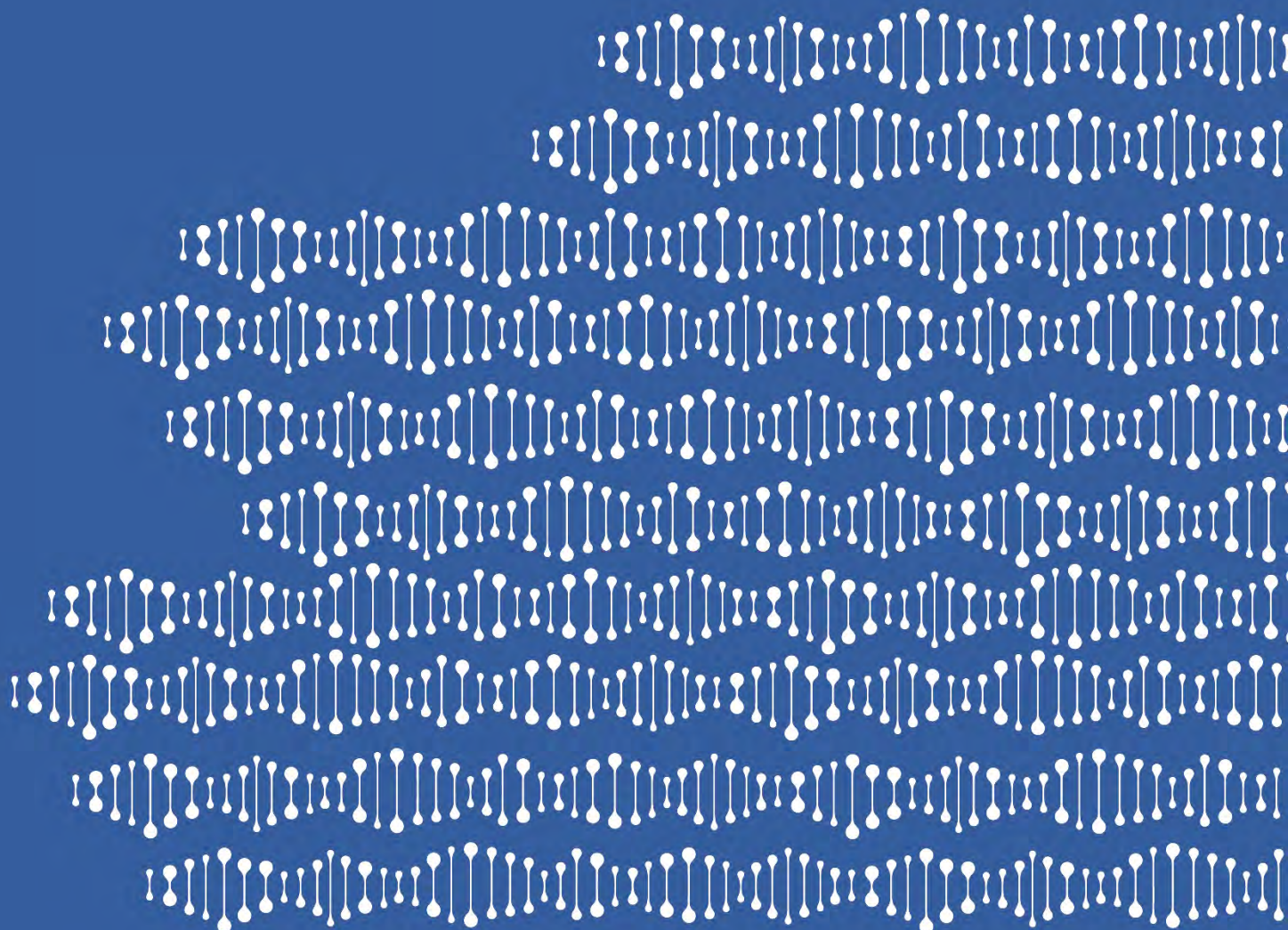




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

November 16, 2016



*Information in this packet is confidential until announced at
the November 16, 2016, Oversight Committee meeting.*

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Academic Research Program Priorities Addressed by Recommended Awards							
A broad range of innovative, investigator-initiated research projects	Prevention and early detection	Computational biology and analytic methods	Rare or intractable cancers	Childhood cancers	Population disparities	Cancers of importance in Texas	Enhance Texas' Research capacity and life science infrastructure
\$34,382,116 35 Awards (See attachment #2 for details)	\$17,695,596 9 Awards UT Austin RP170427 \$983,586 Baylor COM RP170295 \$1,052,089 UT Austin RP170095 \$891,623 UT HSC Houston RP170493 \$1,487,683 Rice University RP170071 \$1,488,105 Baylor COM RP170071 \$1,488,105 UT M.D.A RP170259 \$2,071,403 UT HSC SA RP170126 \$900,000 UT M.D.A RR170005 \$6,000,000	\$7,533,953 5 Awards Texas A&M Eng. Station RP 170144 \$900,000 Baylor COM RP170387 \$889,679 UTSW RP170387 \$844,989 Rice Univ. RP170508 \$900,000 UT MBG RP170593 \$3,999,285	\$3,544,461 4 Awards UT M.D.A RP170333 \$1,000,000 UT M.D.A RP170231 \$869,197 UT M.D.A RP170317 \$899,507 UT M.D.A RP170231 \$869,197	\$14,389,935 10 Awards UT M.D.A RP170231 \$869,197 BCM RP170074 \$1,200,000 Texas Tech HSC RP170207 \$1,173,149 Texas Tech HSC RP170470 \$1,125,638 Texas Tech HSC RP170510 \$1,058,246 UTSW RP170152 \$1,169,499 BCM RP170169 \$1,198,726 BCM RP170488 \$1,110,480 BCM RP170071 \$1,488,105 UT HSC SA RP170345 \$3,996,895	\$12,764,299 6 Awards Methodist RI RP170245 \$999,995 Methodist RI RP170466 \$896,951 UT M.D.A RP170067 \$4,000,000 UT M.D.A RP170259 \$2,071,403 UNT HSC RP170301 \$799,055 UT HSC SA RP170345 \$3,996,895	\$13,897,376 8 Awards UT M.D.A RP170066 \$990,905 UT HSC Houston RP170233 \$900,000 UT M.D.A RP170231 \$869,197 UT M.D.A RP170040 \$899,889 BCM RP170295 \$1,052,089 UT Austin RP170095 \$891,623 UT HSC Houston RP170493 \$1,487,683 UT HSC SA RP170345 \$3,996,895	\$24,795,224 7 Awards UT M.D.A RR170005 \$6,000,000 UTSW RR170003 \$2,000,000 UT M.D.A RP170067 \$4,000,000 UT MBG RP170593 \$3,999,285 UT M.D.A RP170259 \$2,071,403 UNT HSC RP170301 \$799,955 UT HSC SA RP170345 \$3,996,895

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

Program Priorities-Academic Research

Product Development Research Program Priorities Addressed by Recommended Awards					
Funding projects at Texas companies and relocating companies that are most likely to bring important products to the market	Providing funding that promotes the translation of research at Texas institutions into new companies able to compete in the marketplace	Identifying and funding projects to develop tools and technologies of special relevance to cancer research, treatment, and prevention	Early translational research	Enhance Texas’ research capacity and life science infrastructure	Rare and intractable cancers, including childhood cancers

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS

FROM: JIM WILLSON, MD, CHIEF SCIENTIFIC OFFICER

SUBJECT: ACADEMIC RESEARCH FY 2017 REVIEW CYCLE 1 AND
RECRUITMENT AWARD RECOMMENDATIONS FY17.1 AND 17.2.

DATE: NOVEMBER 1, 2016

CPRIT Scientific Review Council Recommendations and Program Integration Committee Funding Recommendations for the 17.1 Grant Review Cycle and Recruitment Recommendations FY17.1 and 17.2:

The CPRIT Scientific Review Council (SRC) and the Program Integration Committee reviewed and recommend awarding 57 Academic Research projects totaling \$71,256,343. The recommendations are presented in eight slates corresponding to grant mechanisms.

Due to FY16 obligations assigned to the FY17 base research funding allocation, the Program Integration Committee is recommending the use of the award deferral process set by CPRIT Administrative rule 703.7(d) to defer the decision to recommend awards for 8 SRC recommended Individual Investigator Research Awards (IIRA) and 3 Early Translational Research Awards until a future FY17 meeting, pending sufficient funding. The deferment selection was based on SRC scores and Oversight Committee priorities. The table below displays the SRC recommendations and the Program Integration Committee recommendations.

Grant Mechanism		SRC Recommendations		Program Integration Committee Recommendations	
		Awards	Funding		
Early Translational Research Awards		7	\$6,973,400	4	\$3,974,486
Individual Investigator Research Awards (IIRA)		28	\$24,926,399	20	\$17,892,210
IIRA Childhood and Adolescent Cancers		7	\$8,035,738	7	\$8,035,738
IIRA Computational Biology		3	\$2,634,668	3	\$2,634,668
IIRA Prevention and Early Detection		5	\$5,819,500	5	\$5,819,500
Research Training Awards		5	\$14,866,638	5	\$14,866,638
Recruitment of Established Investigators		1	\$6,000,000	1	\$6,000,000
Recruitment of First-Time, Tenure Track Faculty Members		1	\$2,000,000	1	\$2,000,000
Total		57	\$71,256,343	46	\$61,223,240

Program Priorities Addressed:

The applications proposed to the CPRIT Oversight Committee for funding address one or more of the Academic Research Program priorities. Several applications address more than one priority. (See attachment 1) for detail.

Program Priorities Addressed by Grant Recommendations		
# Awards	Program Priorities	Funding
35	Broad range of innovative, investigator-initiated research projects	\$34,382,116
7	Enhance Texas' research capacity and life sciences infrastructure	\$24,795,224
10	Childhood cancers	\$14,389,935
9	Prevention and early detection	\$17,695,596
5	Computational biology and analytic methods	\$7,533,953
4	Rare or intractable cancers	\$3,544,461
8	Cancer of importance in Texas (Lung, Cervix, Liver)	\$12,097,376
6	Disparities	\$12,764,299

Cycle 17.1 RFAs

The eight slates represent applications recommended for funding, which were submitted in response to the following academic research award mechanism Request for Applications (RFAs): Early Translational Research Awards (RFA R-17.1-ETRA), Individual Investigator Research Awards (IIRA RFA R-17.1), IIRA Childhood and Adolescent Cancers (RFA R-17.1-IIRACCA), IIRA Computational Biology (RFA R-17.1-IIRACB), IIRA Prevention and Early Detection (RFA R-17.1-IIRAP), Research Training Awards (RFA R-17.1-RTA), Recruitment of Established Investigators (RFA R-17.1 REI) and Recruitment of First-Time, Tenure Track Faculty Members (RFA R-17.1-RFT).

Academic Research Program Slates:

***1. Early Translational Research Awards (RFA R-17.1-ETRA) Slate
(Totaling *\$3,974,486)***

Peer Review Recommendations:

The Scientific Review Council and Program Integration Committee recommended seven Early Translational Research Awards (ETRA), totaling *\$6,973,400. As mentioned previously, the Program Integration Committee recommends the deferment of three of these awards totaling \$2,998,914 which brings the ETRA slate total to \$3,974,486.

Purpose of Early Translational Research Awards:

Supports projects that "bridge the gap" between promising new discoveries achieved in the research laboratory and commercial development for a therapeutic, device, or diagnostic assay through activities up to and including preclinical proof-of-principle data that demonstrate applicability to the planned clinical scenario. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism; a public or private company is not eligible.

Early Translational Research Funding Levels:

Up to \$1 million in total costs over a period of 1-3 years. Exceptions permitted if extremely well justified.

Recommended Early Translational Research Awards (ETRA)

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP170427	1.5	Ambient Mass Spectrometry for Preoperative Molecular Diagnosis of Thyroid Fine Needle Aspirate Biopsies	Schiavinato Eberlin, Livia	The University of Texas at Austin	\$983,586	Prevention
RP170245	2.2	Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors	Liu, Qingyun	The University of Texas Health Science Center at Houston	\$1,000,000	
RP170537	2.4	Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer	Wang, Rongfu	The Methodist Hospital Research Institute	\$999,995	Disparities
RP170066	2.5	Oncolytic Immunotherapy for Gliomas and Cancer Metastases in the Era of Checkpoint Regulation	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	\$990,905	Lung Intractable

Cycle 17.1 ETRAs recommended for deferral

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP170179	2.9	Chemoablation of High-Risk Oral Premalignant Lesions for Sustained Cancer Prevention	Tsai, Robert	Texas A&M University System Health Science Center	\$1,000,000	Prevention
RP170500	2.9	Development of next generation steroid receptor coactivator small molecule inhibitors as novel agents to target therapy-resistant breast cancer	O'Malley, Bert	Baylor College of Medicine	\$998,914	
RP170333	3.0	Targeting ubiquitination for cancer therapy	Zhang, Shuxing	The University of Texas M. D. Anderson Cancer Center	\$1,000,000	Childhood Rare Intractable

2. Individual Investigator Research Awards (RFA R-17.1-IIRA) Slate (Totaling *\$17,892,210)

Peer Review Recommendations:

The Scientific Review Council and Program Integration Committee recommended 28 Individual Investigator Research Awards, totaling *\$24,926,399. As mentioned previously, the Program Integration Committee recommends the deferment of 8 of these awards totaling \$7,034,189 which brings the IIRA slate total to \$17,892,210.

Purpose of Individual Investigator Research Awards:

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

Individual Investigator Research Awards Funding Levels:

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

Recommended Individual Investigator Research Awards

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP170466	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$ 896,951	Innovative Disparities
RP170233	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$ 900,000	Innovative Lung
RP170496	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$ 864,971	Innovative
RP170314	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of Texas M. D. Anderson Cancer Center	\$ 899,553	Innovative
RP170401	2.0	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$ 900,000	Innovative
RP170231	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$ 869,197	Innovative Childhood Lung Rare Intractable
RP170399	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$ 899,993	Innovative
RP170040	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$ 899,889	Innovative Lung

RP170146	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$ 900,000	Innovative
RP170330	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$ 900,000	Innovative
RP170250	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson Cancer Center	\$ 900,000	Innovative
RP170126	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health Science Center at San Antonio	\$ 900,000	Innovative Prevention
RP170114	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$ 892,521	Innovative
RP170336	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$ 875,757	Innovative Pancreas
RP170382	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$ 900,000	Innovative
RP170564	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$ 900,000	Innovative
RP170079	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 900,000	Innovative
RP170366	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$ 899,996	Innovative
RP170317	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$ 899,507	Innovative Rare Intractable Cancers
RP170307	2.7	Biomarker-Based Treatment of Poor Prognostic Mesenchymal Subtype in Gastric Cancer	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$ 893,875	Innovative

Research Summary

Cycle 17.1 IIRAs recommended for deferral

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP170373	2.8	HTS for covalent GTP-competitive inhibitors of KRAS G12C	Westover, Kenneth	The University of Texas Southwestern Medical Center	\$ 900,000	Innovative Lung
RP170086	2.8	Tumor suppression, p53 and retrotransposons	Abrams, John	The University of Texas Southwestern Medical Center	\$ 891,990	Innovative
RP170572	2.8	Probing Novel Concepts of the NF-kappaB Transcriptional Program in Human Cancer	D'Orso, Ivan	The University of Texas Southwestern Medical Center	\$ 742,577	Innovative
RP170267	2.9	Chemically based disruption of oncogenic beta-catenin activity in liver tissue	Lum, Lawrence	The University of Texas Southwestern Medical Center	\$ 900,000	Innovative Liver
RP170407	2.9	Role of HDAC8 and higher order chromatin structure in melanoma metastasis and therapy	Rai, Kunal	The University of Texas M. D. Anderson Cancer Center	\$ 899,622	Innovative
RP170090	3.0	Novel Regulation and Function of TAK1 in Mutant Kras-driven Development of Pancreatic Ductal Adenocarcinoma	Chiao, Paul	The University of Texas M.D. Anderson Cancer Center	\$ 900,000	Innovative Pancreas
RP170180	3.1	Mechanistic Roles of Long Non-Coding RNA in Glioblastoma Development and Treatment	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	\$ 900,000	Innovative Childhood Rare Intractable
RP170172	3.1	Targeting Therapy Resistance using Epithelial to Mesenchymal Transition (EMT) Pathways in Preclinical Claudin Low Breast Cancer Models	Rosen, Jeffrey	Baylor College of Medicine	\$ 900,000	Innovative Disparities

3. Individual Investigator Research Awards for Cancer in Children and Adolescents (RFA R-17.1-IIRACCA) Slate (Totaling \$8,035,738)

Peer Review Recommendations:

The Scientific Review Council and Program Integration Committee recommended seven Individual Investigator Research Awards for Cancer in Children and Adolescents, totaling \$8,035,738.

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

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

the near or long term. Competitive renewal applications accepted.

Individual Investigator Research Awards for Cancer in Children and Adolescents Funding

Levels:

Up to \$500,000 per year. Exceptions permitted if extremely well justified; Maximum duration: 4 years

Recommended Individual Investigator Research Awards for Cancer in Children and Adolescents

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP170074	2.0	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$1,200,000	Innovative Childhood
RP170207	2.0	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for chemotherapy of childhood brain cancers	Srivenugopal, Kalkunte	Texas Tech University Health Sciences Center	\$1,173,149	Innovative Childhood
RP170470	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$1,125,638	Innovative Childhood
RP170510	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$1,058,246	Innovative Childhood
RP170152	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$1,169,499	Innovative Childhood
RP170169	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a dysregulated EZH2 pathway	Li, Xiao-Nan	Baylor College of Medicine	\$1,198,726	Innovative Childhood
RP170488	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$1,110,480	Innovative Childhood

4. Individual Investigator Research Awards for Computational Biology (RFA R-17.1-IIRACB) Slate (Totaling \$2,634,668)

Peer Review Recommendations:

The Scientific Review Council and Program Integration Committee recommended three Individual Investigator Research Awards for Computational Biology Awards, totaling \$2,634,668.

Purpose of Individual Investigator Research Awards for Computational Biology:

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

Individual Investigator Research Awards for Computational Biology Funding Levels:

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

Recommended Individual Investigator Research Awards for Computational Biology

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP170144	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$900,000	Innovative Computational Biology
RP170387	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$889,679	Innovative Computational Biology
RP170170	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$844,989	Innovative Computational Biology

5. Individual Investigator Research Awards for Prevention and Early Detection (RFA R-17.1-IIRAP) Slate (Totaling \$5,819,500)

Peer Review Recommendations:

The Scientific Review Council and Program Integration Committee recommended five Individual Investigator Research Awards for Prevention and Early Detection, totaling \$5,819,500.

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

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

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

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

Recommended Individual Investigator Research Awards for Prevention and Early Detection

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP170295	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$1,052,089	Innovative Prevention Lung
RP170095	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$ 891,623	Innovative Prevention Lung
RP170493	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$1,487,683	Innovative Prevention Cervix
RP170508	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$900,000	Innovative Prevention Computational Biology
RP170071	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$1,488,105	Innovative Prevention Childhood

6. Research Training Awards (RFA R-17.1-RTA) Slate (Totaling \$14,866,638)

Peer Review Recommendations:

The Scientific Review Council (SRC) and Program Integration Committee recommended five Research Training Awards, totaling \$14,866,638. Please note the SRC recommended the following budget reductions for grant application RP170259: Reduce number of trainees from 9 to 6 Post-Doctoral trainees per year; reduce funding for training program manager to 50% FTE (from proposed 100% FTE), and reduce budget to reflect reduction of 3 trainees/year (cost per trainee *3). The award amount in this table reflects these changes.

Purpose of Research Training Awards:

Supports applications for integrated institutional research training programs to support promising individuals who seek specialized training in the area of cancer research. CPRIT expects institutions to provide trainees with broad access to research opportunities across disciplinary and departmental lines and to maintain high standards for intellectual rigor and creativity.

Research Training Awards Funding Levels:

Up to \$800,000 per year; Maximum duration: 5 years.

