of the previously funded application?
- What is the likelihood that the training program will continue to serve as a sound foundation to enhance a supported trainee's potential for, and commitment to a productive, independent scientific research career in a cancer-related field?

Research Training Plan

- Has the training plan provided, and will the plan continue to provide, trainees with individualized and supervised experiences that will enable them to develop the research skills needed to be independent researchers or physician-scientists?
- Is the training plan customizable for students from diverse academic backgrounds and differing educational philosophies?

PI and Mentors

Do the PI and mentors have excellent research qualifications (including publications in high-quality journals and peer-reviewed research support) and track records of mentoring that are appropriate for the proposed training program?

Trainees

- Have high-quality individuals been recruited into the training programs?
- Are the qualifications and interests of these potential trainees appropriate for the training program described by the applicant institution?
- Have there been sufficient numbers of highly meritorious candidates to fill the available slots?

- Have efforts been made to enhance the diversity of trainees by recruiting from underrepresented groups?
- Has appropriate progress been demonstrated by trainees?

Institutional Environment and Commitment to Training

- Is there a high-quality institutional environment for the scientific development of trainees?
- Is there appropriate institutional commitment to fostering training as investigators or physician-scientists?
- Are the research facilities, resources (e.g., equipment, laboratory space, computer time, subject populations), and training opportunities adequate and appropriate?

10.3.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. A concern with any of these criteria questions the value of the proposed training program. Secondary criteria include:

Relevance to Cancer Research

- Does the proposed training program have a high degree of direct relevance to cancer research?

Project Leadership

- Is the program managed by strong leadership in a position to organize and manage the proposed training activities?

Budget

- Is the budget requested appropriate for the proposed training program?

Responsible Conduct of Research

- Does the applicant institution have acceptable plans to provide instruction in the responsible conduct of research?

11. RESPONDING TO THIS RFA

11.1. 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 Authorized Signing Official (ASO) (the 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 a.m. Central Time on December 19, 2013 and must be submitted by 3 p.m. Central Time on January 3, 2014. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

11.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of the online 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 one or more components or that do not meet the eligibility requirements listed in [Section 7](#) will be administratively withdrawn without review.

11.2.1. Summary (5,000 characters)

Provide a summary of the proposed training program, including the program goals, an outline of proposed didactic and research training activities, and an overview of institutional infrastructure and commitment.

11.2.2. 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.

11.2.3. Timeline (One 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.

11.2.4. Research Training Plan (Ten pages)

Year 1-3 Program Outcomes (Three pages): Provide a brief summary of the progress of the project, results obtained to date, problems/issues encountered and actions taken, and include information about any publications, patents, and/or economic impact. Information provided should be based around the stated specific aims and goals as set forth in the original Scope of Work as approved.

Background: Present the rationale behind the proposed training program, emphasizing how the proposed project will support the development of dedicated investigators in cancer research.

Program Goals: Concisely state the goals and objectives to be achieved by the research training plan described in the application. These need not be fully repeated (as entered in [Section 11.2.2](#)), and may only be summarized.

Training Plan: Provide a description of proposed courses/classes, seminars, and opportunities for interaction with other groups and scientists. Describe both formal program requirements and opportunities for professional development. Training in career skills (e.g., grant writing and presentation skills) is strongly encouraged. Elaborate on the research environment and available research facilities and equipment, and discuss the relationship of the proposed research projects to trainees' careers. A training plan must be described for each type of program for which support is requested.

Selection of Trainees and Mentors: Describe the process and major criteria that will be used to select trainees to be supported by this program. Describe the process and major criteria that will be used to select mentors for this program. Describe the progress and achievements of trainees in the program from 2010–2013.

PI: Outline the responsibilities of the PI in the overall management, administration, and evaluation of the program. Describe how the PI's scientific background, leadership, and administrative capabilities will enable him or her to coordinate and oversee the proposed research training program.

Recruitment Plan/Diversity Recruitment: Include a recruitment and retention plan for recruiting trainees from both outside and inside the applicant institution, and for attracting

trainees from complementary disciplines (e.g., from the physical, computational, and engineering sciences) to cancer research. Provide plans for enhancing the diversity of the trainee pool by recruiting from underrepresented groups and a plan for retaining such trainees. Describe successes with the plan and any modifications made in the last 3 years.