Recommended Research Training Awards

ID	Score	Application Title	PI	PI Organization	Budget	Priorities
RP170067	1.2	The Future of Cancer Research: Training Program for Basic and Translational Scientists	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$4,000,000	Disparities
RP170593	2.0	Computational Cancer Biology Training Program	Pettitt, B. Montgomery	The University of Texas Medical Branch at Galveston	\$3,999,285	Computational Biology

*RP170259	2.6	CPRIT Cancer Prevention Research Training Program	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	\$2,071,403	Prevention
RP170301	2.7	Osteopathic Scholars in Cancer Research (OSCR)	Vishwanatha, Jamboor	University of North Texas Health Science Center at Fort Worth	\$ 799,055	Disparities
RP170345	3.2	UTHSCSA Cancer Research Training Program	Oyajobi, Babatunde	The University of Texas Health Science Center at San Antonio	\$3,996,895	Childhood Disparities Lung

7. RECRUITMENT OF ESTABLISHED INVESTIGATORS SLATE ***FY17.1 and 17.2***

Peer Review Recommendations

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

Purpose of Recruitment of Established Investigators Awards:

The aim is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.

Funding levels for Recruitment of Established Investigators Awards:

Up to \$6 million over a period of 5 years.

Recommended Projects:

One candidate is being recommended for Established Investigator Awards:

- 1 at The University of Texas M.D. Anderson Cancer Center

Below is a listing of this candidate with their associated expertise.

RR170005

Candidate: Maura L. Gillison, M.D. Ph.D

Funding Mechanism: Recruitment of Established Investigators

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

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

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

CPRIT Priorities addressed: Enhance Texas' research capacity and life science infrastructure; Prevention

Description:

Maura L. Gillison, M.D. Ph.D. is being recruited to a Professor position within the Department of Thoracic/Head and Neck Medical Oncology, with a joint appointment in Epidemiology, at the University of Texas MD Anderson Cancer Center (THNMO). Dr. Gillison currently serves as a Professor and Jeg Coughlin Chair of Cancer Research and serves as the Co-Leader of the Head and Neck Cancer Program at Ohio State University.

Dr. Gillison has made seminal, paradigm changing discoveries uncovering the role of human papillomavirus (HPV) in the pathogenesis of head and neck cancer (HNC). She was the first to show the role of HPV in oropharyngeal HNCs; demonstrated the role of vaccines in preventing HPV-related HNCs; identified that HPV+ HNCs are a distinct subgroup with unique genomic alterations, clinical outcomes, and therapeutic vulnerabilities; and, more recently, she led the definitive phase III clinical trial demonstrating that immunotherapy with pembrolizumab improved survival compared with chemotherapy in refractory HNCs, leading to the recent FDA approval of the drug, the first immunotherapy for HNC patients. Each of these advances has changed the standard care of HNC patients worldwide. In recognition of these accomplishments, Dr. Gillison was recently elected to the National Academy of Medicine.

Dr. Gillison's world-renowned research program will complement and enhance that of existing faculty at MD Anderson. She will develop and lead a multi-disciplinary research program focused on HPV-driven head and neck cancer, and will provide leadership and scientific expertise to the MD Anderson Head and Neck (Specialized Program of Research Excellence) program, as well as the Depts. of THNMO and Epidemiology. Her research program will focus on two key areas: 1) Mutations specific to HPV-driven HNCs and the development of appropriate model systems for their investigation; and 2) HPV integration effects on host genome structure and function. She is unquestionably an international leader in the prevention, detection and treatment of HPV-driven cancers. Her recruitment to MD Anderson, coupled with ongoing efforts in HPV-driven disease, would lead to the development of a world-class program in HPV biology, a group capable of truly practice-changing advances to how we prevent and treat these types of cancers.

8. RECRUITMENT FIRST-TIME TENURE TRACK FACULTY MEMBERS SLATE FY17.1 and 17.2

Peer Review Recommendations

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

Purpose of First Time Tenure Track Faculty Recruitment

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

Funding levels for First Time Tenure Track Faculty Members Recruitment

Up to \$2 million over a period of 4 years.

Recommended Projects:

One candidate is being recommended for First-time Tenure Track Faculty Member Awards:

- 1 at The University of Texas Southwestern Medical Center:

Below is a listing of this candidate with associated expertise.

RR170003

Candidate: Srinivas Malladi, Ph.D

Applicant Organization: The University of Texas Southwestern Medical Center

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

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

CPRIT Priorities addressed: Enhance Texas' research capacity and life science infrastructure; Lung Cancer.

Description:

Srinivas Malladi, Ph.D., currently a Research Associate in the Cancer Biology and Genetics Program at Memorial Sloan Kettering Cancer Center is being recruited to the Department of Pathology at the University of Texas Southwestern Medical Center as an assistant professor on the tenure-accruing track. As an independent scientist in Dallas, he plans to investigate metastatic latency in an effort to develop new therapies to treat metastatic lung and renal cancer.

Academic Research Program Priorities Addressed by Recommended Awards							
A broad range of innovative, investigator-initiated research projects	Prevention and early detection	Computational biology and analytic methods	Rare or intractable cancers	Childhood cancers	Population disparities	Cancers of importance in Texas	Enhance Texas' Research capacity and life science infrastructure
\$34,382,116 35 Awards (See attachment #2 for details)	\$17,695,596 9 Awards UT Austin RP170427 \$983,586 Baylor COM RP170295 \$1,052,089 UT Austin RP170095 \$891,623 UT HSC Houston RP170493 \$1,487,683 Rice University RP170071 \$1,488,105 Baylor COM RP170071 \$1,488,105 UT M.D.A RP170259 \$2,071,403 UT HSC SA RP170126 \$900,000 UT M.D.A RR170005 \$6,000,000	\$7,533,953 5 Awards Texas A&M Eng. Station RP 170144 \$900,000 Baylor COM RP170387 \$889,679 UTSW RP170387 \$844,989 Rice Univ. RP170508 \$900,000 UT MBG RP170593 \$3,999,285	\$3,544,461 4 Awards UT M.D.A RP170333 \$1,000,000 UT M.D.A RP170231 \$869,197 UT M.D.A RP170317 \$899,507 UT M.D.A RP170231 \$869,197	\$14,389,935 10 Awards UT M.D.A RP170231 \$869,197 BCM RP170074 \$1,200,000 Texas Tech HSC RP170207 \$1,173,149 Texas Tech HSC RP170470 \$1,125,638 Texas Tech HSC RP170510 \$1,058,246 UTSW RP170152 \$1,169,499 BCM RP170169 \$1,198,726 BCM RP170488 \$1,110,480 BCM RP170071 \$1,488,105 UT HSC SA RP170345 \$3,996,895	\$12,764,299 6 Awards Methodist RI RP170245 \$999,995 Methodist RI RP170466 \$896,951 UT M.D.A RP170067 \$4,000,000 UT M.D.A RP170259 \$2,071,403 UNT HSC RP170301 \$799,055 UT HSC SA RP170345 \$3,996,895	\$13,897,376 8 Awards UT M.D.A RP170066 \$990,905 UT HSC Houston RP170233 \$900,000 UT M.D.A RP170231 \$869,197 UT M.D.A RP170040 \$899,889 BCM RP170295 \$1,052,089 UT Austin RP170095 \$891,623 UT HSC Houston RP170493 \$1,487,683 UT HSC SA RP170345 \$3,996,895	\$24,795,224 7 Awards UT M.D.A RR170005 \$6,000,000 UTSW RR170003 \$2,000,000 UT M.D.A RP170067 \$4,000,000 UT MBG RP170593 \$3,999,285 UT M.D.A RP170259 \$2,071,403 UNT HSC RP170301 \$799,955 UT HSC SA RP170345 \$3,996,895

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



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Attachment #2

Priority Details: A broad range of innovative, investigator-initiated research projects

ID	Score	Title	PI	Institution	Funding	Priority
RP170466	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$896,951	Innovative Disparities
RP170233	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$900,000	Innovative Lung
RP170496	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$864,971	Innovative
RP170314	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of Texas M. D. Anderson Cancer Center	\$899,553	Innovative
RP170401	2	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$900,000	Innovative
RP170074	2	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$1,200,000	Innovative Childhood
RP170207	2	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for chemotherapy of childhood brain cancers	Srivenugopal, Kalkunte	Texas Tech University Health Sciences Center	\$1,173,149	Innovative Childhood
RP170231	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$869,197	Innovative Lung Rare Intractable
RP170399	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$899,993	Innovative
RP170040	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$899,889	Innovative Lung
RP170470	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$1,125,638	Innovative Childhood

RP170295	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$1,052,089	Innovative Prevention Lung
RP170095	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$891,623	Innovative Prevention Lung
RP170146	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$900,000	Innovative
RP170493	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$1,487,683	Innovative Prevention Cervix
RP170330	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$900,000	Innovative
RP170250	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson Cancer Center	\$900,000	Innovative
RP170126	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health Science Center at San Antonio	\$900,000	Innovative Prevention
RP170114	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$892,521	Innovative
RP170510	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$1,058,246	Innovative Childhood
RP170508	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$900,000	Innovative Prevention Computational Biology
RP170336	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$875,757	Innovative Pancreas
RP170382	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$900,000	Innovative
RP170564	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$900,000	Innovative
RP170079	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$900,000	Innovative

RP170366	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$899,996	Innovative
RP170317	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$899,507	Innovative Rare Intractable
RP170307	2.7	Biomarker-Based Treatment of Poor Prognostic Mesenchymal Subtype in Gastric Cancer	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$893,875	Innovative
RP170071	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$1,488,105	Innovative Prevention Childhood
RP170152	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$1,169,499	Innovative Childhood
RP170169	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a dysregulated EZH2 pathway	Li, Xiao-Nan	Baylor College of Medicine	\$1,198,726	Innovative Childhood
RP170144	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$900,000	Innovative Computational Biology
RP170488	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$1,110,480	Innovative Childhood
RP170387	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$889,679	Innovative Computational Biology
RP170170	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$844,989	Innovative Computational Biology

Attachment #3

RFA Descriptions

- **Early Translational Research Awards (RFA R-17.1-ETRA)**
Supports projects that "bridge the gap" between promising new discoveries achieved in the research laboratory and commercial development for a therapeutic, device, or diagnostic assay through activities up to and including preclinical proof-of-principle data that demonstrate applicability to the planned clinical scenario. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism; a public or private company is not eligible.
Award: Up to \$1 million in total costs over a period of 1-3 years. Exceptions permitted if extremely well justified.
- **Individual Investigator Research Awards (IIRA) (RFA R-17.1 IIRA)**
Supports applications for innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. Areas of interest include laboratory research, translational studies, and/or clinical investigations. Competitive renewal applications accepted.
Award: Up to \$300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.
- **IIRA Childhood and Adolescent Cancers (RFA R-17.1-IIRACCA)**
Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, progression, detection, or treatment of cancer in children and adolescents. Laboratory, clinical, or population-based studies are all acceptable. CPRIT expects the outcome of the research to reduce the incidence, morbidity, or mortality from cancer in children and/or adolescents in the near or long term. Competitive renewal applications accepted.
Award: Up to \$500,000 per year. Exceptions permitted if extremely well justified; maximum duration: 4 years
- **IIRA Computational Biology (RFA R-17.1-IIRACB)**
Supports applications for innovative mathematical or computational research projects addressing questions that will advance our knowledge in any aspect of cancer. Areas of interest include data analysis of cellular pathways, microarrays, cellular imaging, cancer imaging or genomic, proteomic, and metabolomics databases; descriptive mathematical models of cancer, as well as mechanistic models of cellular processes and interactions and use of artificial intelligence approaches to build new tools for mining cancer research and treatment databases.
Award: Up to \$300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.
- **IIRA Prevention and Early Detection (RFA R-17.1-IIRAP)**
Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, early-stage progression, and/or early detection of cancer. Research may be laboratory, clinical, or population-based, and may include behavioral/intervention, dissemination or health services/outcomes research to reduce cancer incidence or promote early detection. Competitive renewal applications accepted.
Award: Up to of \$300,000 per year for laboratory and clinical research; Up to \$500,000 per year for population-based research. Exceptions permitted if extremely well justified; maximum duration: 3 years.

- **Research Training Awards (RFA R-17.1-RTA)**
Supports applications for integrated institutional research training programs to support promising individuals who seek specialized training in the area of cancer research. CPRIT expects institutions to provide trainees with broad access to research opportunities across disciplinary and departmental lines and to maintain high standards for intellectual rigor and creativity.
Award: Up to \$800,000 per year; Maximum duration: 5 years.
- **Recruitment of Established Investigators (RFA R-17-1 REI):**
Recruits outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.
Award: Up to \$6 million over a period of five years.
- **Recruitment of First-Time Tenure Track Faculty Members (RFA R-17-1. RFT):**
Supports very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.
Award: Up to \$2 million over a period of four years.



Product Development Research FY 2016 Review Cycle 2
Award Recommendations
November 1, 2016

Summary: The PIC recommends two applications totaling \$35,089,415

#	Grant Type	Total
2	Texas Company Product Development Research Awards	\$35,089,415
2	Total	\$35,089,415

#	Program Priorities Addressed by Grant Recommendations*
2	Funding projects at Texas companies and relocating companies that are most likely to bring important products to the market
	Providing funding that promotes the translation of research at Texas institutions into new companies able to compete in the marketplace
	Identifying and funding projects to develop tools and technologies of special relevance to cancer research, treatment, and prevention
	Early translational research (priority across programs)
	Enhance Texas' research capacity and life science infrastructure (priority across programs)
2	Rare and intractable cancers, including childhood cancers (Academic Research priority)

* Grant recommendations may address more than one program priority

FY 2016 Product Development Research funding to date: (does not include November awards) – \$53,933,366.

Product Development Research Award Mechanisms – FY 2016 Review Cycle 2

Texas Company Product Development Awards

This award mechanism seeks to support Texas companies in the development of new products for the diagnosis, treatment, or prevention of cancer. Companies must have a significant presence in Texas or be willing to relocate to Texas. The maximum award amount is \$20 M, with a project duration of up to 36 months.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: MICHAEL LANG, CHIEF PRODUCT DEVELOPMENT OFFICER
Subject: FY 16.2 PRODUCT DEVELOPMENT GRANT RECOMMENDATIONS
Date: NOVEMBER 1, 2016

Summary of Recommendation:

The Program Integration Committee met on October 28, 2016 and unanimously recommended that the Oversight Committee approve Texas Company product development research grant awards to two prior CPRIT award recipients: Bellicum (\$19,789,415), and Molecular Templates (\$15,300,000).

Bellicum Pharmaceuticals ("Bellicum") is developing a cancer treatment based on a lead compound BPX-501. This compound is used in combination with $\alpha\beta$ T-cell depleted grafts for the treatment of acute myeloid leukemia. The use of BPX-105 provides an alternative for those patients for which a HLA-matched donor is not available. The scientific rationale underlying the project is highly rated by the review panel, receiving an overall score of 3.1. Bellicum is headquartered in Houston, Texas.

The scientific rationale underlying the Molecular Templates product development research project is also highly rated by the review panel, receiving an overall score of 1.7. Molecular Templates ("MT") is developing a lead compound, MT-4019ND, a modified fragment of an antibody that inactivates ribosome activity. MT-4019ND was developed for the treatment of multiple myeloma. Molecular Templates is located in Georgetown, Texas.

In making the recommendations, the PDRC also considered each company's potential to: 1.) bring important products to market; 2.) promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and 3.) develop tools and technologies of special relevance to cancer research, treatment, and prevention.

Background - FY 16.2 Review Cycle:

The RFAs for the FY 2016.2 review cycle were released December 28, 2015. CPRIT received 32 applications for the FY 2016.2 review cycle. Peer review took place at meetings on April 7 & 8, 2016 (peer review panel screening teleconference), May 10-13, 2016 (in-person presentations), and October 17, 2016 (due diligence review).

Of the 32 applications submitted in this cycle, 13 applicants were invited to make in-person presentations, of which seven were selected for due diligence review. After consideration of the

due diligence reports, the PDRC recommended two grant applications, Bellicum and Molecular Templates, for grant awards. As noted in Dr. Geltosky's letter, the recommendation to fund Bellicum and Molecular Therapeutics reflects 50+ hours of individual review and panel discussion of each applicant's proposal as well as the PDRC's review of the due diligence reports for each company.

Mechanism of Support and Program Objectives:

Bellicum and Molecular Therapeutics are recommended for Texas Company Product Development research awards. The award mechanism supports the ongoing work of existing companies that intend to undertake product research and development in Texas with Texas-based employees.

In determining eligibility for this award, CPRIT carefully evaluates whether applicants will have a significant presence in Texas. Texas Company Product Development Awards assist early-stage startup companies by providing the opportunity: (1) to continue to develop new products for the diagnosis, treatment, supportive care, or prevention of cancer; (2) to establish infrastructure that is critical to the development of a robust industry; and (3) to fill any treatment, industry, or research gaps.

Program Priorities:

Consistent with CPRIT's Product Development Program Priorities, the Texas Company mechanism funds projects at companies that are most likely to bring important cancer care products to the market. Development of the therapeutic to treat the various cancers addressed by these two projects also aligns with the Oversight Committee's other program priorities to support rare and intractable cancers, including childhood cancers and those of significant unmet clinical need.

Bellicum

Proposed Texas Company Product Development Award

Bellicum - \$19,789,415 Texas Company Product Development Research Award
Recommendation

Summary

The proposed \$19,789,415 award to Bellicum supports the continued development a cancer treatment based on a lead compound BPX-501. This compound is used in combination with $\alpha\beta$ T-cell depleted grafts for the treatment of acute myeloid leukemia. The use of BPX-105 provides an alternative for those patients for which a HLA-matched donor is not available. The scientific rationale underlying the project is highly rated by the review panel, receiving an overall score of 3.1.

The scientific rationale underlying Bellicum proposed product development research project is highly rated by the review panel, receiving an overall score of 3.1. Utilizing CPRIT and matching funding, the company intends to conduct Phase II clinical studies in in adults and children with - Acute Myeloid Leukemia (AML).

Previously, Bellicum received CPRIT support to initiate clinical development of BPX-501, in adult leukemia patients undergoing hematopoietic stem cell transplantation. Based on that study and additional Bellicum studies the company plans to conduct Phase II evaluations of a new combination therapy. This employs BPX-501 together with $\alpha\beta$ T-cell depleted grafts for the treatment of children and adults with Acute Myeloid Leukemia (AML).

BPX-501 is a disruptive innovation that solves critical issues involved in providing potentially life-saving HSC transplantation to patients who do not have an HLA-matched donor. For these patients, current protocols seek a delicate balance between eliminating mismatched donor T-cells that could result in fatal graft versus host disease (GvHD), while preserving enough donor T-cells to defend against fatal opportunistic infections and cancer recurrence via the “graft versus leukemia” effect.

Acute Myeloid Leukemia

Acute Myeloid Leukemia (AML) is a cancer that begins in bone marrow and affects cells intended to mature into different types of blood cells. There are ~40,000 new cases of AML annually in the United States Europe, with overall five-year survival of ~25%. Approximately 40% of AML patients are classified as high risk AML patients, and an additional 40% as intermediate risk AML patients would increase this projection to ~\$604 million annually. The company intend to seek FDA approval initially in AML. Subsequently they intend to evaluate a variety of refractory or relapsed cancer types, including solid tumors.

Scientific Rationale Underlying Lead Compound SP-2577

BPX-501 is a product composed of T-cells from the haploidentical donor that have been expanded *ex vivo* and genetically equipped with a molecular safety switch (iCasp9 gene) which allows for temporary down-regulation of T-cell activity by administration of the small molecule drug rimiducid. As such, BPX-501 delivers fully functional T-cells back to patients, thereby maximizing protection from infection and cancer relapse, but also providing substantial (if not complete) protection from severe GvHD by temporarily turning off T cell activities. Bellicum has now demonstrated the preliminary efficacy of this safety switch to rapidly resolve severe GvHD in eight clinical patients.

Previously, Bellicum received CPRIT support to initiate clinical development of its lead cell therapy, BPX-501, in adult leukemia patients undergoing CD34+ selected, HLA-haploidentical hematopoietic stem cell transplantation (haplo-HSCT). Based on that study and additional Bellicum studies on adults and children undergoing haplo-HSCT for malignant and non-malignant disorders, Bellicum is requesting renewal of CPRIT funding to support Phase II evaluations of a new combination therapy employing BPX-501 together with $\alpha\beta$ T-cell depleted grafts for the treatment of children and adults with AML.

Selected Reviewer Comments

- There is known competency with prior CPRIT overview and support. Clinical milestones in early patient treatments have been published in high visibility journals (BLOOD, NEJM). The trials proposed are appropriate and reflect FDA orphan status and would likely be fast tracked toward approval without the need for large scale trials. Issues to be addressed are noted and review of these will be important to guide success for this program. Improved outcomes for patients with AML without an identical donor with AML could be significantly benefited and cured by this technology. Even partial success would represent a meaningful breakthrough.
- Bellicum is developing BPX-501 for the treatment of GVHD. GVHD is a common, serious problem in transplant that is associated with mortality. It is a common occurrence when using transplants using a donor who is not HLA-matched. A donor who is HLA non-matched is often needed since donors who are HLA-matched can be difficult to obtain for Whites, African Americans and Asians, where donors who are matched are obtained only 50, 10 and 5% of the time, respectively. In many blood cancers, transplant is needed to achieve cures. If HSCT cannot be done, the mortality rate is high (i.e. in ALL and AML).

Grant Award Contract and Risk Mitigation

Investing in early stage translational cancer research is inherently risky. Therapies that show promise in the lab and in animals may not make a measurable difference in humans or the

treatment's side effects may be so severe as to not justify the benefits. Along with the increased risk of scientific failure, human studies are more expensive than laboratory and animal studies.

CPRIT addresses the risk associated with product development awards by tying disbursement of grant funds to achieving specific goals and objectives. The company only receives the entire amount of the award if all goals and objectives are met. Because goals are usually associated with project milestones, such as receiving FDA approval for an IND filing or completing a clinical trial, achieving all goals also means that the project is making meaningful progress on the way to becoming a treatment option.

A summary of the company's goals and objectives, along with the associated tranches, are set forth below. For a complete explanation of each goal and summary, please see the application.

Bellicum Project Goals and Objectives:

The bulk of CPRIT funding will support Phase II clinical development of BXP-501. Specific goals and objectives for each year of the grant project, described below, will be included in the executed grant contract.

Goals and Objectives to be included in the executed grant contract:

Year 1 2017

Tranche \$6,442,971

Primary Objectives Begin Phase II Clinical Trials

To complete all the processes and procedures required before enrolling the first patient, including: finalization of clinical trial protocols and investigator documents; regulatory review by the NIH and FDA; and selection, education, and initiation of all clinical study sites.

1. Develop and finalize clinical trial protocols
2. Submit protocols to NIH Recombinant DNA Advisory Committee (RAC) and receive approval to proceed with trials
3. Submit and receive FDA protocol reviews
4. Complete clinical trial site selection and initiation
5. Complete installation and qualification of BPX-501 manufacturing equipment at Bellicum facilities in Houston

Year 2 2018

Tranche \$8,623,283

Primary Objectives To begin enrollment of children and adults in the clinical trials, and to perform ongoing study site monitoring to assure that all study procedures are being followed, all collection of data is accurate and complete, and to continually monitor for safety by assessing adverse events and evaluating investigator feedback.

1. Initiate patient enrollment
2. Conduct ongoing study site monitoring at clinical sites
3. Complete pre-clinical pharmacokinetics studies on rimiducid

4. Optimize the conditions for manufacturing sufficient transduced BPX-501 cells at clinical scale

Year 3 2019

Tranche \$4,723,161

Primary Objectives To complete enrollment, follow-up, and closeout procedures for all clinical trial patients, and to finalize the clinical study reports which include an evaluation of safety and preliminary efficacy of BPX-501 in study patients; and to complete additional rimiducid animal toxicology and pharmacokinetics studies requested by the FDA in addition to the human clinical trial data.

1. Complete patient enrollment in clinical trials
2. Perform post-enrollment follow-up
3. Perform and complete study closeout
4. Complete CSR (clinical study report)
5. Complete developmental and reproductive toxicology studies on rimiducid

***Molecular Templates
Proposed Texas Company Product Development Award
Recommended by the Product Development Review Council***

Molecular Templates - \$15,300,000 Texas Company Product Development Research Award Recommendation

Summary

The proposed \$15,300,000 award to Molecular Templates (MT) supports the continued development of novel therapies for highly refractory non-Hodgkin's lymphoma patients. Utilizing CPRIT and matching funding, the company intends to advance its lead compound, through Phase I and Phase II clinical studies.

Molecular Templates has developed MT-4019ND, a novel CD38-targeting biologic agent for the treatment of multiple myeloma with a direct cell-kill mechanism of action. MT-4019ND was engineered from the same scFv-SLTA scaffold as MT-3724 with improvements made to de-immunize the molecule, improve stability, and increase efficacy. MT-4019ND specifically targets CD38-expressing myeloma cells for irreversible and enzymatic shut down of protein synthesis and resulting cell-kill.

Molecular Templates is a venture-backed biopharmaceutical company founded in 2009 with its research laboratories and headquarters in Georgetown, Texas. The company has received in excess of \$21M in venture funding to date and currently has twenty full-time employees.

Multiple Myeloma

An estimated 26,850 people were diagnosed with multiple myeloma in the United States in 2015 with an estimated 11,200 deaths resulting from the disease (SEER Cancer Statistics, 2015). The five-year survival rate for myeloma is 45%.

Historically, there have been three major classes of therapeutics used to treat multiple myeloma: steroids, proteasome inhibitors, and the thalidomide-derived immunomodulatory drugs (IMiDs). In 2015, daratumumab, an antibody to CD38, and elotuzumab, an antibody to SLAMF7, became the first biologics approved for multiple myeloma by the Food and Drug Administration (FDA).

Scientific Rationale Underlying Compound MT-4019 ND

Molecular Templates has developed MT-4019ND, a novel CD38-targeting biologic agent for the treatment of multiple myeloma with a direct cell-kill mechanism of action. MT-4019ND was engineered from the same scFv-SLTA scaffold as MT-3724 with improvements made to de-immunize the molecule, improve stability, and increase efficacy. MT-4019ND specifically targets CD38-expressing myeloma cells for irreversible and enzymatic shut down of protein synthesis and resulting cell-kill.

MT-4019ND has shown potent and specific activity against a variety of CD38-expressing cell lines in *in vitro* studies; it has also shown synergistic activity with the refractory standard of care, pomalidomide. The validated target and unique mechanism of MT-4019ND and the impressive *in vitro* and *in vivo* activity seen with the drug argue strongly for its clinical development in a disease where unmet need remains high.

The proposed CPRIT development plan for MT-4019ND is centered on three specific aims:

1. In Aim 1, Molecular Templates will open an IND application for MT-4019ND with the FDA;
2. MT-4019ND will be evaluated in a monotherapy phase I study of refractory multiple myeloma patients to determine dose, safety profile, and efficacy;
3. MT-4019ND will be evaluated in a phase II study to determine its efficacy in refractory multiple myeloma patients.

Selected Reviewer Comments:

- There is a clinically validated target of CD38. There is a proof of concept, cytotoxic agent conjugation construct. The plan of development will follow the previous experience of daratumumab. The company has preclinical data supporting synergistic activity with pomalidomide, which would be important for expanded market opportunity. The clinical development plan has early go/no go opportunities based on efficacy and toxicity. The company has solid expertise in this area and a platform technology and is well-positioned for partnering or acquisition.
- The company has described a robust nonclinical/CMC plan. They have developed a surrogate for MT4019ND that cross reacts with NHP to conduct toxicology studies. This addresses concerns raised during the prior submission to CPRIT and allows characterization of the immunotoxin in a fully cross reactive model. The management team is experienced, has moved its first product candidate to phase I, has received funding from multiple sources, and has executed to milestones.
- While there are a number of recent approvals for new therapies for multiple myeloma, none are curative and there is still a significant need for new novel therapies. Antibody drug conjugates are an important evolution of antibody based targeted therapies. This agent represents a significant opportunity for cytotoxic targeted therapy for multiple myeloma. The applicant has significant experience developing a biologic targeted therapy for CD20 with the same cytotoxic platform. Clinical trial results of this CD20 targeted therapy demonstrate sufficient proof of concept to support the mechanism of action and clinical feasibility of MT4019-ND. It is expected that the lead compound will have a cytotoxic for myeloma effect that will demonstrate signals of efficacy and toxicity from the earliest phase I trial to support early go/no go decision making for potential registration opportunities.

Funding Request and Risk Mitigation

Investing in early stage translational cancer research is inherently risky. Therapies that show promise in the lab and in animals may not make a measurable difference in humans or the treatment's side effects may be so severe as to not justify the benefits. Along with the increased risk of scientific failure, human studies are more expensive than laboratory and animal studies. CPRIT addresses the risk associated with larger product development awards by tying disbursement of grant funds to achieving specific goals and objectives. The company only receives the entire amount of the award if all goals and objectives are met. Because goals are usually associated with project milestones, such as receiving FDA approval for an IND filing or completing a clinical trial, achieving all goals also means that the project is making meaningful progress on the way to becoming a treatment option. A summary of the company's goals and objectives, along with the associated tranches, are set forth below. (For a complete explanation of each goal and summary, please see the application.)

Molecular Templates Project Goals and Objectives

The bulk of CPRIT funding will support Phase I and Phase II clinical development of MT-4019ND. Specific goals and objectives for each year of the grant project, described below, will be included in the executed grant contract.

Year 1 2017

Tranche \$4,100,000

Primary Objectives Initiate IND-required studies.

1. Satisfy FDA requirements for successful IND application
2. Use toxicology studies to establish a starting dose in humans that is expected to be safe and may potentially provide benefit
3. Create sufficient GMP material to cover drug needs in Phase I

Year 2 2018

Tranche \$5,150,000

Primary Objectives Initiation of Phase I First-in-Man Clinical Trial in Relapsed/Refractory Multiple Myeloma.

1. Initiate Phase I study for MT-4019ND
2. Based on early ad hoc read of efficacy and safety data from Phase I, initiate second GMP manufacturing campaign for Phase II drug materials
3. Establish Phase II dose
4. Create sufficient GMP material to cover drug needs in Phase II

Year 3 2019

Tranche \$6,050,000

Primary Objectives Initiation of Phase II Clinical Trial in Relapsed/Refractory Multiple Myeloma.

1. Initiate Phase II expansion study for MT-4019ND
2. Determination of whether Phase II study can be pivotal



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: MICHAEL LANG, CHIEF PRODUCT DEVELOPMENT OFFICER
Subject: FY 16.2 PRODUCT DEVELOPMENT GRANT UPDATE
Date: NOVEMBER 9, 2016

The Program Integration Committee met on October 28, 2016 and unanimously recommended that the Oversight Committee approve Texas Company product development research grant awards to two prior CPRIT award recipients: Bellicum (\$19,789,415), and Molecular Templates (\$15,300,000).

Given the time lag between applications and awards, we often conduct a budget review with prospective awardees. Some product development programs make noteworthy progress during this time which allows a reduction in the scope of work and budget.

Subsequent to PIC approval, CPRIT conducted a budget review of both Bellicum and Molecular Templates. Bellicum has an ongoing program with noteworthy progress having occurred since application allowing a substantial budget reduction. Molecular Templates' program is just being initiated hence only a modest budget reduction is feasible. Changes are summarized below.

All Number \$	Bellicum	Molecular Templates	Totals
Original Budget Request	19,789,415	15,300,000	35,089,415
Revised Budget Request	16,946,716	15,200,000	32,146,716
Reduction	2,842,699	100,000	2,942,699

PIC Chair Recommendation Letter & Deferral List



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS



November 2, 2016

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 48 grant applications totaling \$96,312,655. The PIC recommendations for 46 academic research grant awards and 2 product development research awards are attached.

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

The PIC used the award deferral process set by CPRIT administrative rule § 703.7(d) to defer the decision to recommend awards for 11 academic research applications until a future FY 2017 meeting. All 11 of the deferred applications were recommended by the Scientific Review Council. Eight of the deferred applications are Individual Investigator Research Awards and three are Early Translational Research Awards. The 11 deferred applications are ranked the lowest in their respective mechanisms. No Oversight Committee action is necessary at this time.

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

The award recommendations will not be considered final until the Oversight Committee meeting on November 16, 2016. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information. This is particularly important because one recommendation affects a publicly traded company, which implicates state and federal securities law as described by the memo prepared by Ms. Doyle that is on the portal.

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

Sincerely,
Wayne R. Roberts
Chief Executive Officer

Academic Research Award Recommendations –

The PIC unanimously recommends approval of 46 academic research grant proposals totaling \$61,223,240. The recommended grant proposals were submitted in response to eight grant mechanisms: Early Translational Research Awards; Individual Investigator Research Awards; Individual Investigator Research Awards for Cancer in Children and Adolescents; Individual Investigator Research Awards for Computational Biology; Individual Investigator Research Awards for Prevention and Early Detection; Research Training Awards; Recruitment of First-Time, Tenure-Track Faculty Members; and Recruitment of Established Investigators. After deferring 11 applications, the PIC followed the recommendations made by the Scientific Review Council (SRC). The SRC provided the prioritized list of recommendations for the Recruitment awards to the presiding officers on October 24, 2016.

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

- could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- strengthen and enhance fundamental science in cancer research;
- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
 - This priority is met by the following mechanisms: Early Translational Research Awards; Individual Investigator Research Awards; Individual Investigator Research Awards for Cancer in Children and Adolescents; Individual Investigator Research Awards for Computational Biology; Individual Investigator Research Awards for Prevention and Early Detection; Research Training Awards; and Recruitment of Established Investigators.
- are interdisciplinary or interinstitutional;
- address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention or cures for cancer;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
 - This is met by the following mechanisms: Early Translational Research Awards; Individual Investigator Research Awards; Individual Investigator Research Awards for Cancer in Children and Adolescents; Individual Investigator Research Awards for Computational Biology; and Individual Investigator Research Awards for Prevention and Early Detection.
- have a demonstrable economic development benefit to this state;
 - This priority is met by the following mechanisms: Early Translational Research Awards; Individual Investigator Research Awards; Individual Investigator Research Awards for Cancer in Children and Adolescents; Individual Investigator Research Awards for Computational Biology; Individual Investigator Research Awards for Prevention and Early Detection; Recruitment of First-Time, Tenure-Track Faculty; and Recruitment of Established Investigators.

- enhance research superiority at institutions of higher education in this state by creating new research superiority, attracting existing research superiority from institutions not located in this state and other research entities, or enhancing existing research superiority by attracting from outside this state additional researchers and resources;
- Expedite innovation and commercialization, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or Technology research capabilities; and
 - This priority is met by the following mechanisms: Early Translational Research Awards; Recruitment of First-Time, Tenure-Track Faculty; and Recruitment of Established Investigators.
- address the goals of the Texas Cancer Plan.

Academic Research Grant Award Recommendations

Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170067	RTA	1.2	The Future of Cancer Research: Training Program for Basic and Translational Scientists	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 4,000,000
RP170427	ETRA	1.5	Ambient Mass Spectrometry for Preoperative Molecular Diagnosis of Thyroid Fine Needle Aspirate Biopsies	Schiavinato Eberlin, Livia	The University of Texas at Austin	\$ 983,586
RP170466	IIRA	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$ 896,951
RP170233	IIRA	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$ 900,000
RP170496	IIRA	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$ 864,971
RP170314	IIRA	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of	\$ 899,553

Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
					Texas M. D. Anderson Cancer Center	
RP170593	RTA	2.0	Computational Cancer Biology Training Program	Pettitt, B. Montgomery	The University of Texas Medical Branch at Galveston	\$ 3,999,285
RP170074	IIRACCA	2.0	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$ 1,200,000
RP170401	IIRA	2.0	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170207	IIRACCA	2.0	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for chemotherapy of childhood brain cancers	Srivenugopal , Kalkunte	Texas Tech University Health Sciences Center	\$ 1,173,149
RP170231	IIRA	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$ 869,197
RP170399	IIRA	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$ 899,993
RP170040	IIRA	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$ 899,889

Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170295	IIRAP	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$ 1,052,089
RP170095	IIRAP	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$ 891,623
RP170470	IIRACCA	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$ 1,125,638
RP170146	IIRA	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170493	IIRAP	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$ 1,487,683
RP170245	ETRA	2.2	Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors	Liu, Qingyun	The University of Texas Health Science Center at Houston	\$ 1,000,000
RP170330	IIRA	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$ 900,000
RP170250	IIRA	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170126	IIRA	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health	\$ 900,000

PIC Recommendation

Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
					Science Center at San Antonio	
RP170114	IIRA	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$ 892,521
RP170537	ETRA	2.4	Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer	Wang, Rongfu	The Methodist Hospital Research Institute	\$ 999,995
RP170508	IIRAP	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$ 900,000
RP170510	IIRACCA	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$ 1,058,246
RP170336	IIRA	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$ 875,757
RP170066	ETRA	2.5	Oncolytic Immunotherapy for Gliomas and Cancer Metastases in the Era of Checkpoint Regulation	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	\$ 990,905
RP170382	IIRA	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$ 900,000
RP170259	RTA	2.6	CPRIT Cancer Prevention Research Training Program	Chang, Shine	The University of Texas M. D. Anderson	\$ 2,071,403

PIC Recommendation

Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
					Cancer Center	
RP170564	IIRA	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$ 900,000
RP170079	IIRA	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170301	RTA	2.7	Osteopathic Scholars in Cancer Research (OSCR)	Vishwanatha , Jamboor	University of North Texas Health Science Center at Fort Worth	\$ 799,055
RP170071	IIRAP	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$ 1,488,105
RP170366	IIRA	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$ 899,996
RP170317	IIRA	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$ 899,507
RP170307	IIRA	2.7	BIOMARKER-BASED TREATMENT OF POOR PROGNOSTIC MESENCHYMAL SUBTYPE IN GASTRIC CANCER	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$ 893,875
RP170152	IIRACCA	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$ 1,169,499

PIC Recommendation

Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170144	IIRACB	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$ 900,000
RP170169	IIRACCA	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a dysregulated EZH2 pathway	Li, Xiao-Nan	Baylor College of Medicine	\$ 1,198,726
RP170488	IIRACCA	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$ 1,110,480
RP170387	IIRACB	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$ 889,679
RP170170	IIRACB	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$ 844,989
RP170345	RTA	3.2	UTHSCSA Cancer Research Training Program	Oyajobi, Babatunde	The University of Texas Health Science Center at San Antonio	\$ 3,996,895

*RP170259 – Research Training Award: SRC recommended the following budget reductions: Reduce number of trainees from 9 to 6 Post-Doctoral trainees per year; reduce funding for training program manager to 50% FTE (from proposed 100% FTE), and reduce budget to reflect reduction of 3 trainees/year (cost per trainee *3). The award amount in this table reflects these changes.

Academic Research Recruitment Grant Award Recommendations

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR170005	Maura Gillison	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.0
2	RR170003	Srinivas, Malladi	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.0

*REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members

Product Development Research Award Recommendations –

The PIC unanimously recommends approval of two product development research grant proposals totaling \$35,089,415. The recommended grant proposal was submitted in response to the Texas Company Product Development Research Awards Request for Applications. The Product Development Council (PDRC) recommended one application to the PIC. The PDRC provided its recommendation to the presiding officers on October 20, 2016.

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

- could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- strengthen and enhance fundamental science in cancer research;
- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional (the PIC chose this factor for Established Company Awards);
- address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention, or cures for cancer;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- have a demonstrable economic development benefit to this state;
- expedite innovation and product development, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or technology research capabilities; and
- address the goals of the Texas Cancer Plan.

Product Development Research Grant Award Recommendations

Rank	Application ID	Company Name	Project	Maximum Recommended Budget	Overall Score
1	DP160057	Bellicum Pharmaceuticals, Inc.	Clinical Evaluation of a Novel T Cell Therapy (BPX-501) for the Treatment of Children and Adults with AML	\$19,789,415	3.1

Rank	Application ID	Company Name	Project	Maximum Recommended Budget	Overall Score
2	DP16071	Molecular Templates, Inc.	A Novel Compound Targeting CD38 for Treatment of Multiple Myeloma	\$15,300,000	1.7

*These recommendations are subject to the company's acceptance of certain contract contingencies and/or additional goals and objectives.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

November 2, 2016

Dear Oversight Committee Members:

Pursuant to Texas Administrative Code § 703.7(d), the Program Integration Committee (PIC) unanimously voted to defer the following 11 Academic Research applications that were recommended by the Scientific Review Council (SRC):

RP170179
RP170500
RP170333
RP170373
RP170086
RP170572
RP170267
RP170407
RP170090
RP170180
RP170172

The deferred applications include three Early Translational Research Awards and eight Individual Investigator Research Awards.