Responsible Conduct of Research: Describe the plan to provide instruction in the responsible conduct of research, including the rationale, subject matter, appropriateness, format, frequency, and duration of instruction. The amount and nature of faculty participation must be described.

11.2.5. Publications/References

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

11.2.6. Budget and Justification

Provide an outline and justification of the budget for the entire proposed period of support. Allowable costs include trainee stipends (see limits in [Section 5](#)), benefits, and travel allowances (as indicated in [Section 5](#)). Tuition (up to a maximum of \$6,000 per year) may be included for those in degree-granting programs. The budget should be based on the number of trainee slots requested for each type of training activity. Justification of the number of trainees requested must be compelling and based on the number of exceptionally well-qualified individuals who are likely to be available and who deserve such support (see below for requested information) as well as funds currently available from other training programs to support them. An appropriate and modest level of salary support may be requested for the PI, Co-PIs, and administrative staff. The maximum amount that may be requested is two-thirds of the total amount awarded as part of the initial three year contract (total costs: direct costs plus indirect costs; indirect costs must be budgeted within the amount requested). Applicants should be aware that Texas law limits the amount of indirect costs that may be funded by CPRIT grants to 5 percent of the total award. Guidance regarding indirect cost recovery can be found in the administrative rules proposed by CPRIT. The proposed rules and the statute can be found at www.cprit.state.tx.us. The maximum annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2014 and FY 2015 is \$200,000; CPRIT FY 2014 is from September 1, 2013 through August 31, 2014 and FY 2015 is from September 1, 2014 through August 31, 2015. Salary does not include fringe benefits and/or facilities and administrative (F&A) 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.

11.2.7. PI, Co-PI, and Mentor Information

Provide biographical sketches for the PI and, if applicable, the Co-PI, (as required by the online application receipt system) describing their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed two pages. Information on the qualifications of the mentors should be submitted in tabular form and should include name, position (rank and department), highest degree received and institution granting the degree, three key words describing current research area, current annual total of externally peer-reviewed research support (direct costs only), and citations for three relevant publications. Include the current annual total of externally peer-reviewed research support (direct costs only) for the PI and Co-PI.

11.2.8. Institutional Current and Pending Support

Describe the funding source, duration, and title of all current and pending competitively reviewed support for training available at the institution that is relevant to cancer research. Indicate *approximately* how stipends for all trainees in a given category (e.g., predoctoral, postdoctoral, etc.) are supported at the institution.

11.2.9. Training Record

Describe the research training record of the PI and the Co-PIs.

11.2.10. Current Trainee Pool

Supply the equivalent of NIH NRSA Tables 9A and 9B to describe the qualifications of current predoctoral (Table 9A) and postdoctoral (Table 9B) trainees. Limit this list to trainees who have participated in this training program.

11.2.11. Institutional Environment and Commitment

Provide appropriate evidence of institutional support and commitment to the goals of the research training program. This could include, but is not limited to, laboratory space, shared

laboratory facilities and equipment, funds for curriculum development, and support for additional trainees in the program.

Applications that are missing one 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 rejected without review.

12. AWARD ADMINISTRATION

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

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

13. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

14. CONTACT INFORMATION

14.1. HelpDesk

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

Dates of operation: December 9, 2013 – January 3, 2014 (excluding public holidays)

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. Central Time
Wednesday, 8 a.m. to 4 p.m. Central Time

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

14.2. Scientific and Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Research Program Director.

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Web site: www.cprit.state.tx.us

Third Party Observer Report

CPRIT Scientific Review Council Observation Report

Panel Name: Scientific Review Council Meeting – Research Training Awards Continuation for Years 4 and 5

Panel Date: January 31, 2014

Report Date: January 31, 2014

Background

As part of CPRIT's on-going 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 is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized its out-sourced internal audit provider to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council review of Research Training Awards Continuation for Years 4 and 5. The meeting was chaired by Richard Kolodner and held over the phone on January 31, 2014.

Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation 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;
- The peer review panel discussion is focused on the established scoring criteria.

Observation Results Summary

Internal Audit participated in the Scientific Review Council meeting held telephonically and chaired by Richard Kolodner on January 31, 2014. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator.