While all are meritorious projects and received favorable scores, the PIC deferred these applications due to CPRIT overall budget concerns throughout FY2017. The PIC may consider and recommend the deferred applications at a later date in the fiscal year.

Deferring these 11 applications now allows CPRIT more flexibility when considering any award recommendations for the remainder of the fiscal year. No Oversight Committee action is necessary at this time.

Sincerely,

Wayne R. Roberts
Chief Executive Officer

Compliance Certification – Chief Compliance Officer



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
Subject: COMPLIANCE CERTIFICATION – NOVEMBER 2016 AWARDS
Date: OCTOBER 31, 2016

Summary and Recommendation:

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

- Recruitment of Established Investigators
- Recruitment of First-Time, Tenure-Track Faculty Members
- Early Translational Research Awards
- Individual Investigator Research Awards
- Individual Investigator Research Awards for Cancer in Children and Adolescents
- Individual Investigator Research Awards for Computational Biology
- Individual Investigator Research Awards for Prevention and Early Detection
- Research Training Awards
- Texas Company Product Development Awards

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

Background:

CPRIT's Chief Compliance Officer must report to the Oversight Committee regarding compliance with the statute and the agency's administrative rules. Among the Chief Compliance Officer's

responsibilities is the obligation “to ensure that all grant proposals comply with this chapter and rules adopted under this chapter before the proposals are submitted to the oversight committee for approval.” Texas Health & Safety Code § 102.051(c) and (d).

CPRIT uses a compliance pedigree process to formally document compliance for the grant award process. The compliance pedigree tracks the grant application as it moves through the review process and documents compliance with applicable laws and administrative rules. A compliance pedigree is created for each application; the information related to the procedural steps listed on the pedigree is entered and attested to by SRA employees and CPRIT employees. CPRIT relies on SRA to accurately record a majority of the information on the pedigree from the pre-receipt stage to final Review Council recommendation. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT’s Application Receipt System (CARS), the grant application database managed by SRA. This is done to minimize the opportunity for error caused by manual data entry.

No Prohibited Donations:

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

I have reviewed the list of donors to CPRIT maintained by CPRIT’s accountant and compared the donors to the list of applicants. No donors to CPRIT have submitted applications for grant awards during the award cycles that are the subject of this report.

Pre-Receipt Compliance:

The activities listed on a compliance pedigree in the pre-receipt stage cover the period beginning with CPRIT’s approval and issuance of the Request for Applications (RFA) through the submission of grant applications. For the period covering these RFA’s, CPRIT’s administrative rules require that RFAs be publicly posted in the *Texas Register*. The RFA specifies a deadline and mandates that only those applications submitted electronically through CARS are eligible for consideration. CARS blocks an application from being submitted once the deadline passes. Occasionally, an applicant may have technical difficulties that prevent the applicant from

completing the application submission. When this occurs, the applicant may appeal to CPRIT (through the CPRIT Helpdesk that is managed by SRA) to allow for a submission after the deadline. The program officer considers any requests for extension and may approve an extension for good cause. When a late filing request is approved, the applicant is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

Academic Research:

For Cycles 17.1 and 17.2, two applications were received for the Recruitment of Established Investigators RFA and one application was received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA. In response to the academic, non-recruitment RFAs for Cycle 17.1, CPRIT received 479 applications. Twelve applications were administratively withdrawn prior to Peer Review. Four, non-recruitment mechanisms utilized the preliminary evaluation process, as allowed by T.A.C. 703.6(e)(1). Based on the scores of the preliminary evaluation, 247 academic, non-recruitment applications did not move forward to the full review phase. I reviewed the application pedigrees for the three recruitment applicants and the remaining 220 academic research, non-recruitment applications that were recommended for full review.

All academic research RFAs were posted in the Texas Register and all applications were submitted through CARS. Eight applicants requested an extension to submit applications past the deadline. The program officer determined that good cause supported each request and the deadline was extended. One of the applications that requested an extension was recommended for a grant award.

Product Development Research:

Thirteen applications were received for the Company Relocation RFA and nineteen applications were received in response to the Texas Company RFA. All applicants recommended for awards paid the application fee. The product development research RFAs were published in the Texas Register and all applications were submitted through CARS. Three applicants requested an extension to submit the application after the deadline. The program officer determined that good cause supported each request and the deadline was extended. None of the applications that received an extension were recommended for a grant award.

Receipt, Referral, and Assignment Compliance:

Once applications have been submitted through CARS, SRA staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, SRA notifies the program officer and the program officer makes the final decision whether to administratively withdraw the application. Recruitment grant applications are assigned to the Scientific Review Council members for peer review. All other academic research, product development research, and prevention applications are assigned by the peer review panel chair to their respective peer review panels. Prior to distribution of the applications, reviewers are given summary information about the applicant, including the Project Director and collaborators. Reviewers must sign a conflict of interest

agreement and confirm that they do not have a conflict of interest with the application before they are provided with the full application.

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

As previously mentioned, 12 applications were administratively withdrawn during the 17.1 academic research cycle (non-recruitment). No applications were administratively withdrawn during the 16.2 product development cycle and none were administratively withdrawn during the 17.1 and 17.2 academic research recruitment cycles.

Peer Review:

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

Academic Research:

For the Recruitment Awards, the applications are reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the peer reviewer summary statements and supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. A conflict of interest was declared for one recruitment application reviewed by the SRC. The reviewer disengaged from the conference call and did not participate in the discussion of the application.

I reviewed and confirmed that the post review conflict of interest statements were signed by the six SRC members that attended the Recruitment Review Panel meeting on September 15, 2016.

Academic Research applications (non-recruitment) are reviewed by peer review panels and recommended to the Scientific Review Council. As documented by SRA, reviewers with conflicts of interest did not participate in review of those applications. I reviewed supporting documentation, such as conflict of interest statements (COIs), third-party observer reports, and sign out sheets. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant applications. It was noted that the Third-Party Observer was not present for the entire discussion of the first application for the Cancer Prevention Research Panel on September 28, 2016.

I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each review panel as well as the seven SRC members that attended the Review Council meeting on October 13, 2016.

Product Development Research:

Product Development Research awards go through a peer review teleconference screening call to determine which applications will be invited to in-person review. Those applicants that attend in-person review are once again evaluated by peer reviewers. Applicants recommended after in-person review must then go through due diligence, which is conducted by outside contractors and outside intellectual property counsel. The Product Development Review Council (PDRC) recommends awards after due diligence to the PIC. I have verified from SRA documentation that those reviewers with conflicts did not participate in review of applications for which they indicated a conflict of interest.

I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each panel as well as the five PDRC members and six primary reviewers that attended the Review Council meeting on October 17, 2016.

Programmatic Review:

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

To the extent that any Review Council member identified a conflict of interest, I reviewed documentation confirming that the review council member did not participate in the discussion or vote on the application(s).

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

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

Academic Research:

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. Each of CPRIT's seven scientific research review panels individually determines the applications that the

panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. No individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1 for example, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not be recommended. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

Product Development Research:

For this cycle, seven applications went through due diligence. The Product Development Review Council recommended two of those seven applications to the PIC. The assessments of the due diligence and intellectual property reports led the PDRC to recommend the two applications out of score order as well as to not recommend some applications that received a better score than one of the recommended applications. I note that pursuant to T.A.C. § 702.19(e), Wayne Roberts, Chief Executive Officer, granted Michael Lang, Chief Product Development Officer, a waiver from the general prohibition against communicating with grant applicants. This waiver is applicable to two product development applicants, which were recommended by the Product Development Review Council to the Program Integration Committee. The waiver allowed Mr. Lang to discuss with each applicant the possibility of reducing their budgets; neither applicant was given an unfair advantage.

Program Integration Committee (PIC) Review:

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

I attended the October 28, 2016, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered 57 academic research applications and 2 product development research applications. After a recommendation by the Chief Scientific Officer, the PIC unanimously deferred eleven academic research applications to a subsequent PIC meeting in FY2017. Therefore, a total of 48 applications were recommended to move forward to the Oversight Committee. The PIC also approved a recommended, reduced budget of one academic research application. A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.

Academic Research Supporting Information

Items

Review Council Chairman Letter –

- Individual Investigator Research Awards
- Individual Investigator Research Awards for Computational Biology
- Individual Investigator Research Awards for Prevention and Early Detection
- Individual Investigator Research Awards for Cancer in Children and Adolescents
- Early Translational Research Awards
- Research Training Awards

Review Council Chairman Letter –

- Recruitment of First-Time, Tenure-Track Faculty Members
- Recruitment of Established Investigators



Ludwig Institute for
Cancer Research Ltd

October 20, 2016

Richard D. Kolodner
Ph.D.

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
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Mr. Pete Geren
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to pgcpnit@sidrichardson.org

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP), Research Training Awards (RTA), and the Early Translational Research Awards (ETRA) grant mechanisms. The SRC met on Thursday, October 13, 2016 to consider the applications recommended by the peer review panels following their meetings that were held September 21, 2016 – September 28, 2016.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$63,256,343.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



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

Attachment

Research Supporting Information

55	Recommended					
Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170067	RTA	1.2	The Future of Cancer Research: Training Program for Basic and Translational Scientists	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 4,000,000
RP170427	ETRA	1.5	Ambient Mass Spectrometry for Preoperative Molecular Diagnosis of Thyroid Fine Needle Aspirate Biopsies	Schiavinato Eberlin, Livia	The University of Texas at Austin	\$ 983,586
RP170466	IIRA	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$ 896,951
RP170233	IIRA	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$ 900,000
RP170496	IIRA	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$ 864,971
RP170314	IIRA	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of Texas M. D. Anderson Cancer Center	\$ 899,553
RP170593	RTA	2.0	Computational Cancer Biology Training Program	Pettitt, B. Montgomery	The University of Texas Medical Branch at Galveston	\$ 3,999,285
RP170074	IIRACCA	2.0	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$ 1,200,000
RP170401	IIRA	2.0	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170207	IIRACCA	2.0	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for	Srivenugopal, Kalkunte	Texas Tech University Health Sciences	\$ 1,173,149

			chemotherapy of childhood brain cancers		Center	
RP170231	IIRA	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$ 869,197
RP170399	IIRA	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$ 899,993
RP170040	IIRA	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$ 899,889
RP170295	IIRAP	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$ 1,052,089
RP170095	IIRAP	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$ 891,623
RP170470	IIRACCA	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$ 1,125,638
RP170146	IIRA	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170493	IIRAP	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$ 1,487,683
RP170245	ETRA	2.2	Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors	Liu, Qingyun	The University of Texas Health Science Center at Houston	\$ 1,000,000
RP170330	IIRA	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$ 900,000
RP170250	IIRA	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson	\$ 900,000

Research Supporting Information

					Cancer Center	
RP170126	IIRA	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170114	IIRA	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$ 892,521
RP170537	ETRA	2.4	Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer	Wang, Rongfu	The Methodist Hospital Research Institute	\$ 999,995
RP170508	IIRAP	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$ 900,000
RP170510	IIRACCA	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$ 1,058,246
RP170336	IIRA	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$ 875,757
RP170066	ETRA	2.5	Oncolytic Immunotherapy for Gliomas and Cancer Metastases in the Era of Checkpoint Regulation	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	\$ 990,905
RP170382	IIRA	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$ 900,000
RP170259	RTA	2.6	CPRIT Cancer Prevention Research Training Program	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	\$ 2,071,403
RP170564	IIRA	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$ 900,000
RP170079	IIRA	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson	\$ 900,000

Research Supporting Information

					Cancer Center	
RP170301	RTA	2.7	Osteopathic Scholars in Cancer Research (OSCR)	Vishwanatha, Jamboor	University of North Texas Health Science Center at Fort Worth	\$ 799,055
RP170071	IIRAP	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$ 1,488,105
RP170366	IIRA	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$ 899,996
RP170317	IIRA	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$ 899,507
RP170307	IIRA	2.7	BIOMARKER-BASED TREATMENT OF POOR PROGNOSTIC MESENCHYMAL SUBTYPE IN GASTRIC CANCER	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$ 893,875
RP170373	IIRA	2.8	HTS for covalent GTP-competitive inhibitors of KRAS G12C	Westover, Kenneth	The University of Texas Southwestern Medical Center	\$ 900,000
RP170152	IIRACCA	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$ 1,169,499
RP170086	IIRA	2.8	Tumor suppression, p53 and retrotransposons	Abrams, John	The University of Texas Southwestern Medical Center	\$ 891,990
RP170572	IIRA	2.8	PROBING NOVEL CONCEPTS OF THE NF-kappaB TRANSCRIPTIONAL PROGRAM IN HUMAN CANCER	D'Orso, Ivan	The University of Texas Southwestern Medical Center	\$ 742,577
RP170144	IIRACB	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$ 900,000
RP170169	IIRACCA	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a	Li, Xiao-Nan	Baylor College of Medicine	\$ 1,198,726

Research Supporting Information

			dysregulated EZH2 pathway			
RP170267	IIRA	2.9	Chemically based disruption of oncogenic beta-catenin activity in liver tissue	Lum, Lawrence	The University of Texas Southwestern Medical Center	\$ 900,000
RP170488	IIRACCA	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$ 1,110,480
RP170407	IIRA	2.9	Role of HDAC8 and higher order chromatin structure in melanoma metastasis and therapy	Rai, Kunal	The University of Texas M. D. Anderson Cancer Center	\$ 899,622
RP170500	ETRA	2.9	Development of next generation steroid receptor coactivator small molecule inhibitors as novel agents to target therapy-resistant breast cancer	O'Malley, Bert	Baylor College of Medicine	\$ 998,914
RP170179	ETRA	2.9	Chemoablation of High-Risk Oral Premalignant Lesions for Sustained Cancer Prevention	Tsai, Robert	Texas A&M University System Health Science Center	\$ 1,000,000
RP170387	IIRACB	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$ 889,679
RP170090	IIRA	3.0	Novel Regulation and Function of TAK1 in Mutant Kras-driven Development of Pancreatic Ductal Adenocarcinoma	Chiao, Paul	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170333	ETRA	3.0	Targeting ubiquitination for cancer therapy	Zhang, Shuxing	The University of Texas M. D. Anderson Cancer Center	\$ 1,000,000
RP170180	IIRA	3.1	Mechanistic Roles of Long Non-Coding RNA in Glioblastoma Development and Treatment	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170170	IIRACB	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$ 844,989
RP170172	IIRA	3.1	Targeting Therapy Resistance using Epithelial to Mesenchymal Transition (EMT)	Rosen, Jeffrey	Baylor College of Medicine	\$ 900,000

Research Supporting Information

			Pathways in Preclinical Claudin Low Breast Cancer Models			
RP170345	RTA	3.2	UTHSCSA Cancer Research Training Program	Oyajobi, Babatunde	The University of Texas Health Science Center at San Antonio	\$ 3,996,895

*RP170259 – Research Training Award: SRC recommended the following budget reductions: Reduce number of trainees from 9 to 6 Post-Doctoral trainees per year; reduce funding for training program manager to 50% FTE (from proposed 100% FTE), and reduce budget to reflect reduction of 3 trainees/year (cost per trainee *3). The award amount in this table reflects these changes.

**Ludwig Institute for
Cancer Research Ltd**

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

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October 19, 2016

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, September 15, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 17.1 and 17.2

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$8,000,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR170005	Maura Gillison	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.00
2	RR170003	Srinivas, Malladi	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.0

*REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members

Product Development Research Supporting Information

Items

Review Council Chairman Letter -

- Texas Company Product Development Awards

Advance Funds Request Letter

Section 702.19 Waiver



October 20, 2016

Pete Geren

Oversight Committee Chair

Cancer Prevention and Research Institute of Texas Via email to pgeren@sidrichardson.org

Wayne R. Roberts

Program Integration Committee Chair

Cancer Prevention and Research Institute of Texas Via email to wroberts@cprit.texas.gov

Dear Pete and Wayne,

On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's product development research grant awards. The PDRC met on October 17, 2016, and recommends that the Program Integration Committee and the Oversight Committee approve product development research grant awards to Bellicum Pharmaceuticals, Inc. (Bellicum) and Molecular Templates, Inc. (Molecular Templates). The projects are ranked in the order the PDRC recommends that the applications be funded. Maximum recommended funding amounts and the overall evaluation score are stated for each grant application on the attached table.

Although the review panel recommended both applications for funding, the assessments of the due diligence and intellectual property reports led the PDRC to rank the Bellicum proposal first, although it had the lower score. No changes to goals, timelines, or budgets were deemed necessary for either project. However, we understand that CPRIT has authorized the Chief Product Development Officer to negotiate budgets with companies prior to the Program Integration Committee's consideration of this recommendation, and the PDRC supports the use of this exercise to identify any budget items that may be reduced or eliminated.

Each recommendation reflects 50+ hours of individual review and panel discussion of the applicant's proposal as well as the PDRC's review of the due diligence reports. Our recommendations are consistent with one or more of the priorities set by the Oversight Committee for product development grant award funding. These standards include the potential of these companies to: 1.) bring important products to market; 2.) promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and 3.) develop tools and technologies of special relevance to cancer research, treatment and prevention.

Sincerely,

/JG

Jack Gatosky, PhD

Chair, CPRIT Product Development Review Council

Attachment

Product Development Review Council Award Recommendations*

FY 2016, Cycle 2

Rank	Application ID	Company Name	Project	Maximum Recommended Budget	Overall Score
1	DP160057	Bellicum Pharmaceuticals, Inc.	Clinical Evaluation of a Novel T Cell Therapy (BPX-501) for the Treatment of Children and Adults with AML	\$19,789,415	3.1
2	DP160071	Molecular Templates, Inc.	A Novel Compound Targeting CD38 for Treatment of Multiple Myeloma	\$15,300,000	1.7

*These recommendations are subject to the company's acceptance of certain contract contingencies and/or additional goals and objectives.



CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

November 9, 2016

Oversight Committee Members,

Pursuant to 25 T.A.C. § 703.7(j), I request that the Oversight Committee approve authority for CPRIT to advance grant funds upon execution of grant contracts for two companies that will be considered for Product Development grant awards at the November 16, 2016, Oversight Committee meeting. The companies have been recommended for grant awards by the Program Integration Committee (PIC). The Oversight Committee will consider the PIC's recommendations at the November 16, 2016, Oversight Committee meeting.

Although CPRIT disburses the majority of grant funds pursuant to requests for reimbursement, CPRIT may disburse grant funds in advance payments consistent with the General Appropriations Act, Article IX, § 4.03(a). Typically, the grant amount to be paid in advance is based upon the project year budget or tranche amount. All grant recipients, including those that receive advance payment of grant funds, are required to submit quarterly financial status reports that are reviewed and approved by CPRIT's financial staff. Failure to submit the financial status reports on a timely basis will result in forfeiture of reimbursement for expenses for the quarter and may result in grant termination and repayment of grant funds.

Advance payment of grant funds are needed because the projects proposed for grant awards involve clinical trials. Clinical trial contracts typically require substantial upfront payments. The cost structure for these contracted services is highly front loaded and service providers require substantial upfront payments. Advancing grant funds allows these projects to begin work as quickly as possible.

Sincerely,

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

Wayne R. Roberts,
CPRIT Chief Executive Officer



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
CC: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT: T.A.C. § 702.19 WAIVER
DATE: OCTOBER 28, 2016

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Michael Lang, CPRIT's Chief Product Development Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to two product development applicants, which are currently pending review by the Program Integration Committee (PIC). No Oversight Committee action is necessary.

CPRIT administrative rule § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process. The Product Development Review Council (PDRC) recommended Product Development application numbers DP160071 and DP160057 to receive grant awards. The PDRC's recommendations are currently pending PIC review. The PIC will meet on October 28, 2016, to consider the PDRC recommendations.

The purpose of the waiver is so that Mr. Lang may negotiate proposed grant budgets. I find good cause for the waiver because communication with the applicants assists Mr. Lang in identifying budget expenses to reduce or eliminate, thereby decreasing the overall amount of one or both of the proposed awards. This would normally occur as part of the contract negotiation process after the Oversight Committee approves the award recommendations. However, doing so prior to the PIC meeting gives the PIC and the Oversight Committee the best information on the amount of grant funds available for awards in FY 2017. Because the PDRC has already recommended both of the applications for grant awards, the appearance of more favorable treatment of these applications compared to the other applications not recommended for grants in this cycle is not an issue.

This waiver will be part of the grant record for these applications. The waiver will be publicly available when the Oversight Committee considers the applications.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2016—Cycle 2
Texas Company Product Development Awards

Request for Applications



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA C-16-2-TXCO

Texas Company Product Development Awards

**Please also refer to the Instructions for Applicants document,
which will be posted January 14, 2016**

Application Receipt Opening Date: January 14, 2016

Application Receipt Closing Date: February 25, 2016

FY 2016

Fiscal Year Award Period

September 1, 2015–August 31, 2016

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RFA VERSION HISTORY

Rev	12/28/15	RFA release
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1. KEY POINTS

This Texas Company Product Development Award mechanism is governed by the following restrictions:

- Company applicants must be based in Texas at the time the application is submitted.
- Recipient companies must currently have or must commit to having their headquarters and substantially all staff residing in or relocated to Texas (see [section 8.1](#)). The Cancer Prevention and Research Institute of Texas (CPRIT) requires the use of Texas-based subcontractors and suppliers unless adequate justification is provided for the use of out-of-state entities.
- Of the total project budget, CPRIT will contribute \$2.00 for every \$1.00 contributed in matching funds by the company. The demonstration of available matching funds must be made prior to the distribution of CPRIT grant funds, not at the time the application is submitted. CPRIT funds must, whenever possible, be spent in Texas. A company's matching funds must be designated for the CPRIT-funded project but may be spent outside of Texas.
- CPRIT's contribution to the project will not be greater than \$20 million.
- Funding will be tranching and tied to the achievement of contract-specified milestones.
- Funding award contracts will include a revenue-sharing agreement according to CPRIT's policies in force at the time of the award. A copy of the revenue-sharing agreement can be found at www.cprit.state.tx.us. The agreement will require CPRIT to have input on any future patents, agreements, or other financial arrangements related to the products, services, or infrastructure supported by the CPRIT investment. These contract provisions are specified in CPRIT's Administrative Rules, which are also available at www.cprit.state.tx.us.
- Renewal applications will be accepted (see [section 8.3](#) and [section 10.4.8](#)).
- An application last submitted (including resubmission) before February 1, 2014, may be submitted as a new application, even if it was previously resubmitted (see [section 8.2](#)).

2. ABOUT CPRIT

The state of Texas established CPRIT, which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

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

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

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

2.1. Product Development Program Priorities

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

Established Principles:

- Moving forward the development of commercial products to diagnose and treat cancer and improve the lives of patients with cancer
- Creation of good, high-paying jobs for Texans

- Sound financial return on the monies invested
- Development of the Texas high-tech life sciences business environment

Product Development Program Priorities
<ul style="list-style-type: none"> • Funding projects at Texas companies and relocating companies that are most likely to bring important products to the market • Providing funding that promotes the translation of research at Texas institutions into new companies able to compete in the marketplace • Identifying and funding projects to develop tools and technologies of special relevance to cancer research, treatment, and prevention

3. EXECUTIVE SUMMARY

CPRIT will foster cancer research as well as product and service development in Texas by providing financial support for a wide variety of projects relevant to cancer. This RFA solicits applications for the research and development of innovative products addressing critically important needs related to diagnosis, prevention, and/or treatment of cancer and the product development infrastructure needed to support these efforts. CPRIT encourages applicants who seek to apply or develop state-of-the-art products, services (eg, contract research organization services), technologies, tools, and/or resources for cancer research, prevention, or treatment. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and cure. To fulfill this vision, applications may address any topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, or cure.

4. MECHANISM OF SUPPORT

The goal of the Texas Company Product Development Award is to finance the research and development of innovative products, services, and infrastructure with significant potential impact on patient care. These investments will provide companies or limited partnerships located and headquartered in Texas with the opportunity to further the research and development of new products for the diagnosis, treatment, supportive care, or prevention of cancer; to establish

infrastructure that is critical to the development of a robust industry; or to fill a treatment, industry, or research gap. This award is intended to support companies that will be staffed with a majority of Texas-based employees, including C-level executives.

5. OBJECTIVES

The long-term objective of this award is to support commercially oriented therapeutic and medical technology products, diagnostic- or treatment-oriented information technology products, diagnostics, tools, services, and infrastructure projects. Common to all applications under this RFA (with the exception of infrastructure applications) should be the intent to further the research and development of products that would eventually be approved for marketing for the diagnosis, prevention, and/or treatment of cancer. Eligible products or services include—but are not limited to—therapeutics (eg, small molecules and biologics), diagnostics, devices, and potential breakthrough technologies, including software and research discovery techniques. Eligible stages of research and development include translational research, proof-of-concept studies, preclinical studies, and phase 1 or phase 2 clinical trials. By exception, phase 3 clinical trials and later-stage product development projects will be considered where circumstances warrant CPRIT investment.

CPRIT’s objectives and program priorities are established by its Oversight Committee. Consistent with the above, these priorities include, “funding projects at Texas companies and relocating companies that are most likely to bring important products to the market.” A full description of CPRIT’s program priorities may be found at <http://www.cprit.state.tx.us/about-cprit/reports/>.

6. FUNDING INFORMATION

This is a 3-year funding program. Financial support will be awarded based upon the breadth and nature of the research and development project proposed. Requested funds must be well justified. Funding will be milestone driven.

Funds may be used for salary and fringe benefits, research supplies, equipment, clinical trial expenses, intellectual property protection, external consultants and service providers, and other appropriate research and development costs, subject to certain limitations set forth by Texas state

law. If a company is working on multiple projects, care should be taken to ensure that CPRIT funds are used to support activities directly related to the specific project being funded. Requests for funds to support construction and/or renovation may be considered under compelling circumstances for projects that require facilities that do not already exist in the state of Texas. Texas state law limits the amount of awarded funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs).

Consistent with statutory mandate, of the total project budget, CPRIT will contribute \$2.00 for every \$1.00 contributed in matching funds by the company. The demonstration of available matching funds must be made prior to the distribution of CPRIT funds, not at the time the application is submitted. The matching funds commitment may be made on a year-by-year basis.

7. KEY DATES

RFA release	December 28, 2015
Online application opens	January 14, 2016, 7 AM central time
Applications due	February 25, 2016, 3 PM central time
Invitations to present sent	April 2016
Notifications sent if not invited	April 2016
Presentations to CPRIT*	May 2016
Award Notification	August 2016
Anticipated Start Date	August 2016

* Applicants will be notified of their peer review panel assignments prior to the peer review meeting dates. Information on the timing of subsequent steps will be provided to applicants later in the process.

8. ELIGIBILITY

8.1. New Applications

- Recipient companies must be Texas based and currently have or must commit to the following: Company headquarters in Texas; all C-level executives residing in Texas (exceptions must be well justified and approved by CPRIT); key business functions (R&D, operations, clinical, regulatory, sales, marketing business management) and substantially all personnel, along with appropriate management, relocated to or hired from within Texas. This requirement does not apply to field-based clinical and sales staff. The company will remain in Texas for a specified period after funding and use Texas-based subcontractors and suppliers unless adequate justification is provided for the use of out-of-state entities. To the extent that Texas-based subcontractors or collaborators are not available or cost effective, non-Texas-based collaborators and subcontractors may be used, but reimbursement of associated costs may not be available.
- An application last submitted (including resubmissions) before February 1, 2014, may be submitted as a new application, even if it was previously resubmitted.
- Only 1 coapplicant may be included on the application. For the Product Development Program, a coapplicant is an individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. If so designated by the applicant organization, coapplicants share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple applicants are named, each is responsible and accountable for the proper conduct of the project, program, or activity including the submission of all required reports. The presence of more than 1 applicant on an application or award diminishes neither the responsibility nor the accountability of any individual applicant.
- A company applicant is eligible to receive a grant award only if the applicant certifies that the company, including the company representative, any senior member or key personnel listed on the application, or any company officer or director (or any person related to 1 or more of these individual within the second degree of consanguinity or

affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.

- A company applicant is not eligible to receive CPRIT funding if the company representative, any senior member or key personnel listed on the application, or any company officer or director is related to a CPRIT Oversight Committee member.
- The company applicant must report whether the company, company representative, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application. If the applicant or other individuals are ineligible to receive federal grant funds or have had a grant terminated for cause, the applicant may be contacted to provide more information.
- CPRIT grants will be awarded by contract to successful company applicants. Certain contractual requirements are mandated by Texas state law or by administrative rules. Although the company applicant need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should familiarize themselves with these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cpritis.state.tx.us.

8.2. Resubmission Policy

- An application previously submitted to CPRIT within the last 2 years (after February 1, 2014) but not funded may be resubmitted once and must follow all resubmission guidelines (see [section 10.4.7](#)). **An application that was last submitted (including a resubmission to CPRIT) before February 1, 2014 may be submitted as a new application, even if the most recent submittal prior to February 1, 2014, was a resubmission.** It is expected that significant progress will have been made on the project; a simple revision of the prior application with editorial or technical changes is not

sufficient, and applicants are advised not to submit an application with such modest changes.

- An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the applicant or company representative for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. An application that was administratively withdrawn by the applicant or by CPRIT prior to review by the review panel is not considered a submission for purposes of CPRIT's resubmission policy.
- Applicants who choose to resubmit should carefully consider the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. All resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes. A 1-page summary of the approach to the resubmission should be included. Resubmitted applications may be assigned to reviewers who did not review the original submission. Reviewers of resubmissions are asked to assess whether the resubmission adequately addresses critiques from the previous review. **Applicants should note that addressing previous critiques is advisable; however, it does not guarantee the success of the resubmission.** All resubmitted applications must conform to the structure and guidelines outlined in this RFA.

8.3. **Renewal Policy**

- A grant recipient that has previously been awarded grant funding from CPRIT may submit an application under this mechanism to be considered for a competitive renewal. The eligibility criteria described in [section 8](#) also apply to renewal applications. In addition, note the following:
- Applicants must have received a CPRIT award—a Company Commercialization Award (this mechanism was called Company Investment in FY 2010), a Company Formation Award, a Company Relocation Award, a New Company Award, or an Established Company Award.

- Before submitting a renewal application, applicants must consult with the Product Development Programmatic Office (see [section 13.2](#)) to determine whether it is appropriate for their company to seek renewal funding at this time.

9. APPLICATION REVIEW

9.1. Overview

Applications will be assessed based on evaluation of the quality of the company and the potential for continued product development. CPRIT requires the submission of a comprehensive scientific plan (see [section 10.4.9](#)) and a detailed business plan (see [section 10.4.10](#)). The review will address the commercial viability, product feasibility, scientific merit, and therapeutic impact as detailed in the company's business and scientific plans. The plans will be reviewed by an integrated panel of individuals with biotechnology expertise and experience in translational and clinical research as well as in the business development/regulatory approval processes for therapeutics, devices, and diagnostics. In addition, advocate reviewers will participate in the review process.

Funding decisions are made by the review process described below.

9.2. Review Process

- **Product Development and Scientific Review:** Applications that pass initial administrative compliance review are assigned to independent CPRIT Product Development Peer Review Panel members for evaluation using the criteria listed below. Based on the initial evaluation and discussion by the Product Development Review Panel, a subset of company applicants may be invited to deliver in-person presentations to the review panel.
- **Due Diligence Review:** Following the in-person presentations, a subset of applications judged to be most meritorious by the Product Development Review Panels will be referred for additional in-depth due diligence, including—but not limited to—intellectual property, management, regulatory, manufacturing, and market assessments. Following the due diligence review, applications will be recommended for funding by the CPRIT Product Development Review Council based on the information set forth in the due

diligence and intellectual property reviews, comparisons with applications from the Product Development Review Panels, and programmatic priorities.

- **Program Integration Committee Review:** Applications recommended by the Product Development Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding.
- **Oversight Committee Approval:** The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote.

The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

9.2.1. Confidentiality of Review

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

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.**

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

9.3. Review Criteria

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

9.3.1. Primary Criteria

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

Primary criteria include the following:

Significance and Impact: Will the outcomes of this CPRIT-funded project result in the development of innovative products with significant product development potential? Will the outcome substantially impact the diagnosis, treatment, or prevention of cancer, or supportive care for patients with cancer? How would competing products or services affect the value of the proposed offering?

Product: Is there demonstrated proof of relevance, and does the product fulfill a clear, unmet medical or infrastructure need? Has work been conducted that supports the advancement of the proposed product, service, or technology? Can the product be produced or manufactured in a commercially viable fashion?

Market Plan: Is there a realistic assessment of the unmet clinical need, market size, and expected penetration? Has management adequately assessed potential competitors and described how the company's offering will successfully compete with them? Has the applicant addressed patients, market segments, value proposition, pricing, outcomes research, sales plans, marketing research plans, or results? If the applicants plans to seek acquisition by a strategic partner, is there a well-characterized analysis of exit strategy and valuation? Is there an appropriate basis for a reimbursement strategy?

Development Plan and/or Clinical and Regulatory Path: Is the development plan and/or clinical and regulatory path well characterized and appropriate? Is the plan milestone driven, and does it address both a positive and a negative outcome? Does the budget appropriately support the plan? Is there clarity on regulatory matters and current regulatory strategies?

Competitive Landscape/Intellectual Property: Is the applicant aware of the competitive landscape related to his/her project? Has the applicant demonstrated an understanding of the products and treatment under development that will be in competition with the company's product at the time of product introduction? Have intellectual property issues been addressed?

Scientific Plan: Is the proposed product, service, and/or infrastructure based on a feasible research framework, hypothesis, and/or goal? Are the methods appropriate, and are potential research and developmental obstacles and unexpected outcomes discussed?

Management and Staffing: Does the applicant have the appropriate level of management experience to execute the stated strategy? Does the team have the needed experience or access to experienced external assistance, facilities, and resources to accomplish all aspects of the proposed plan? Does the management team have experience in obtaining results that are directly relevant to the proposed project (eg, product development and registration)?

Financial Plan: Is there a comprehensive analysis of the aggregate funding required to market or exit and strategy to raise the required funding? Has the applicant demonstrated that the returns are sufficient to justify the investment on a risk-adjusted basis?

9.3.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed research and development activities.

Secondary criteria include the following:

Budget and Duration of Support: Are the budget and duration appropriate for the proposed project? Will the amount requested enable the applicant to reach appropriate milestones? Is the use of the funds requested in line with the stated objectives of the applicant and CPRIT? Is it clear how funds will be used? Does the proposed investment fund the research and development of the proposed product, service, or technology to a point where, if the results are positive, it is likely that the project will be able to attract further financial support outside of CPRIT?

10. SUBMISSION GUIDELINES

Applicants are advised to carefully review all instructions in this section to ensure the accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Applications that are missing 1 or more components, exceed the specified page or word limits, or that do not meet the eligibility requirements listed above will be administratively withdrawn without review.

10.1. Online Application Receipt System and Application Submission Deadline

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The company applicant must create a user account in the system to start and submit an application. The coapplicant, if applicable, must also create a user account to participate in the application. Furthermore, the Authorized Signing Official (ASO) (an individual authorized to sign and submit an application

on behalf of the company applicant) must also create a user account in CARS. An application may not be submitted without ASO approval. Only the ASO is authorized to officially submit the application to CPRIT. It is acceptable (and not uncommon) for the applicant to also serve as the designated ASO. However, if the applicant intends to also serve as the ASO, the system requires the applicant and the ASO have 2 different accounts and user names. Applications will be accepted beginning at 7 AM central time on January 14, 2016, and must be submitted by 3 PM central time on February 25, 2016. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

10.2. Submission Deadline Extension

The submission deadline may be extended upon a showing of good cause. Late submissions are permitted only in exceptional instances, usually for technology failures. Applicants should allow sufficient time to familiarize themselves with the application format and instructions to avoid unexpected issues. The applicant's failure to adequately plan is not sufficient grounds to justify approval of a late submission.

Peer review schedules are set far in advance and do not accommodate receipt of an application days after the deadline. Therefore, potential applicants that are unable to meet the deadline due to issues such as travel, sabbaticals, conferences, prolonged illness, or other leave, etc, should not request additional time to submit an application but should instead consider submitting the application in the next review cycle.

A request to extend the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

10.3. Product Development Review Fee

All applicants must submit a fee of \$1,000 for product development review. Payment should be made by check or money order payable to CPRIT; electronic and credit card payments are not acceptable. The application ID and the name of the submitter must be indicated on the payment. Unless a request to submit the application fee after the deadline has been approved by CPRIT, all payments must be postmarked by the application submission deadline and mailed to the following address:

Cancer Prevention and Research Institute of Texas
P.O. Box 12097
Austin, TX 78711

10.4. Application Components

Applicants are advised to minimize repetition between application components to the extent possible. In addition, applicants should use discretion in cross-referencing sections in order to maximize the amount of information presented within the page limits.

10.4.1. Executive Summary (1-page maximum)

Provide an executive summary that clearly explains the product, service, technology, or infrastructure proposed; competition; market need and size; development or implementation plans; regulatory path; reimbursement strategy; and funding needs. Applicants must clearly describe the existing or proposed company infrastructure and personnel located in Texas for this endeavor.

10.4.2. Slide Presentation (10-page maximum)

Provide a slide presentation summarizing the application. The presentation should be submitted in PDF format, with 1 slide filling each landscape-orientated page. The slides should succinctly capture all essential elements of the application and should stand alone.

10.4.3. Abstract and Significance (5,000-character maximum)

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan. Clearly address how the proposed project,

if successful, will have a major impact on care of patients with cancer. Explain how this application provides a clear path for acquiring proof-of-principle data necessary for next-stage commercial development.

10.4.4. Layperson’s Summary (1,500-character maximum)

Provide an abbreviated summary for a lay audience using clear, nontechnical terms. Describe specifically how the proposed project would support CPRIT’s mission (see [section 2](#)). Would it fill a needed gap in patient care or in the development of a sustainable oncology industry in Texas? Would it synergize with Texas-based resources? Describe the overall goals of the work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the fields of diagnosis, treatment, or prevention of cancer. Clearly address how the company’s work, if successful, will have a major impact on the care of patients with cancer. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. The Layperson’s Summary will also be used by advocate reviewers in evaluating the significance and impact of the proposed work. Do not include any proprietary information in this section.

10.4.5. Goals and Objectives (maximum of 1,200 characters each)

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

10.4.6. Timeline (1-page maximum)

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.

10.4.7. Resubmission Summary (1-page maximum)

If this is a resubmission, upload a summary of the approach, including a summary of the applicant's response to previous feedback. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed. If this is not a resubmission, then no summary is required.

Note: An application submitted or resubmitted before February 1, 2014, may be submitted as a new application, even if it was previously resubmitted. For the “new” applications, no summary is required.

10.4.8. Renewal Justification Summary (1-page maximum)

If this is a renewal, upload a summary that briefly outlines the progress made with the initial CPRIT award and outlines the proposed use of renewal funding and the resulting value for Texas. Clearly indicate whether (1) the technological/scientific underpinning is the same as that evaluated during review of the company's originally funded CPRIT application or (2) whether funding is sought for the research and development of a new product or service not previously reviewed by CPRIT or represents a significant modification of the original product or service reviewed by CPRIT (either option is acceptable). If this is not a renewal, no summary is required.

10.4.9. Scientific Plan (15-page maximum)

Present the rationale behind the proposed product or service, emphasizing the pressing problem in cancer care that will be addressed. Summarize the evidence gathered to date in support of the company's ideas. Describe the label claims that the company ultimately hopes to make, and describe the plan to gather evidence to support these claims. Outline the steps to be taken during the proposed period of the award, including the design of the translational or clinical research, methods, and anticipated results. Describe potential problems or pitfalls and alternative approaches. If clinical research is proposed, present a realistic plan to accrue a sufficient number of human subjects meeting the inclusion criteria within the proposed time period.

The Scientific Plan should include a defined Target Product Profile that projects a clear path to full commercial development. The Target Product Profile should include the parameters below; the questions are intended to guide the thinking process and may include, but are not limited to, the examples provided.

- Identification of a target that is applicable to human cancer treatment. Is intervention with this target likely to lead to a therapeutic, diagnostic, or medical device that could be useful in the treatment of cancer?
- Selection of a lead compound, assay, or device technology based on the target. Is the identification of potential developmental candidates based on a set of in vitro tests followed by selection of a lead candidate based on considerations (as appropriate for the candidate) of pharmacodynamic parameters and the results of preclinical, in vivo, proof-of-principle studies in relevant animal models of disease?
- Description of a high-level clinical development plan detailing each of the clinical studies the preclinical work is meant to support. Designing the preclinical program requires an understanding of the duration of the clinical studies required by regulatory authorities. Consequently, a brief outline of each of the phase 1, phase 2, and phase 3 studies necessary to obtain regulatory approval and reimbursement funding must be sketched out prior to deciding which toxicology studies would be required.