Internal Audit noted the following during our observation:

- Seven research applications were discussed and evaluated by the Scientific Review Council to determine which grants would receive CPRIT funding.
- Eight council members, three CPRIT staff members, and two SRA employees were present for the Council meeting over the phone.

- One conflict of interest was identified prior to or during the call. The council member with the conflict of interest left the teleconference and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the peer review panel's discussion of scientific, technical or programmatic aspects of the applications.

Internal Audit was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. 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 and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

De-Identified Overall Evaluation Scores

Research Training Awards Continuation for Years 4 and 5

De-identified Final Overall Evaluation Score for all applicants

1	3.7
2	1.9
3	2.7
4	4.1
5	2.0
6	2.3
7	2.7

Final Overall Evaluation Scores and Rank Order Scores

Rank	Application ID	Organization	Title	Mechanism	Project Budget (Requested)	Overall score
1	RP140020	The University of Texas Medical Branch at Galveston	Comparative Effectiveness Research on Cancer in Texas (CERCIT)	MIRA-C	\$3,231,048	1.1
2	RP140110	The University of Texas Southwestern Medical Center	Cancer Intervention and Prevention Discoveries Program	RTA-C	\$1,916,038	1.9
3	RP140024	Rice University	Texas Cancer Diagnostics Pipeline Consortium	MIRA-C	\$3,912,225	2.0
3	RP140102	Baylor College of Medicine	Baylor College of Medicine Comprehensive Cancer Training Program	RTA-C	\$1,574,628	2.0
5	RP140021	The University of Texas Southwestern Medical Center	Novel MRI and MRS Methods for Imaging Cancer Metabolism	MIRA-C	\$1,758,888	2.1
6	RP140103	The University of Texas Health Science Center at Houston	Collaborative Training of a New Cadre of Innovative Cancer Prevention Researchers	RTA-C	\$1,745,076	2.3
7	RP140113	University of Houston	Continuation of Computational Cancer Biomedicine Training Program	RTA-C	\$1,591,594	2.7
7	RP140105	The University of Texas Health Science Center at San Antonio	Cancer Research Training Grant	RTA-C	\$1,588,673	2.7
9	RP140108	The University of Texas at Austin	Molecularly-Targeted Approaches to Cancer Therapeutics, Diagnostics and Prevention	RTA-C	\$1,648,814	3.7
10	RP140106	The University of Texas M. D. Anderson Cancer Center	The Future of Cancer Research: Training Program for Basic and Translational Scientists	RTA-C	\$1,710,524	4.1
11	RP140022	Baylor College of Medicine	Targeted Therapies for Metastatic Osteosarcoma	MIRA-C	\$2,220,472	4.7

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2013
CYCLE 1
PROGRAM Product Development
AWARD MECHANISM Company Commercialization Awards (COMP)
APPLICATION ID CP130013
APPLICATION TITLE Clinical Development and Commercialization of Oncolytic Adenovirus for Treating Malignant Glioma
APPLICANT NAME Dr. Frank Tufaro
ORGANIZATION DNatrix, Inc.
PANEL NAME Panel A-FY13-Cycle 1