Additionally, for therapeutics, the following apply:

Intended route of administration and dosing regimen. Is the intended route of administration and dosing regimen consistent with accepted convention and medical need for the therapeutic, or will the use of this new agent require a paradigm shift (more frequent or less frequent dosing, new route of administration), and if so, what impact will it have on current standard of care?

Optimization of the lead to ensure desired characteristics, including, but not limited to, the following studies:

- Indication of the threshold of both the safety and efficacy necessary to be a competitive product when the product is introduced;
- Absorption, distribution, metabolism, excretion, including, but not limited to, relevant studies based on route of administration;
- Safety (studies as mandated by ICH Guidelines);

- Biomarkers (assays) that potentially target specific patient populations for clinical trials;
- Biomarkers (assays) that can serve as potential pharmacodynamic markers of clinical activity during early clinical trials designed to demonstrate proof of concept;
- Proposed current good manufacturing practice (including estimated costs) that can be scalable from phase 1 through phase 3. Include information if there are possible plans for formulation.

The scientific plan submitted must be of sufficient depth and quality to pass rigorous scrutiny by the highly qualified group of reviewers. To the extent possible, the scientific plan should be driven by data. In the past, applications that have been scored poorly have been criticized for assuming that assertions could be taken on faith. Convincing data are much preferred.

10.4.10. Business Plan (15-page maximum)

Provide a business plan covering all of the topics below in the order shown. Successful applicants will make thoughtful, careful, and economical use of the limited space. Note that if the company is selected to undergo due diligence, information to support a full intellectual property review will be requested at that time. Applicants will be evaluated based not only on the current status of the components of the business plan but also on whether current weaknesses and gaps are acknowledged and whether plans to address them are outlined.

- A. Product and Market:** Provide a brief description of the envisioned product and how the product will be administered to patients. Describe the initial market that will be targeted and how the envisioned product will fit within the standard of care. To the fullest degree possible, describe patients, market segments, value proposition, pricing, outcomes research, sales plans, marketing research plans, or results.
- B. Clinical and Regulatory Plans:** Provide a detailed regulatory plan, including preclinical and clinical activities and the regulatory pathway for major markets. Please describe how this is driven by interactions with the Food and Drug Administration (FDA), if possible. The regulatory plan should include regulatory communications (including all interactions to date with the FDA) and strategy, with clarity provided on regulatory matters and current regulatory strategies.

- C. Risk Analysis:** Describe the specific risks inherent to the product plan and how they would be mitigated.
- D. Current and Pending Support:** Provide an overview of the funding received, including a list of funding sources and a comprehensive cap table that should comprise all parties who have investments, stock, or rights in the company. The identities of all parties must be listed. It is not appropriate to list any funding source as anonymous.
- E. Financial Projections:** Provide an overview of your financial projections, and how will you generate a return on this investment.
- F. Resources Requested:** Summarize the resources required to achieve your objectives, both internal and external. The matching funds and other amounts that will comprise the total budget for the project should be included in this section. The dollar amounts noted here should align with those in the Budget Justification section.
- G. Scope of Work and Milestones:** Provide an overview of the goals and objectives of the project. Define the key activities and anticipated milestones. 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.
- H. Key Personnel:** For each member of the senior management and scientific team, provide a paragraph briefly summarizing his or her present title and position, prior industry experience, education, and any other information considered essential for evaluation of qualifications. Describe the relevant experience of the management team in obtaining concrete results that are directly relevant to the proposed project.

Key personnel are the principal investigator/project director as well as other individuals who contribute to the development or the execution of the project in a substantive, measurable way. “Substantive” means they have a critical role in the overall success of the project and that their absence from the project would have a significant impact on executing the approved scope of the project. “Measurable” means that they devote a specified percentage of time to the project. The indicated time is an obligatory

commitment, regardless of whether or not they request salaries or compensation. “Zero percent” effort or “TBD” or “as needed” are not acceptable levels of involvement for those designated as key personnel. While all participants that meet these criteria should be identified as “key,” it is expected that the number of key personnel will be kept to a minimum.

- I. Competitive Landscape:** Provide a clear discussion of the competitive landscape related to the project, including any companies/university laboratories working on similar projects; indicate which of these projects constitute the greatest competitive threat. Describe how the project compares with competitors, and indicate any potential opportunities for partnering with them.
- J. Intellectual Property:** Provide a concise discussion of the intellectual property issues related to the project and list any relevant issued patents and patent applications, along with their titles and dates they were filed/published/issued. In addition, list any licensing agreements that the company has signed that are relevant to this application.
- K. Patents:** List any relevant issued patents and patent applications. Please include the titles and dates the patents were issued/filed/published. List any relevant license agreements.
- L. Organizational Commitment to Texas:** Describe how CPRIT funding of the applicant’s company would benefit the state of Texas. For example, describe how the company would create high-quality new jobs in the state and/or recruit out-of-state talent, and mention any Texas-based subcontractors and suppliers that would be used and any other unique, Texas-based resources that would be leveraged.

10.4.11. Biographical Sketches of Key Scientific Personnel (8-page maximum)

Provide a biographical sketch for up to 4 key scientific personnel that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 2 pages and must use the “Product Development Programs: Biographical Sketch” template. (In addition, information on the members of the senior management and scientific team should be included in the “Key Personnel” section of the Business Plan [see [section 10.4.10](#)]).

10.4.12. Budget

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

- Each award mechanism allows for up to a 3-year funding program with an opportunity for renewal after the term expires. The budget must be aligned with the proposed milestones. Financial support will be awarded based upon the breadth and nature of the project proposed. Requested funds must be well justified. Funding will be tranced and milestone driven.
- CPRIT considers equipment to be items having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit. Equipment not listed in the applicant's budget must be specifically approved by CPRIT subsequent to the award contract.
- Texas state law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cpritis.state.tx.us.
- The annual salary that an individual may receive under a CPRIT award for FY 2016 is \$200,000. In other words, an individual may request salary proportional to the percentage effort up to a maximum of \$200,000. Salary does not include fringe benefits. CPRIT FY 2016 is from September 1, 2015, through August 31, 2016.

Additionally, adjustments of up to a 3% increase in annual salary are permitted for Years 2 and 3 up to the cap of \$200,000. The salary cap may be revised at CPRIT's discretion.

The Budget Section is composed of 4 subtabs that must be completed:

- A. Budget for All Project Personnel:** Provide the name, role, appointment type, percent effort, salary requested, and fringe benefits for all personnel participating on this project.

- B. Detailed Budget for Year 1:** This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project. Provide the amount requested from CPRIT for direct costs in the first year of the project. Direct cost categories include Travel, Equipment, Supplies, Consultant Charges, Contractual (Subaward/Consortium), Research Related, or Other. Applicants will be required to itemize costs.
- C. Budget for Entire Proposed Period of Performance:** This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project. Provide the amount requested from CPRIT for direct costs for all subsequent years. Amounts for *Budget Year 1* will be automatically populated based on the information provided on the previous subtabs; namely, *Budget for All Project Personnel* and *Detailed Budget for Year 1*.
- D. Budget Justification:** Please specify your CPRIT-requested funds and other amounts that will comprise the total budget for the project, including the use of matching funds. Provide a compelling justification for the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. The budget must be aligned with the proposed milestones.

11. AWARD ADMINISTRATION

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

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

www.cprit.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 to 703.12.

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

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

Project Revenue Sharing: Recipients should also be aware that the funding award contract will include a revenue-sharing agreement, which can be found at <http://www.cprit.state.tx.us/> and will require CPRIT to have input on any future patents, agreements, or other financial arrangements related to the products, services, or infrastructure supported by the CPRIT investment. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cprit.state.tx.us.

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

Texas state law requires that prior to disbursement of CPRIT grant funds, the award recipient demonstrate that it has \$1.00 in matching funds for every \$2.00 from CPRIT. Matching funds need not be in hand when the application is submitted. However, matching funds must be obtained before CPRIT funds will be released for use. CPRIT funds must, whenever possible, be spent in Texas. A company's matching funds must be targeted for the CPRIT-funded project but may be spent outside of Texas. Grant applicants are advised to consult CPRIT's Administrative Rules, chapter 703, section 703.11, for specific requirements associated with the requirement to demonstrate available funds.

13. CONTACT INFORMATION

13.1. HelpDesk

HelpDesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. HelpDesk staff are not in a position to answer questions regarding scientific and product development aspects of applications. **Before contacting the HelpDesk, please refer to the *Instructions for Applicants* document, which provides a step-by-step guide on using CARS. In addition, for Frequently Asked Programmatic Questions, please go [here](#) and for Frequently Asked Technical Questions, please go [here](#).**

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Programmatic Questions

Questions regarding the CPRIT Program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Product Development Program Senior Manager.

Tel: 512-305-7676

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Product Development Peer Review Observation Report

Report #2016-04-07-PDEV

Program Name: Product Development

Panel Name: FY16.2 Product Development Screening
Panel 1

Panel Date: April 7, 2016

Report Date: April 14, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Product Development Screening Panel 1 peer review of applications for FY16 funding. The meeting was chaired by Jack Geltosky and held via teleconference on April 7, 2016.

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

The independent observer participated in the Product Development Screening Panel 1 meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Jack Geltosky on April 7, 2016.

The independent observer noted the following during our observation:

- Fifteen applications were discussed within the Product Development Peer Review in order to determine which would move forward to in-person presentations at the peer review panel.
- Eleven peer review panelists, five CPRIT staff members and two SRA employees were present for the meeting.
- Four conflicts of interest were identified prior to or during the meeting. Applications for four conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Product Development Peer Review Observation Report

Report #2016-04-08-PDEV

Program Name: Product Development

Panel Name: FY16.2 Product Development Screening
Panel 2

Panel Date: April 8, 2016

Report Date: April 14, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Product Development Screening Panel 2 peer review of applications for FY16 funding. The meeting was chaired by David Shoemaker and held via teleconference on April 8, 2016.

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

The independent observer participated in the Product Development Screening Panel 2 meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by David Shoemaker on April 8, 2016.

The independent observer noted the following during our observation:

- Eleven applications were discussed within the Product Development Peer Review in order to determine which would move forward to in-person presentations at the peer review panel.
- Eleven peer review panelists, three CPRIT staff members and one SRA employee were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Product Development Peer Review Observation Report

Report #2016-05-10/11-PDEV

Program Name: Product Development

Panel Name: FY16.2 Product Development Panel 1

Panel Date(s): May 10, 2016 to May 11, 2016

Report Date: May 20, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Product Development Panel 1 peer review of applications for FY16 funding. The meeting was chaired by Jack Geltosky and held at the Marriott Suites in Dallas TX on May 10 through May 11, 2016.

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

The independent observer participated in the Product Development Panel 1 meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Jack Geltosky on May 10 through May 11, 2016.

The independent observer noted the following during our observation:

- Eight applications were presented, discussed, and reviewed within the Product Development Peer Review to determine which applications would be recommended for funding.
- Each applicant delivered a twenty minute proposal presentation, followed by a Questions and Answers (Q&A) session which did not exceed twenty-five minutes to the peer review panel. Three presenters per application attended in person and various presenters via teleconference, for a total of thirty-six presenters.
- Eleven peer review panelists, three CPRIT staff members and six SRA employees were present for the meeting on May 10, 2016. Eleven peer review panelists, three CPRIT staff members and five SRA employees were present for the meeting on May 11, 2016.
- Two conflicts of interest were identified prior to or during the meeting. Applications for both conflicts were discussed during the first day of the peer review panel. The reviewers with the conflict of interest did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Product Development Peer Review Observation Report

Report #2016-05-12-PDEV

Program Name: Product Development

Panel Name: FY16.2 Product Development Panel 2

Panel Date(s): May 12, 2016

Report Date: May 20, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Product Development Panel 2 peer review of applications for FY16 funding. The meeting was chaired by David Shoemaker and held at the Marriott Suites in Dallas TX on May 12, 2016.

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

The independent observer participated in the Product Development Panel 2 meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by David Shoemaker on May 12, 2016.

The independent observer noted the following during our observation:

- Five applications were presented, discussed, and reviewed within the Product Development Peer Review to determine which applications would be recommended for funding.
- Each applicant delivered a twenty five proposal presentation, followed by a Questions and Answers (Q&A) session which did not exceed thirty minutes to the peer review panel. Three presenters per application attended in person and 2 total via teleconference, for a total of seventeen presenters.
- Eleven peer review panelists, two ad-hoc reviewers, three CPRIT staff members, and four SRA employees were present for the meeting on May 12, 2016.
 - One of the eleven peer review panelists and both ad-hoc reviewers participated via teleconference.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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Grant Thornton

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CPRIT Product Development Review Council Meeting Observation Report

Report #2016-10-17-PDEV

Program Name: Product Development

Panel Name: FY16.2 Due Diligence Evaluation
Meeting

Panel Date: October 17, 2016

Report Date: October 25, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Due Diligence Evaluation Meeting peer review of applications for FY16 funding. The meeting was chaired by Jack Geltosky and held via teleconference on October 17, 2016.

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

The independent observer participated in the Due Diligence Evaluation meeting via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Jack Geltosky on October 17, 2016.

The independent observer noted the following during our observation:

- Seven applications were discussed within the Due Diligence Evaluation Meeting to determine which applications would be recommended for funding.
- Eleven peer review panelists, three CPRIT staff members, three due diligence evaluators, one SRA employee and one IP attorney was present via teleconference on October 17, 2016.
 - Six of the eleven peer review panelists were primary reviewers and only participated in the discussion of applications they were assigned.
 - Five of the eleven peer review panelists were part of the Product Development Review Council
 - One of those five panelists only participated in the discussion of one application
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

Noted Conflicts of Interest

Conflicts of Interest Disclosure
Product Development Research Cycle 16.2 Applications
(Product Development Research Cycle 16.2 Awards Announced at November 16, 2016,
Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Product Development Research Cycle 16.2 include *Company Relocation Product Development Awards* and *Texas Company Product Development Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Company	Conflict Noted
Applications considered by the PIC and Oversight Committee			
DP160057	Moseley, Annemarie	Bellicum Pharmaceuticals, Inc.	Lee, Vivian; Benny, Paul; Cipau, Gabriel; Fox, Judy; Turnbull, Colin; Williams, Grant
DP160071	Kim, Jason	Molecular Templates, Inc.	Williams, Grant; Benny, Paul; Cipau, Gabriel; Pegram, Mark; Turnbull, Colin; Gullapalli, Purnachandra
Applications not considered by the PIC or Oversight Committee			
DP160061	Berrondo, Monica	Macromoltek	Serrero, Ginette
DP160062	Sobol, Robert	MultiVir, Inc.	McCloskey, Richard; Benny, Paul; Cipau, Gabriel; Fox, Judy; Turnbull, Colin; Williams, Grant
DP160075	Darst, David	Rgenix, Inc.	Benny, Paul; Gullapalli, Purnachandra; Cipau, Gabriel; Fox, Judy; Pegram, Mark; Turnbull, Colin; Williams, Grant

* = Not discussed

Application ID	Applicant/PI	Company	Conflict Noted
DP160081	Dorius, Kirk	Pointsman Foundation	Gullapalli, Purnachandra; Cipau, Gabirel; Fox, Judy; Pegram, Mark; Turnbull, Colin
DP160065	Prudent, James	Centrose, LLC	Benny, Paul; Cipau, Gabriel; Fox, Judy; Pegram, Mark; Spector, Neil; Williams, Grant
DP160068	Gunter, Kurt	Cell Medica	Benny, Paul; Fox, Judy; Pegram, Mark; Turnbull, Colin; Williams, Grant
DP160070	Rosellini, Elizabeth	Bellomed, LLC	Benny, Paul; Gullapalli, Purnachandra
DP160072	Harel, Zeev	Convergent R.N.R Ltd.	Benny, Paul; Gullapalli, Purnachandra
DP160074	Foster, David	Tuevol Therapeutics, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP160076	Unger, Evan	NuvOx Pharma	Benny, Paul; Gullapalli, Purnachandra
DP160077	Merzouk, Ahmed	Biopep Solutions, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP160078	Patel, Snehal	OnVi Biopharm, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP160079	Schlosser, Michael	COARE Biotechnology	Benny, Paul; Gullapalli, Purnachandra
DP160080	Wang, Rongfu	Immunova Therapeutics, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP160082	Szabo, Csaba	CBS Therapeutics Inc.	Jones, Elaine; Benny, Paul; Gullapalli, Purnachandra
DP160084	McIntyre, Peter	Flux Jet Magnetic Resonance, LLC	Benny, Paul

Application ID	Applicant/PI	Company	Conflict Noted
DP160085	Mohanty, Samarendra	Nanoscope Technologies	Benny, Paul; Gullapalli, Purnachandra
DP160086	Mitra, Rahul	BINAFOR	Weng, David; Benny, Paul; Gullapalli, Purnachandra
DP160087	Brooks, Robert	Aurora BioPharma, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP1600063	Fiacco, Stephen	EvoRx Technologies Inc.	Geltosky, Jack

25 T.A.C. § 702.19 Waiver



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
CC: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT: T.A.C. § 702.19 WAIVER
DATE: OCTOBER 28, 2016

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Michael Lang, CPRIT's Chief Product Development Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to two product development applicants, which are currently pending review by the Program Integration Committee (PIC). No Oversight Committee action is necessary.

CPRIT administrative rule § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process. The Product Development Review Council (PDRC) recommended Product Development application numbers DP160071 and DP160057 to receive grant awards. The PDRC's recommendations are currently pending PIC review. The PIC will meet on October 28, 2016, to consider the PDRC recommendations.

The purpose of the waiver is so that Mr. Lang may negotiate proposed grant budgets. I find good cause for the waiver because communication with the applicants assists Mr. Lang in identifying budget expenses to reduce or eliminate, thereby decreasing the overall amount of one or both of the proposed awards. This would normally occur as part of the contract negotiation process after the Oversight Committee approves the award recommendations. However, doing so prior to the PIC meeting gives the PIC and the Oversight Committee the best information on the amount of grant funds available for awards in FY 2017. Because the PDRC has already recommended both of the applications for grant awards, the appearance of more favorable treatment of these applications compared to the other applications not recommended for grants in this cycle is not an issue.

This waiver will be part of the grant record for these applications. The waiver will be publicly available when the Oversight Committee considers the applications.

High Level Summary of Due Diligence

November 17 Oversight Committee Meeting
High Level Summary of CPRIT Product Development Diligence and Recommendation

The Product Development Review Council (PDRC) recommends that the Program Integration Committee and the Oversight Committee approve Texas Company product development research grant awards to two prior CPRIT award recipients: Bellicum (\$19,789,415), and Molecular Templates (\$15,300,000). No contract contingencies were recommended by the PDRC for either firm.

Bellicum Pharmaceuticals

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

Bellicum Pharmaceuticals (“Bellicum”) is developing a cancer treatment based on a lead compound BPX-501. This compound is used in combination with $\alpha\beta$ T-cell depleted grafts for the treatment of acute myeloid leukemia. The use of BPX-105 provides an alternative for those patients for which a HLA-matched donor is not available. The scientific rationale underlying the project is highly rated by the review panel, receiving an overall score of 3.1. Bellicum is headquartered in Houston, Texas.

One reviewer summarized the significance and impact as follows: *“There is known competency with prior CPRIT overview and support. Clinical milestones in early patient treatments have been published in high visibility journals. The trials proposed are appropriate and would likely be fast tracked toward approval without the need for large scale trials. Improved outcomes for patients with AML could be significantly benefited and cured by this technology. Even partial success would represent a meaningful breakthrough.”*

Molecular Templates

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

The scientific rationale underlying the Molecular Templates product development research project is also highly rated by the review panel, receiving an overall score of 1.7. Molecular Templates (“MT”) is developing a lead compound, MT-4019ND, a modified fragment of an antibody that inactivates ribosome activity. MT-4019ND was developed for the treatment of multiple myeloma. Molecular Templates is located in Georgetown, Texas.