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA posted in Texas Register	08/10/12	01/14/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	08/02/12	01/09/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	08/30/12	01/09/14	SRA International, Inc.
	Date application submitted	08/31/12	01/09/14	SRA International, Inc.
	Method of submission	CARS	01/09/14	SRA International, Inc.
	Within receipt period	NO	01/09/14	SRA International, Inc.
	Appeal to submit application after CARS closed	08/30/12	01/09/14	SRA International, Inc.
	Appeal for late application submission accepted	YES	01/09/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Assigned to primary reviewers	09/09/12	01/09/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	09/25/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	09/11/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	09/06/12	01/09/14	SRA International, Inc.
	Primary Reviewer 4 COI signed	09/06/12	01/09/14	SRA International, Inc.
3. Peer Review: Screening Teleconference	Primary Reviewer 1 critique submitted	10/06/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 4 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	01/09/14	SRA International, Inc.
	COI recused from participation	N/A	01/09/14	SRA International, Inc.
	Peer Review: Screening Teleconference	09/27/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	09/27/12	01/15/14	CPRIT - K. Doyle
	Post review statements signed	10/10/12	01/09/14	SRA International, Inc.
	Recommended for On-Site Meeting	YES	01/09/14	SRA International, Inc.
4. Peer Review: On-Site Meeting	COI indicated by non-primary reviewer	NONE	01/09/14	SRA International, Inc.
	COI recused from participation	N/A	01/09/14	SRA International, Inc.
	Post review statements signed	10/30/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	10/30/12	01/15/14	CPRIT - K. Doyle
	Peer Review: On-Site Meeting	10/29/12-10/30/12	01/09/14	SRA International, Inc.
	Referred for due diligence and IP review	YES	01/09/14	SRA International, Inc.
5. Moratorium	Updated information provided	11/04/13	01/09/14	SRA International, Inc.
6. Due Diligence and IP Review	Final due diligence review submitted	11/11/13	01/14/14	SRA International, Inc.
	Intellectual Property conflict check	11/13/12	01/15/14	CPRIT - K. Doyle
	Final intellectual property review submitted	01/09/14	01/15/14	CPRIT - K. Doyle
7. Final PDRC Recommendation	COI indicated by PDRC member	K. Dhingra	01/13/14	SRA International, Inc.
	COI recused from participation	YES	01/13/14	SRA International, Inc.
	Third Party Observer Report	01/13/14	01/16/14	CPRIT - K. Doyle
	PDRC Meeting	01/13/14	01/13/14	SRA International, Inc.
	Recommended for slate	YES	01/13/14	SRA International, Inc.
8. CEO Recommendation	Notification to CEO of PDRC recommendation	01/15/14	01/15/14	CPRIT - K. Doyle
	Recommended for slate by CEO	YES	01/15/14	CPRIT - K. Doyle
9. Oversight Committee Ratification	CEO Notification to Oversight Committee	01/16/14	01/16/14	CPRIT - K. Doyle
	COI indicated by Oversight Committee member	Amy Mitchell	02/26/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/26/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT - S Balderrama
	Award Ratified by Oversight Committee	YES	02/26/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT

DISCUSS

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2013
CYCLE 1
PROGRAM Product Development
AWARD MECHANISM Company Relocation Awards (RELO)
APPLICATION ID CP130020
APPLICATION TITLE Androgen Receptor N-Terminus Blocker Program for Prostate Cancer: Relocation Grant Application
APPLICANT NAME Mr. Robert W Rieder
ORGANIZATION ESSA Pharma Inc.
PANEL NAME Panel A-FY13-Cycle 1

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA posted in Texas Register	08/10/12	01/14/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	08/02/12	01/09/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	08/30/12	01/09/14	SRA International, Inc.
	Date application submitted	08/30/12	01/09/14	SRA International, Inc.
	Method of submission	CARS	01/09/14	SRA International, Inc.
	Within receipt period	YES	01/09/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	01/09/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	01/09/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Assigned to primary reviewers	09/09/12	01/09/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	09/07/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	09/14/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	09/07/12	01/09/14	SRA International, Inc.
	Primary Reviewer 4 COI signed	09/22/12	01/09/14	SRA International, Inc.
3. Peer Review: Screening Teleconference	Primary Reviewer 1 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 4 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	COI indicated by non-primary reviewer	R. McCloskey	01/09/14	SRA International, Inc.
	COI recused from participation	YES	01/09/14	SRA International, Inc.
	Peer Review: Screening Teleconference	09/27/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	09/27/12	01/15/14	CPRIT - K. Doyle
	Post review statements signed	10/10/12	01/09/14	SRA International, Inc.
	Recommended for On-Site Meeting	YES	01/09/14	SRA International, Inc.
4. Peer Review: On-Site Meeting	COI indicated by non-primary reviewer	R. McCloskey	01/09/14	SRA International, Inc.
	COI recused from participation	YES	01/09/14	SRA International, Inc.
	Post review statements signed	10/30/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	10/30/12	01/15/14	CPRIT - K. Doyle
	Peer Review: On-Site Meeting	10/29/12-10/30/12	01/09/14	SRA International, Inc.
	Referred for due diligence and IP review	YES	01/09/14	SRA International, Inc.
5. Moratorium	Updated information provided	11/04/13	01/09/14	SRA International, Inc.
6. Due Diligence and IP Review	Final due diligence review submitted	11/11/13; 1/6/14	01/14/14	SRA International, Inc.
	Intellectual Property conflict check	11/13/12	01/15/14	CPRIT - K. Doyle
	Final intellectual property review submitted	01/09/14	01/15/14	CPRIT - K. Doyle
7. Final PDRC Recommendation	COI indicated by PDRC member	NONE	01/13/14	SRA International, Inc.
	COI recused from participation	N/A	01/13/14	SRA International, Inc.
	Third Party Observer Report	01/13/14	01/16/14	CPRIT - K. Doyle
	PDRC Meeting	01/13/14	01/13/14	SRA International, Inc.
	Recommended for slate	YES	01/13/14	SRA International, Inc.
8. CEO Recommendation	Notification to CEO of PDRC recommendation	01/15/14	01/15/14	CPRIT - K. Doyle
	Recommended for slate by CEO	YES	01/15/14	CPRIT - K. Doyle
9. Oversight Committee Ratification	CEO Notification to Oversight Committee	01/16/14	01/16/14	CPRIT - K. Doyle
	COI indicated by Oversight Committee member	Amy Mitchell	02/26/14	CPRIT - S Balderrama
	COI recused from participation	YES	02/26/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT - S Balderrama
	Award Ratified by Oversight Committee	YES	02/26/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT

DISCUSS

FY 2013
CYCLE 1
PROGRAM Product Development
AWARD MECHANISM Company Formation Awards (FORM)
APPLICATION ID CP130023
APPLICATION TITLE Novel Ceramide-modulating Therapeutics for Cancer Use
APPLICANT NAME Mr. Richard Love
ORGANIZATION CerRx, Inc.
PANEL NAME Panel A-FY13-Cycle 1

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA posted in Texas Register	08/10/12	01/14/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	08/02/12	01/09/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	08/30/12	01/09/14	SRA International, Inc.
	Date application submitted	08/30/12	01/09/14	SRA International, Inc.
	Method of submission	CARS	01/09/14	SRA International, Inc.
	Within receipt period	YES	01/09/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	01/09/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	01/09/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Assigned to primary reviewers	09/09/12	01/09/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	09/12/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	09/07/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	09/11/12	01/09/14	SRA International, Inc.
	Primary Reviewer 4 COI signed	09/22/12	01/09/14	SRA International, Inc.
3. Peer Review: Screening Teleconference	Primary Reviewer 1 critique submitted	09/29/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 4 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	01/09/14	SRA International, Inc.
	COI recused from participation	N/A	01/09/14	SRA International, Inc.
	Peer Review: Screening Teleconference	09/27/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	09/27/12	01/15/14	CPRIT - K. Doyle
	Post review statements signed	10/10/12	01/09/14	SRA International, Inc.
	Recommended for On-Site Meeting	YES	01/09/14	SRA International, Inc.
4. Peer Review: On-Site Meeting	COI indicated by non-primary reviewer	NONE	01/09/14	SRA International, Inc.
	COI recused from participation	N/A	01/09/14	SRA International, Inc.
	Post review statements signed	10/30/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	10/30/12	01/15/14	CPRIT - K. Doyle
	Peer Review: On-Site Meeting	10/29/12-10/30/12	01/09/14	SRA International, Inc.
	Referred for due diligence and IP review	YES	01/09/14	SRA International, Inc.
5. Moratorium	Updated information provided	11/04/13	01/09/14	SRA International, Inc.
6. Due Diligence and IP Review	Final due diligence review submitted	11/11/13	01/14/14	SRA International, Inc.
	Intellectual Property conflict check	11/13/12	01/15/14	CPRIT - K. Doyle
	Final intellectual property review submitted	01/09/14	01/15/14	CPRIT - K. Doyle
7. Final PDRC Recommendation	COI indicated by PDRC member	K. Dhingra	01/13/14	SRA International, Inc.
	COI recused from participation	YES	01/13/14	SRA International, Inc.
	Third Party Observer Report	01/13/14	01/16/14	CPRIT - K. Doyle
	PDRC Meeting	01/13/14	01/13/14	SRA International, Inc.
	Recommended for slate	YES	01/13/14	SRA International, Inc.
8. CEO Recommendation	Notification to CEO of PDRC recommendation	01/15/14	01/15/14	CPRIT - K. Doyle
	Recommended for slate by CEO	YES	01/15/14	CPRIT - K. Doyle
9. Oversight Committee Ratification	CEO Notification to Oversight Committee	01/16/14	01/16/14	CPRIT - K. Doyle
	COI indicated by Oversight Committee member	NONE	02/26/14	CPRIT - S Balderrama
	COI recused from participation	N/A	02/26/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT - S Balderrama
	Award Ratified by Oversight Committee	YES	02/26/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT - S Balderrama