One reviewer summarized the significant and impact as follows: *“While there several recent approvals for multiple myeloma therapies, none are curative. There is still a significant need for new novel therapies. Antibody drug conjugates are an important evolution of antibody based targeted therapies. This agent represents a significant opportunity for cytotoxic targeted therapy for multiple myeloma. The applicant has significant experience developing a biologic targeted therapy for CD20 with the same cytotoxic platform. Clinical trial results of this CD20 targeted therapy demonstrate sufficient proof of concept to support the mechanism of action and clinical feasibility of MT4019-ND. It is expected that the lead compound will demonstrate signals of efficacy and toxicity from the earliest phase I trial.”*

De-Identified Overall Evaluation Scores

Texas Company Product Development Awards

Product Development Research Cycle 16.2

See “Final Overall Evaluation Scores and Rank Order Scores” section for an explanation of the recommendations by the Product Development Review Council.

Application ID	Final Overall Evaluation Score
DP160071*	1.7
sa	2.5
sb	2.7
sc	3.0
DP160057*	3.1
sd	4.3
se	4.4
sf	4.5
sg	4.6
sh	4.8
si	4.8
sj	5.0
sk	5.2
sl	5.3
sm	5.3
sn	5.5
so	5.6
sp	6.0
sq	7.3

* = Recommended for Funding

Final Overall Evaluation Scores and Rank Order Scores

October 20, 2016

Pete Geren

Oversight Committee Chair

Cancer Prevention and Research Institute of Texas Via email to pgeren@sidrichardson.org

Wayne R. Roberts

Program Integration Committee Chair

Cancer Prevention and Research Institute of Texas Via email to wroberts@cprit.texas.gov

Dear Pete and Wayne,

On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's product development research grant awards. The PDRC met on October 17, 2016, and recommends that the Program Integration Committee and the Oversight Committee approve product development research grant awards to Bellicum Pharmaceuticals, Inc. (Bellicum) and Molecular Templates, Inc. (Molecular Templates). The projects are ranked in the order the PDRC recommends that the applications be funded. Maximum recommended funding amounts and the overall evaluation score are stated for each grant application on the attached table.

Although the review panel recommended both applications for funding, the assessments of the due diligence and intellectual property reports led the PDRC to rank the Bellicum proposal first, although it had the lower score. No changes to goals, timelines, or budgets were deemed necessary for either project. However, we understand that CPRIT has authorized the Chief Product Development Officer to negotiate budgets with companies prior to the Program Integration Committee's consideration of this recommendation, and the PDRC supports the use of this exercise to identify any budget items that may be reduced or eliminated.

Each recommendation reflects 50+ hours of individual review and panel discussion of the applicant's proposal as well as the PDRC's review of the due diligence reports. Our recommendations are consistent with one or more of the priorities set by the Oversight Committee for product development grant award funding. These standards include the potential of these companies to: 1.) bring important products to market; 2.) promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and 3.) develop tools and technologies of special relevance to cancer research, treatment and prevention.

Sincerely,

/JG

Jack Gatosky, PhD

Chair, CPRIT Product Development Review Council

Attachment

Product Development Review Council Award Recommendations*

FY 2016, Cycle 2

Rank	Application ID	Company Name	Project	Maximum Recommended Budget	Overall Score
1	DP160057	Bellicum Pharmaceuticals, Inc.	Clinical Evaluation of a Novel T Cell Therapy (BPX-501) for the Treatment of Children and Adults with AML	\$19,789,415	3.1
2	DP160071	Molecular Templates, Inc.	A Novel Compound Targeting CD38 for Treatment of Multiple Myeloma	\$15,300,000	1.7

*These recommendations are subject to the company's acceptance of certain contract contingencies and/or additional goals and objectives.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycles 17.1 and 17.2
Recruitment of Established Investigators

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-17.1-REI

**Recruitment of
Established Investigators**

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2016**

Application Receipt Dates:

June 21, 2016-June 20, 2017

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 6/21/16 RFA release

Rev 7/21/16 Revised Section 4 – Funding Information and Section 7.2.2- Institutional Commitment- Endowment Equivalents to clarify information regarding institutional matching funds.

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research Program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address the following:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure development.

2. RATIONALE

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

Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (less than 15,000 new cases per year), including Childhood, Adolescent, and Young Adult Cancers; Population Disparities; and Cancers of Particular Importance in Texas (eg, liver, cervical, and lung).

3. RECRUITMENT OBJECTIVES

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

diagnosis, and/or treatment. They are also expected to maintain and lead a strong research group and have a stellar, high-impact publication portfolio, as well as continue to secure external funding. Furthermore, recipients will lead and inspire undergraduate and graduate students interested in pursuing research careers and will engage in collegial and collaborative relationships with others within and beyond their traditional discipline in an effort to expand the boundaries of cancer research.

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

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

4. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6 million (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if

very well justified. **Grant funds may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.** No annual limit on the number of potential award recipients has been set.

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

5. ELIGIBILITY

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

risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.

- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before

submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 10](#) and [section 11](#). All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

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

Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (Nominator) must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout FY17. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following

Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

7.2.1. Summary of Nomination (2,500 characters)

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

7.2.2. Institutional Commitment (3 pages)

Describe the institutional commitment to the candidate, including total salary, institutional support of salary, endowment or other support, space, and all other agreements between the institution and the candidate. **The institutional commitment must state the total award amount requested.** Provide a brief job description for the candidate should recruitment be successful. This information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean.

The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional commitment in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

Start-up Package: Complete details including salary and fringe benefits, dedicated personnel, amounts for equipment and supplies, and/or infrastructure that will be offered to the candidate as part of the recruitment award.

Endowment Equivalents: To the extent that the institution's federal indirect cost rate credit specified by chapter 703, section 703.11 does not fulfill the entire institutional match, the principal of an endowment may not be included as part of the institutional match, but endowment income over the lifetime of the award may be included.

Rent: Amount for recovery of occupying facility space (ie, "rent") is not a permitted institutional commitment item.

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

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

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

7.2.6. Research (4 pages)

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

cancer will be addressed. **This section of the application must be prepared by the candidate. References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

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

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

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted.

7.2.10. Research Environment (1 page)

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

7.2.11. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. Review Process

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

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

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

8.2. Confidentiality of Review

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

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

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

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals—an Oversight Committee member, a PIC member, or a Scientific Review Council member.

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

8.3. Review Criteria

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

submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

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

Questions to be considered by the reviewers are as follows:

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

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

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

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

9. KEY DATES

RFA

RFA Release

June 21, 2016

Application Receipt and Review Timeline

Application Receipt System opens 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 21, 2016	Continuous	Monthly by the 15 th day of the month	June 20, 2017

10. AWARD ADMINISTRATION

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

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

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

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

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

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In

addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at www.cprit.texas.gov.

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

12. CONTACT INFORMATION

12.1. HelpDesk

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

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports



Grant Thornton

An instinct for growth™

CPRIT Recruitment Scientific Observation Report

Report #2016-09-15-RES

Program Name: Academic Research

Panel Name: FY17.1/2 Recruitment Review Panel

Panel Date: September 15, 2016

Report Date: September 20, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on September 15, 2016.

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

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on September 15, 2016.

The independent observer noted the following during our observation:

- Three applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Six peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. An application for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

Noted Conflicts of Interest

Conflicts of Interest Disclosure
Academic Research Recruitment Cycle 17.1-17.2 Applications
(Academic Research Recruitment Cycle 17.1-17.2 Awards Announced at November 16,
2016, Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 17.1-17.2 include *Recruitment of First-Time, Tenure-Track Faculty Members* and *Recruitment of Established Investigators*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR170003	Fitz, John	The University of Texas Southwestern Medical Center	O'Reilly, Richard
Applications not considered by the PIC or Oversight Committee			
No conflicts reported.			

De-Identified Overall Evaluation Scores

Recruitment of Established Investigators

Academic Research Recruitment Cycles 17.1-17.2

Application ID	Final Overall Evaluation Score
RR170005*	1.0
xa	5.0

* = Recommended for Funding

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

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

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
Medicine, University of
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October 19, 2016

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, September 15, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 17.1 and 17.2

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$8,000,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR170005	Maura Gillison	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.00
2	RR170003	Srinivas, Malladi	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.0

*REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycles 17.1 and 17.2
*Recruitment of First-Time, Tenure-Track
Faculty Members*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-17.1-RFT

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

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2016**

Application Receipt Dates:

June 21, 2016-June 20, 2017

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 6/21/16 RFA release

Rev 7/21/16 Revised Section 4 – Funding Information; removed information regarding institutional matching funds.

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research Program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address the following:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure development.

2. RATIONALE

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

The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (less than 15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities, and Cancers of Particular Importance in Texas (eg, liver, cervical, and lung).

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. All candidates are expected to have completed their doctoral and fellowship training and to have clearly demonstrated truly superior ability as evidenced by their accomplishments during training, proposed research plan, publication record, and letters of recommendation. This CPRIT-supported initiative is designed to enhance innovative programs of excellence by providing research support for promising, early-stage investigators **seeking their first tenure track position**. CPRIT will provide start-up funding for newly independent investigators, with the goal of augmenting and expanding the institution's efforts in cancer research. Candidates will be expected to develop research projects within the sponsoring institution. Projects should be appropriate for a newly independent investigator and

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

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

4. FUNDING INFORMATION

This is a 4-year award and is not renewable, although individuals may apply for other future CPRIT funding as appropriate. Grant funds of up to \$2,000,000 (total costs) for the 4-year period may be requested. Funding is to be used by the candidate to support his or her research program. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

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

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

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position as assistant professor tenure track at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate **must not** hold an appointment at the rank of assistant professor or above (or equivalent) at an accredited academic institution, research

institution, industry, government agency, or private foundation not primarily based in Texas. Candidates holding non-tenure track appointments at the rank of assistant professor are not eligible for this award. Examples of such appointments include Research Assistant Professor, Adjunct Research Assistant Professor, Assistant Professor (Non-Tenure Track), etc. The candidate may or may not reside in Texas at the time the application is submitted and may be nominated for a faculty position at the Texas institution where he or she is completing postdoctoral training.

- Successful candidates will be offered tenure track academic positions at the rank of assistant professor.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in

[section 10](#) and [section 11](#). All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted. Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (Nominator) must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout FY17. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following

month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

7.2.1. Summary of Nomination (2,000 characters)

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

7.2.2. Institutional Commitment (3 pages)

Describe the institutional commitment to the candidate, including total salary, institutional support of salary, endowment or other support, space, and all other agreements between the institution and the candidate. **The institutional commitment must state the total award amount requested.** Provide a brief job description for the candidate should recruitment be successful. This information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean. The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional commitment in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

Start-up Package: Complete details including salary and fringe benefits, dedicated personnel, amounts for equipment and supplies, and/or infrastructure that will be offered to the candidate as part of the recruitment award.

Rent: Amount for recovery of occupying facility space (ie, "rent") is not a permitted institutional commitment item.

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

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

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

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

7.2.6. Research (4 pages)

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

cancer will be addressed. **This section of the application must be prepared by the candidate. References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

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

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

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted.

7.2.10. Letters of Recommendation

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

7.2.11. Research Environment (1 page)

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

7.2.12. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. Review Process

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

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

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

8.1.1. Confidentiality of Review

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

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

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

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant’s behalf) and the following individuals—an Oversight Committee member, a PIC member, or a Scientific Review Council member.

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

8.2. Review Criteria

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

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

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

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

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

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

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

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate's research? Is there evidence of strong institutional support?

Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on growing his or her research? Has the institution identified a mentor who will design and execute a faculty career development plan for the candidate?

9. KEY DATES

RFA

RFA Release June 21, 2016

Application Receipt and Review Timeline

Application Receipt System opens 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 21, 2016	Continuous	Monthly by the 15 th day of the month	June 20, 2017

10. AWARD ADMINISTRATION

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

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

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

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

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

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

12. CONTACT INFORMATION

12.1. HelpDesk

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

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports



Grant Thornton

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CPRIT Recruitment Scientific Observation Report

Report #2016-09-15-RES

Program Name: Academic Research

Panel Name: FY17.1/2 Recruitment Review Panel

Panel Date: September 15, 2016

Report Date: September 20, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on September 15, 2016.

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

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on September 15, 2016.

The independent observer noted the following during our observation:

- Three applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Six peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. An application for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

Noted Conflicts of Interest

Conflicts of Interest Disclosure
Academic Research Recruitment Cycle 17.1-17.2 Applications
(Academic Research Recruitment Cycle 17.1-17.2 Awards Announced at November 16,
2016, Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 17.1-17.2 include *Recruitment of First-Time, Tenure-Track Faculty Members* and *Recruitment of Established Investigators*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR170003	Fitz, John	The University of Texas Southwestern Medical Center	O'Reilly, Richard
Applications not considered by the PIC or Oversight Committee			
No conflicts reported.			

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycles 17.1-17.2

Application ID	Final Overall Evaluation Score
RR170003*	2.0

* = Recommended for Funding

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

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

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
Medicine, University of
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**T 858 534 7804
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October 19, 2016

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, September 15, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 17.1 and 17.2

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$8,000,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR170005	Maura Gillison	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.00
2	RR170003	Srinivas, Malladi	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.0

*REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycle 1
Early Translational Research Awards

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-17.1-ETRA

Early Translational Research Awards

**Please also refer to the Instructions for Applicants document, which will be
posted March 21, 2016**

Application Receipt Opening Date: March 21, 2016

Application Receipt Closing Date: May 19, 2016

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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

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RFA VERSION HISTORY

Rev 02/19/16 RFA release

Rev 02/22/16 Section 4 – Funding Information: Hyper-link was updated

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

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

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Building infrastructure.

2. RATIONALE

Early Translational Research Awards (ETRA) are intended to support the development of preclinical studies that establish proof of concept. The current trend in funding by the private sector strongly favors programs with a solid proof of concept that can be undertaken at an acceptable level of risk. Increasingly, for new treatments, this is taken as a clear preclinical

indication of a population subset or biomarker approach allowing preselection of the patient population more likely to respond to the therapy.

Examples of appropriate projects for the RFA include those that incorporate the study of potential biomarkers of use for the clinic, such as biomarkers for selection of patients (eg, tumors with mutations in EGFR, DDR2, BRAF) and/or biomarkers that can be utilized as pharmacodynamic end points (eg, measurement of bone degradation products in preclinical animal studies and early clinical studies of treatment of bone metastases), tissue distribution, preliminary stability or other “drugability” criteria, or safety pharmacology studies conducted in compliance with International Conference on Harmonization (ICH) Guidelines and, thus, usable in a formal Food and Drug Administration (FDA) regulatory submission. Applicants who plan to perform investigational new drug (IND)-enabling studies should document that they have experience and proficiency in doing such studies. A detailed preclinical development plan that demonstrates the translation of the preclinical work to the eventual clinical studies will be required.

3. RESEARCH OBJECTIVES

CPRIT fosters cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research. This RFA solicits applications for research projects addressing critically important needs related to the diagnosis, prevention, and/or treatment of cancer. The objective of this award is to “bridge the gap” between promising new discoveries achieved in the research laboratory and commercial development by funding advancement toward IND clearance or investigational device exemption approval for the therapeutic, device, or diagnostic assay through activities up to and including preclinical proof-of-principle data that demonstrate applicability to the planned clinical scenario. The work funded under this RFA must be deemed sufficiently robust such that successful completion would result in identification of a “lead” compound, assay, or device that, as a next stage, could be taken into full development in compliance with ICH Guidelines and US regulatory guidance documents and regulations. Applicants must identify a clear path of development consistent with the Target Product Profile outlined in the application.

The goal of awards made in response to this RFA is to fund innovative cancer research from target identification to “lead candidate” stage, according to a defined Target Product Profile, that projects a clear path to full commercial development. This award allows the opportunity to develop proof-of-principle data necessary to bring promising cancer research projects to lead

stage in preparation for full commercial development according to FDA regulations. Funding may be provided for intermediate steps according to established milestones (often referred to as “stage gates”) consistent with those utilized by pharmaceutical/biotechnology therapeutic, diagnostic, and/or device companies for “target identification to lead” development (ie, achievement of planned Target Product Profile [Draft Package Insert]) prior to full development activities. The Target Product Profile should include the parameters below; the questions are intended to guide the thinking process and may include, but are not limited to, the examples provided.

- (1) Identification of a target that is applicable to human cancer treatment. Is intervention with this target likely to lead to a therapeutic, diagnostic, or medical device that could be useful in the diagnosis or treatment of cancer?
- (2) Selection of a lead compound, assay, or device technology based on the target. Is the identification of potential candidates based on a set of in vitro tests followed by selection of a lead candidate based on considerations (as appropriate for the candidate) of pharmacodynamic parameters and the results of preclinical, in vivo, proof-of-principle studies in relevant animal models of disease?
- (3) Description of a high-level clinical development plan detailing each of the clinical studies the preclinical work is meant to support. Designing the preclinical program requires an understanding of the duration of the clinical studies required by regulatory authorities. Consequently, a brief outline of each of the phase 1, phase 2, and phase 3 studies necessary to obtain regulatory approval and reimbursement funding must be sketched out prior to deciding which toxicology studies would be required.

Additionally, for therapeutics the following apply:

Intended route of administration and dosing regimen. Is the intended route of administration and dosing regimen consistent with accepted convention and medical need for the therapeutic, or will the use of this new agent require a paradigm shift (more frequent or less frequent dosing, new route of administration), and if so, what impact will it have on current standard of care?

Optimization of the lead to ensure desired characteristics, including, but not limited to, the following studies:

- Absorption, distribution, metabolism, excretion (ADME), including, but not limited to, relevant studies based on route of administration.
- Safety (studies as mandated by ICH Guidelines).

- Biomarkers (assays) that potentially target specific patient populations for clinical trials.
- Biomarkers (assays) that can serve as potential pharmacodynamic markers of clinical activity during early clinical trials designed to demonstrate proof of concept.
- Proposed current good manufacturing practice (cGMP) (including estimated costs) that can be scalable from phase 1 through phase 3. Include information if there are possible plans for formulation.

Successful applicants should be working in a research environment capable of supporting potentially high-impact studies. Access to a clinical environment and interaction with translational cancer physician-scientists are highly desirable.

4. FUNDING INFORMATION

Applicants may request a maximum of \$1,000,000 in total costs over a period of 1 to 3 years. Exceptions to this limit may be requested if extremely well justified (see [section 8.3.7](#)).

Applications funded under this mechanism will not be eligible for competitive renewal. Funds may be used for salary and fringe benefits, research supplies, equipment, in vitro and in vivo studies, and travel to scientific/technical meetings or collaborating institutions. Funding is also available to support good laboratory practice, cGMP, good clinical practice, and regulatory expertise; to provide access to specialized technical infrastructure; and to develop a level of oversight and management that may be beyond the reach and experience of those conducting the research. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism.
- A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Program.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may submit only 1 application under this RFA during this funding cycle.

- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-Principal Investigator (Co-PI) may be included.
- Collaborations are permitted and encouraged, and there should be specific and well-defined roles. Collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- **This award mechanism should not be used for clinical-stage development programs.** In such instances, the Individual Investigator Research Award, Multi-Investigator Research Award, or Product Development Program award mechanisms are more suitable alternatives to this Early Translational Research Award mechanism.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 12](#) and [section 13](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

CPRIT has determined that since this round of the ETAs is set up as a new award mechanism under the Academic Research program, resubmissions are not available under this RFA. All projects eligible for resubmission should be submitted as new applications for this cycle.

An ETA application that was unfunded after a single review under Product Development should be submitted as a new application under this RFA. However, if a summary statement was prepared for the original application review, applicants are advised to address all noted concerns. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. All previously unfunded ETA submissions should be carefully reconstructed and take reviewers comments under consideration when submitting a new application.

7. RENEWAL POLICY

Renewals are not available under this RFA.

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. The Co-PI does not have to create a user account in CARS; the Co-PI will be added to the application by the PI. Please refer to the *Instructions for Applicants (IFA)* document for the instructions on adding Co-PIs to an application. The IFA document will be available when the application receipt system opens. Applications will be accepted beginning at 7 AM central time on March 21, 2016, and must be submitted by 3 PM central time on May 19, 2016. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of extenuating circumstances. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the IFA document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively rejected without review.

8.2.1. Abstract and Significance (5,000 characters)

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the Research Plan. Clearly address how the proposed project, if successful, will have a major impact on care of patients with cancer. Explain how this application provides a clear path for acquiring proof-of-principle data necessary for next-stage commercial development.