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CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2013
CYCLE 1
PROGRAM Product Development
AWARD MECHANISM Company Commercialization Awards (COMP)
APPLICATION ID CP130050
APPLICATION TITLE Real-time Nerve Identification for Robotic Surgery
APPLICANT NAME Mr. James Stone
ORGANIZATION ProPep Surgical
PANEL NAME Panel A-FY13-Cycle 1

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA posted in Texas Register	08/10/12	01/14/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	08/02/12	01/09/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	08/30/12	01/09/14	SRA International, Inc.
	Date application submitted	08/31/12	01/09/14	SRA International, Inc.
	Method of submission	CARS	01/09/14	SRA International, Inc.
	Within receipt period	NO	01/09/14	SRA International, Inc.
	Appeal to submit application after CARS closed	08/30/12	01/09/14	SRA International, Inc.
	Appeal for late application submission accepted	YES	01/09/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Assigned to primary reviewers	09/09/12	01/09/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	09/16/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	09/07/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	09/25/12	01/09/14	SRA International, Inc.
	Primary Reviewer 4 COI signed	09/06/12	01/09/14	SRA International, Inc.
3. Peer Review: Screening Teleconference	Primary Reviewer 1 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	10/08/12	01/09/14	SRA International, Inc.
	Primary Reviewer 4 critique submitted	10/03/12	01/09/14	SRA International, Inc.
	COI indicated by non-primary reviewer	R. McCloskey	01/09/14	SRA International, Inc.
	COI recused from participation	YES	01/09/14	SRA International, Inc.
	Peer Review: Screening Teleconference	09/27/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	09/27/12	01/15/14	CPRIT - K. Doyle
	Post review statements signed	10/10/12	01/09/14	SRA International, Inc.
	Recommended for On-Site Meeting	YES	01/09/14	SRA International, Inc.
4. Peer Review: On-Site Meeting	COI indicated by non-primary reviewer	R. McCloskey	01/09/14	SRA International, Inc.
	COI recused from participation	YES	01/09/14	SRA International, Inc.
	Post review statements signed	10/30/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	10/30/12	01/15/14	CPRIT - K. Doyle
	Peer Review: On-Site Meeting	10/29/12-10/30/12	01/09/14	SRA International, Inc.
	Referred for due diligence and IP review	YES	01/09/14	SRA International, Inc.
5. Moratorium	Updated information provided	11/01/13	01/09/14	SRA International, Inc.
6. Due Diligence and IP Review	Final due diligence review submitted	11/11/13	01/14/14	SRA International, Inc.
	Intellectual Property conflict check	11/13/12	01/15/14	CPRIT - K. Doyle
	Final intellectual property review submitted	01/09/14	01/15/14	CPRIT - K. Doyle
7. Final PDRC Recommendation	COI indicated by PDRC member	NONE	01/13/14	SRA International, Inc.
	COI recused from participation	N/A	01/13/14	SRA International, Inc.
	Third Party Observer Report	01/13/14	01/16/14	CPRIT - K. Doyle
	PDRC Meeting	01/13/14	01/13/14	SRA International, Inc.
	Recommended for slate	YES	01/13/14	SRA International, Inc.
8. CEO Recommendation	Notification to CEO of PDRC recommendation	01/15/14	01/15/14	CPRIT - K. Doyle
	Recommended for slate by CEO	YES	01/15/14	CPRIT - K. Doyle
9. Oversight Committee Ratification	CEO Notification to Oversight Committee	01/16/14	01/16/14	CPRIT - K. Doyle
	COI indicated by Oversight Committee member	NONE	02/26/14	CPRIT - S Balderrama
	COI recused from participation	N/A	02/26/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT - S Balderrama
	Award Ratified by Oversight Committee	YES	02/26/14	CPRIT - S Balderrama
Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT - S Balderrama	

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DISCUSS

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2013
CYCLE 2
PROGRAM Product Development
AWARD MECHANISM Company Formation Awards (FORM)
APPLICATION ID CP130058
APPLICATION TITLE Developing to Clinical Proof of Concept Drugs that Inhibit a Novel Cancer Cell Target
APPLICANT NAME Mr. Jonathan Northrup
ORGANIZATION Beta Cat Pharmaceuticals, LLC
PANEL NAME Panel B-FY13-Cycle 2

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA posted in Texas Register	11/02/12	01/14/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	10/25/12	01/09/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	11/15/12	01/09/14	SRA International, Inc.
	Date application submitted	11/15/12	01/09/14	SRA International, Inc.
	Method of submission	CARS	01/09/14	SRA International, Inc.
	Within receipt period	YES	01/09/14	SRA International, Inc.
	Appeal to submit application after CARS closed	N/A	01/09/14	SRA International, Inc.
	Appeal for late application submission accepted	N/A	01/09/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Assigned to primary reviewers	11/19/12	01/09/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	09/12/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	11/12/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	11/19/12	01/09/14	SRA International, Inc.
3. Peer Review: Screening Teleconference	Primary Reviewer 1 critique submitted	12/04/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	12/03/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	12/02/12	01/09/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	01/09/14	SRA International, Inc.
	COI recused from participation	N/A	01/09/14	SRA International, Inc.
	Peer Review: Screening Teleconference	12/03/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	12/03/12	01/15/14	CPRIT - K. Doyle
	Post review statements signed	12/10/12	01/09/14	SRA International, Inc.
4. Peer Review: On-Site Meeting	Recommended for On-Site Meeting	YES	01/09/14	SRA International, Inc.
	COI indicated by non-primary reviewer	NONE	01/09/14	SRA International, Inc.
	COI recused from participation	N/A	01/09/14	SRA International, Inc.
	Post review statements signed	12/20/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	12/17/12	01/15/14	CPRIT - K. Doyle
	Peer Review: On-Site Meeting	12/17/12	01/09/14	SRA International, Inc.
5. Moratorium	Referred for due diligence and IP review	YES	01/09/14	SRA International, Inc.
6. Due Diligence and IP Review	Updated information provided	11/04/13	01/09/14	SRA International, Inc.
	Final due diligence review submitted	01/03/14	01/14/14	SRA International, Inc.
	Intellectual Property conflict check	12/02/13	01/15/14	CPRIT - K. Doyle
7. Final PDRC Recommendation	Final intellectual property review submitted	01/09/14	01/15/14	CPRIT - K. Doyle
	COI indicated by PDRC member	NONE	01/13/14	SRA International, Inc.
	COI recused from participation	N/A	01/13/14	SRA International, Inc.
	Third Party Observer Report	01/13/14	01/16/14	CPRIT - K. Doyle
	PDRC Meeting	01/13/14	01/13/14	SRA International, Inc.
8. CEO Recommendation	Recommended for slate	YES	01/13/14	SRA International, Inc.
	Notification to CEO of PDRC recommendation	01/15/14	01/15/14	CPRIT - K. Doyle
9. Oversight Committee Ratification	Recommended for slate by CEO	YES	01/15/14	CPRIT - K. Doyle
	CEO Notification to Oversight Committee	01/16/14	01/16/14	CPRIT - K. Doyle
	COI indicated by Oversight Committee member	NONE	02/26/14	CPRIT - S Balderrama
	COI recused from participation	N/A	02/26/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT - S Balderrama
	Award Ratified by Oversight Committee	YES	02/26/14	CPRIT - S Balderrama
Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT - S Balderrama	

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DISCUSS

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2013
CYCLE 2
PROGRAM Product Development
AWARD MECHANISM Company Relocation Awards (RELO)
APPLICATION ID CP130066
APPLICATION TITLE Phase II Clinical Studies for a First in Class Bcl-2 Cancer Drug
APPLICANT NAME Dr. Richard A Messmann
ORGANIZATION ProNAi Therapeutics, Inc.
PANEL NAME Panel B-FY13-Cycle 2

Category	Compliance Requirement	Information	Attestation Date	Attesting Party*
1. Pre-Receipt	RFA posted in Texas Register	11/02/12	01/14/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) opened	10/25/12	01/09/14	SRA International, Inc.
	CPRIT Application Receipt System (CARS) closed	11/15/12	01/09/14	SRA International, Inc.
	Date application submitted	11/16/12	01/09/14	SRA International, Inc.
	Method of submission	CARS	01/09/14	SRA International, Inc.
	Within receipt period	NO	01/09/14	SRA International, Inc.
	Appeal to submit application after CARS closed	11/15/12	01/09/14	SRA International, Inc.
	Appeal for late application submission accepted	YES	01/09/14	SRA International, Inc.
2. Receipt, Referral, and Assignment	Administrative non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Programmatic non-compliance notification	N/A	01/09/14	SRA International, Inc.
	Assigned to primary reviewers	11/19/12	01/09/14	SRA International, Inc.
	Primary Reviewer 1 COI signed	11/19/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 COI signed	09/18/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 COI signed	11/19/12	01/09/14	SRA International, Inc.
3. Peer Review: Screening Teleconference	Primary Reviewer 1 critique submitted	12/02/12	01/09/14	SRA International, Inc.
	Primary Reviewer 2 critique submitted	11/27/12	01/09/14	SRA International, Inc.
	Primary Reviewer 3 critique submitted	11/28/12	01/09/14	SRA International, Inc.
	COI indicated by non-primary reviewer	N. Clendeninn	01/09/14	SRA International, Inc.
	COI recused from participation	YES	01/09/14	SRA International, Inc.
	Peer Review: Screening Teleconference	12/03/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	12/03/12	01/15/14	CPRIT - K. Doyle
	Post review statements signed	12/10/12	01/09/14	SRA International, Inc.
4. Peer Review: On-Site Meeting	Recommended for On-Site Meeting	YES	01/09/14	SRA International, Inc.
	COI indicated by non-primary reviewer	N. Clendeninn	01/09/14	SRA International, Inc.
	COI recused from participation	YES	01/09/14	SRA International, Inc.
	Post review statements signed	12/20/12	01/09/14	SRA International, Inc.
	Third Party Observer Report	12/17/12	01/15/14	CPRIT - K. Doyle
	Peer Review: On-Site Meeting	12/17/12	01/09/14	SRA International, Inc.
5. Moratorium	Referred for due diligence and IP review	YES	01/09/14	SRA International, Inc.
	Updated information provided	11/04/13	01/09/14	SRA International, Inc.
6. Due Diligence and IP Review	Final due diligence review submitted	01/09/14	01/09/14	SRA International, Inc.
	Intellectual Property conflict check	11/27/13	01/15/14	CPRIT - K. Doyle
	Final intellectual property review submitted	01/07/14	01/15/14	CPRIT - K. Doyle
7. Final PDRC Recommendation	COI indicated by PDRC member	NONE	01/13/14	SRA International, Inc.
	COI recused from participation	N/A	01/13/14	SRA International, Inc.
	Third Party Observer Report	01/13/14	01/16/14	CPRIT - K. Doyle
	PDRC Meeting	01/13/14	01/13/14	SRA International, Inc.
	Recommended for slate	YES	01/13/14	SRA International, Inc.
8. CEO Recommendation	Notification to CEO of PDRC recommendation	01/15/14	01/15/14	CPRIT - K. Doyle
	Recommended for slate by CEO	YES	01/15/14	CPRIT - K. Doyle
9. Oversight Committee Ratification	CEO Notification to Oversight Committee	01/16/14	01/16/14	CPRIT - K. Doyle
	COI indicated by Oversight Committee member	NONE	02/26/14	CPRIT - S Balderrama
	COI recused from participation	N/A	02/26/14	CPRIT - S Balderrama
	Presented to CPRIT Oversight Committee	02/19/14	02/26/14	CPRIT - S Balderrama
	Award Ratified by Oversight Committee	YES	02/26/14	CPRIT - S Balderrama
	Advance Funds Approved by Oversight Committee	N/A	02/26/14	CPRIT - S Balderrama

*The identity of the attesting individual is retained by CPRIT

DISCUSS