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

8.3. Layperson's Summary (5,000 characters)

Provide a Layperson's Summary of the proposed work. Describe in very 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 improving the treatment of cancer. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 9.2](#)) in evaluating the significance and impact of the proposed work.

8.3.1. 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 if the award is made.

8.3.2. Timeline (1 Page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.3.3. Research and Development Plan (10 Pages)

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

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

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

8.3.4. Vertebrate Animals and/or Human Biological Samples (1 page)

If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human biological samples will be used, provide a plan for acquisition of samples that will meet the time constraints of this award mechanism. Human/clinical trials are not permitted under this award mechanism.

8.3.5. Competitive Landscape/Intellectual Property (5 pages)

Complete the Competitive Landscape/Intellectual Property Plan using the template provided in CARS. Provide a clear discussion of the competitive landscape related to your project, including any companies/university laboratories working on similar projects; indicate which of these projects constitutes the greatest competitive threat. Describe the regulatory pathway for this project and any issues that may arise. Provide a concise discussion of the intellectual property issues related to your project and list any relevant issued patents and patent applications, along with their titles and dates they were issued/filed/published.

8.3.6. Publications/References

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

8.3.7. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Also state and justify if funds are requested to support expertise in regulatory issues, to provide access to specialized technical infrastructure, and/or to develop a level of oversight and management that may be beyond the reach and experience of those conducting the research. Applicants are advised NOT to interpret the maximum allowable request under this award as an invitation to expand the budget to this level. Reasonable budgets clearly work in

favor of the applicant. However, if there is a highly specific and defensible need to request more than \$1,000,000 (total funds), applicants should include a special and clearly labeled section in the budget justification that explains the request. Poorly justified requests of this type will have a negative impact on the overall evaluation of the application.

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

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's administrative rules, which are available at www.cpritis.state.tx.us. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The maximum annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2017 is \$200,000; CPRIT FY 2017 is from September 1, 2016, through August 31, 2017. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

8.3.8. Biographical Sketches (5 Pages Each)

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH Biosketch format is appropriate.

8.3.9. Current and Pending Support

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

8.3.10. Institutional/Collaborator Support and/or Other Certification (4 Pages)

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

8.3.11. Institutional Limits

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

The limit on the number of applications may seem restrictive, but experience indicates that truly innovative ideas that are appropriate for this award mechanism are uncommon. CPRIT expects institutions to initiate an internal review process and only authorize submission of the appropriate number of applications that have been rigorously judged to be responsive to this RFA. Institutional limits (which need not be fully used) are as follows: The University of Texas M. D. Anderson Cancer Center, 10; Baylor College of Medicine, 10; The University of Texas Southwestern Medical Center, 10; The University of Texas Health Science Center at San Antonio, 10; The University of Texas Health Science Center at Houston, 10; The University of Texas at Austin, 10; The University of Texas Medical Branch, 10; Texas A&M University, 10; Texas A&M University Health Science Center, 10; Texas Tech University, 10; Texas Tech University Health Sciences Center, 5; Texas Tech University Health Sciences Center at El Paso, 5; all other academic research institutions, 5 each.

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

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

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

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific and commercialization experts as well as advocate reviewers using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of

the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

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

9.3. Confidentiality of Review

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

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

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

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

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: An Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services.

The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period prior to the opening of CARS. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.4. Review Criteria

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

9.4.1. Primary Criteria

Primary criteria will evaluate the scientific and commercial merit of the proposed work and the ability of this work to translate to the intended clinical outcome contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study. Primary criteria include the following:

Significance and Impact of Overall Program: Does the applicant's research support a feasible approach to an unmet cancer need? Is the application innovative? Does the project develop or capitalize on state-of-the-art technologies, methods, tools, or resources for cancer treatment or address important underexplored or unexplored areas that have application to the clinic? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Will the results of this research, if successful, position the lead of interest such that it can compete successfully for private sector funding?

Research and Development Plan: Is the proposed work presented as a self-contained research project? Does the proposed research have a clearly defined plan for acquiring proof-of-principle data that can be translated to the clinic? Are the methods appropriate, and are potential experimental obstacles and unexpected results discussed?

Competitive Landscape/Intellectual Property: Is the applicant aware of the competitive landscape related to the project? Has the regulatory pathway been adequately described? Have intellectual property issues been addressed?

Applicant Investigator: Does the applicant demonstrate the required creativity, expertise, experience, and accomplishments to make a significant contribution to cancer research and product development? Applicants' credentials will be evaluated in a career stage-specific fashion. Have early-career-stage investigators received excellent training, and do their

accomplishments to date offer great promise for a successful career? Has the applicant devoted a sufficient amount of his or her time (percentage effort) to this project?

Relevance of Project: Does the proposed research have a high degree of relevance to cancer prevention, detection, or treatment? These will be important criteria for evaluation of projects for CPRIT support.

9.4.2. Secondary Criteria

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

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

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

Budget: Is the budget appropriate for the proposed work?

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

10. BUSINESS PLAN REQUIREMENT

Award recipients will be required to prepare and submit a business plan to CPRIT in the first year of the grant. The plan will be read and critiqued by CPRIT's Product Development Reviewers. It may be returned for rewriting if significant deficiencies are noted. At a minimum, the plan should include the following:

- A quantitative description of the market opportunity for the product.
- A discussion of the intellectual property protecting the product (professional patent searching and freedom-to-operate opinions are not required. The recipient should, however, show awareness of related or problematic intellectual property that might reasonably be discovered in a Google search and keyword search on the USPTO and WIPO websites).
- A description of the steps (including their time and cost) necessary for product development, clinical testing, and regulatory approval.

- A market strategy, including timeline and evaluation of competitive products and potential business partners. Pricing and product distribution channels should be discussed. This discussion should show an understanding of the potential customer and how purchasing decisions are made.
- Financial projections of the amount of cash needed by the business and how it will be used to reach product development milestones. Included here on a pro forma basis would be estimates of gross margins, net income, expenses, cash flows, and balance sheet. Broad categories with rough estimates for such items as “Administrative” and “Marketing” are acceptable.
- A description of the management and product development teams.
- A compelling executive summary.

The quality of the final business plan should be at a level that it could reasonably be submitted for consideration to venture capital sources.

11. KEY DATES

RFA

RFA release	February 19, 2016
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Application

Online application opens	March 21, 2016, 7 AM central time
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Application due	May 19, 2016, 3 PM central time
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Application review	June – September 2016
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Award

Award notification	November 2016
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Anticipated start date	December 2016
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12. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT’s electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports.

Such use shall be in accordance with CPRIT's electronic signature policy as set forth in chapter 701, section 701.25.

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

14. CONTACT INFORMATION

14.1. HelpDesk

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

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

14.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports



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CPRIT Research Peer Review Observation Report

Report #2016-09-21-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-1

Panel Date: September 21, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY17 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on September 21, 2016.

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

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on September 21, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Eighteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
 - One of the two advocate reviewers participated via teleconference.
- Four conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.



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CPRIT Research Peer Review Observation Report

Report #2016-09-22-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-2

Panel Date: September 22, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY17 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on September 22, 2016.

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

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on September 22, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-23-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Biology

Panel Date: September 23, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Biology peer review of applications for FY17 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on September 23, 2016.

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

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on September 23, 2016.

The independent observer noted the following during our observation:

- Eighteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
 - Two of the sixteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-28-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Prevention Research

Panel Date: September 28, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Prevention Research peer review of applications for FY17 funding. The meeting was chaired by Tom Sellers and held at the Marriott Suites Medical/Market Center in Dallas, TX, on September 28, 2016.

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

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on September 28, 2016.

The independent observer noted the following during our observation:

- Thirteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
 - The third-party grant application administrator was not present for the entire review of the first application.
- Eighteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
- Twelve conflicts of interest were identified prior to or during the meeting. Applications for seven conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-27-RES

Program Name: Academic Research

Panel Name: FY17.1 Clinical & Translational Cancer
Research and Translational Cancer Research

Panel Date: September 27, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY17 funding. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and held in person on September 27, 2016.

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

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and co-chaired by Richard O'Reilly and Margaret Tempero on September 27, 2016.

The independent observer noted the following during our observation:

- Twenty-four applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Thirty-one peer review panelists, three advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - Five of the thirty-one peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for ten conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-26-RES

Program Name: Academic Research

Panel Name: FY17.1 Imaging Technology and
Informatics

Panel Date: September 26, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY17 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas TX on September 26, 2016.

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

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on September 26, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-two peer review panelists, two advocate reviewers, two CPRIT staff members, one other attendee and six SRA employees were present for the meeting.
 - One of the twenty-two peer review panelists participated via teleconference.
- Seven conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.



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CPRIT Scientific Review Council Meeting Observation Report

Report #2016-10-13-RES

Program Name: Academic Research

Panel Name: FY17.1 Scientific Review Council
Meeting

Panel Date: October 13, 2016

Report Date: October 24, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council Meeting peer review of applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on October 13, 2016.

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

The independent observer participated in the Scientific Review Council Meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on October 13, 2016.

The independent observer noted the following during our observation:

- Over the course of the call, a review of the scoring for the 55 recommended applications was completed to ensure that they would in fact be recommended for funding. A score cut-off was reinforced by the panel as to which applications will move forward.
- Seven peer review panelists, two CPRIT staff members and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

Noted Conflicts of Interest

Conflicts of Interest Disclosure
Academic Research Cycle 17.1 Applications
(Academic Research Cycle 17.1 Awards Announced at November 16, 2016, Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 17.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Computational Biology*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Prevention and Early Detection*, *Early Translational Research Awards*, and *Research Training Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RP170180/ RP170180pe	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	Swanson, Kristin
RP170066	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170079/ RP170079pe	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin
RP170114/ RP170144pe	Morrison, Sean	The University of Texas Southwestern Medical Center	Fearon, Eric
RP170317/ RP170317pe	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	Van Allen, Eliezer
RP170470	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP170510	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan; Kast, W. Martin
RP170510pe	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan

Application ID	Applicant/PI	Institution	Conflict Noted
RP170496pe	Gregory, Carl	Texas A&M University System Health Science Center	Lawlor, Elizabeth
RP170537	Wang, Rongfu	The Methodist Hospital Research Institute	Sette, Alessandro; Kast, W. Martin
RP170071/ RP170071pe	Lupo, Philip	Baylor College of Medicine	Olshan, Andrew
RP170259	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra
RP170493	Fernandez, Maria	The University of Texas Health Science Center at Houston	Kushi, Lawrence; Brandon, Thomas
Applications not considered by the PIC or Oversight Committee			
RP170139*/ RP170139pe	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	Fiering, Steven
RP170233	Hancock, John	The University of Texas Health Science Center at Houston	Haigis, Kevin; McMahon, Martin
RP170263	Zhang, Ruiwen	Texas Tech University Health Sciences Center	Chen, Xinbin
RP170106/ RP170106pe	Nurieva, Roza	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170348/ RP170348pe	Diab, Adi	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170389*/ RP170389pe	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170416*/ RP170416pe	Sevick, Eva	The University of Texas Health Science Center at Houston	Ribas, Antoni, Dubinett, Steven
RP170032*	Zhou, Jia	The University of Texas Medical Branch at Galveston	Neamati, Nouri
RP170214*	Shen, Qiang	The University of Texas M. D. Anderson Cancer Center	Neamati, Nouri
RP170011	Berenson, Abbey	The University of Texas Medical Branch at Galveston	Petersen, Gloria

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170064*/ RP170064pe	Chow, Wong-Ho	The University of Texas M. D. Anderson Cancer Center	Schnoll, Robert; Brandon, Thomas
RP170082/ RP170082pe	Schembre, Susan	The University of Texas M. D. Anderson Cancer Center	Martinez, Maria
RP170276/ RP170276pe	Roncancio, Angelica	The University of Texas Health Science Center at Houston	Kushi, Lawrence
RP170354*	Xu, Hua	The University of Texas Health Science Center at Houston	Petersen, Gloria; Barlow, William
RP170354pe	Xu, Hua	The University of Texas Health Science Center at Houston	Barlow, William
RP170448*/ RP170448pe	Tang, Yi-Yuan	Texas Tech University	Brandon, Thomas
RP170100/ RP170100pe	Hoyt, Kenneth	The University of Texas at Dallas	Zinn, Kurt
RP170253*/ RP170253pe	Kundra, Vikas	The University of Texas M. D. Anderson Cancer Center	Johnson, G. Allan
RP170527	Ghaghada, Ketan	Baylor College of Medicine	Johnson, G. Allan; Basilion, James
RP170527pe	Ghaghada, Ketan	Baylor College of Medicine	Basilion, James
RP170548*	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Wu, Anna; Basilion, James; Pomper, Martin
RP170405pe	Srivastava, Sanjay	Texas Tech University Health Sciences Center	Swanson; Kristin
RP170462pe	Zhang, Dekai	Texas A&M University System Health Science Center	Williams, Bart
RP170039pe	Vyas, Dinesh	Texas Tech University Health Sciences Center	Pure, Ellen
RP170412pe	Fuqua, Suzanne	Baylor College of Medicine	Pure, Ellen
RP170472pe	Dang, Weiwei	Baylor College of Medicine	Berger, Shelley
RP170479pe	Slinker, Jason	The University of Texas at Dallas	Tomkinson, Alan

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170068pe	Zhao, Hua	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170186pe	Laetsch, Theodore	The University of Texas Southwestern Medical Center	Dubinett, Steven
RP170190pe	Marchetti, Dario	The Methodist Hospital Research Institute	Prados, Michael; Shah, Neil
RP170213pe	Bartholomeusz, Geoffrey	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170278pe	Krasnykh, Victor	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170325pe	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP170385pe	Priebe, Waldemar	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170579pe	Ferrari, Mauro	The Methodist Hospital Research Institute	Koong, Albert
RP170041pe	Wan, Yihong	The University of Texas Southwestern Medical Center	Greene, Geoffrey
RP170098pe	Gustafsson, Jan-Åke	University of Houston	Lawlor, Elizabeth; Fearon, Eric; Knudsen, Karen
RP170587pe	Dashwood, Roderick	Texas A&M University System Health Science Center	Fearon, Eric
RP170101pe	Wang, Wenyi	The University of Texas M. D. Anderson Cancer Center	Mucci, Lorelei
RP170051pe	Qin, Zhenpeng	The University of Texas at Dallas	Zinn, Kurt
RP170324pe	Hao, Guiyang	The University of Texas Southwestern Medical Center	Wu, Anna
RP170409pe	Cai, Hancheng	The University of Texas Southwestern Medical Center	Jadvar, Hossein

De-Identified Overall Evaluation Scores

Early Translational Research Awards

Academic Research Cycle 17.1

This list includes the de-identified scores for the three applications that were deferred by the Program Integration Committee to a future FY2017 meeting date.

Application ID	Final Overall Evaluation Score
RP170427*	1.5
RP170245*	2.2
RP170537*	2.4
RP170066*	2.5
tta	2.9
ttb	2.9
ttc	3.0
ta	3.1
tb	3.3
tc	3.7
td	3.7
te	3.7
tf	3.7
tg	3.7
th	3.7
ti	3.7
tj	3.9
tk	4.0
tl	4.0
tm	4.0
tn	4.0
to	4.0
tp	4.0
tq	4.0
tr	4.2
ts	4.3
tt	4.3
tu	4.3
tv	4.3
tw	4.7
tx	4.7
ty	4.7
tz	4.7
ua	4.7
ub	4.7

* = Recommended for Funding

Application ID	Final Overall Evaluation Score
uc	4.7
ud	4.7
ue	4.7
uf	4.7
ug	4.8
uh	4.8
ui	5.0
uj	5.0
uk	5.2
ul	5.3
um	5.3
un	5.3
uo	5.4
up	5.7
uq	5.7
ur	5.7
us	6.0
ut	6.7
uu	8.7

* = Recommended for Funding

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

October 20, 2016

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

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP), Research Training Awards (RTA), and the Early Translational Research Awards (ETRA) grant mechanisms. The SRC met on Thursday, October 13, 2016 to consider the applications recommended by the peer review panels following their meetings that were held September 21, 2016 – September 28, 2016.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$63,256,343.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



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

Attachment

55	Recommended					
Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170067	RTA	1.2	The Future of Cancer Research: Training Program for Basic and Translational Scientists	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 4,000,000
RP170427	ETRA	1.5	Ambient Mass Spectrometry for Preoperative Molecular Diagnosis of Thyroid Fine Needle Aspirate Biopsies	Schiavinato Eberlin, Livia	The University of Texas at Austin	\$ 983,586
RP170466	IIRA	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$ 896,951
RP170233	IIRA	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$ 900,000
RP170496	IIRA	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$ 864,971
RP170314	IIRA	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of Texas M. D. Anderson Cancer Center	\$ 899,553
RP170593	RTA	2.0	Computational Cancer Biology Training Program	Pettitt, B. Montgomery	The University of Texas Medical Branch at Galveston	\$ 3,999,285
RP170074	IIRACCA	2.0	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$ 1,200,000
RP170401	IIRA	2.0	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170207	IIRACCA	2.0	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for	Srivenugopal, Kalkunte	Texas Tech University Health Sciences	\$ 1,173,149

			chemotherapy of childhood brain cancers		Center	
RP170231	IIRA	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$ 869,197
RP170399	IIRA	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$ 899,993
RP170040	IIRA	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$ 899,889
RP170295	IIRAP	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$ 1,052,089
RP170095	IIRAP	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$ 891,623
RP170470	IIRACCA	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$ 1,125,638
RP170146	IIRA	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170493	IIRAP	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$ 1,487,683
RP170245	ETRA	2.2	Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors	Liu, Qingyun	The University of Texas Health Science Center at Houston	\$ 1,000,000
RP170330	IIRA	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$ 900,000
RP170250	IIRA	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170126	IIRA	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170114	IIRA	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$ 892,521
RP170537	ETRA	2.4	Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer	Wang, Rongfu	The Methodist Hospital Research Institute	\$ 999,995
RP170508	IIRAP	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$ 900,000
RP170510	IIRACCA	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$ 1,058,246
RP170336	IIRA	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$ 875,757
RP170066	ETRA	2.5	Oncolytic Immunotherapy for Gliomas and Cancer Metastases in the Era of Checkpoint Regulation	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	\$ 990,905
RP170382	IIRA	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$ 900,000
RP170259	RTA	2.6	CPRIT Cancer Prevention Research Training Program	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	\$ 2,071,403
RP170564	IIRA	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$ 900,000
RP170079	IIRA	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170301	RTA	2.7	Osteopathic Scholars in Cancer Research (OSCR)	Vishwanatha, Jamboor	University of North Texas Health Science Center at Fort Worth	\$ 799,055
RP170071	IIRAP	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$ 1,488,105
RP170366	IIRA	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$ 899,996
RP170317	IIRA	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$ 899,507
RP170307	IIRA	2.7	BIOMARKER-BASED TREATMENT OF POOR PROGNOSTIC MESENCHYMAL SUBTYPE IN GASTRIC CANCER	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$ 893,875
RP170373	IIRA	2.8	HTS for covalent GTP-competitive inhibitors of KRAS G12C	Westover, Kenneth	The University of Texas Southwestern Medical Center	\$ 900,000
RP170152	IIRACCA	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$ 1,169,499
RP170086	IIRA	2.8	Tumor suppression, p53 and retrotransposons	Abrams, John	The University of Texas Southwestern Medical Center	\$ 891,990
RP170572	IIRA	2.8	PROBING NOVEL CONCEPTS OF THE NF-kappaB TRANSCRIPTIONAL PROGRAM IN HUMAN CANCER	D'Orso, Ivan	The University of Texas Southwestern Medical Center	\$ 742,577
RP170144	IIRACB	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$ 900,000
RP170169	IIRACCA	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a	Li, Xiao-Nan	Baylor College of Medicine	\$ 1,198,726

			dysregulated EZH2 pathway			
RP170267	IIRA	2.9	Chemically based disruption of oncogenic beta-catenin activity in liver tissue	Lum, Lawrence	The University of Texas Southwestern Medical Center	\$ 900,000
RP170488	IIRACCA	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$ 1,110,480
RP170407	IIRA	2.9	Role of HDAC8 and higher order chromatin structure in melanoma metastasis and therapy	Rai, Kunal	The University of Texas M. D. Anderson Cancer Center	\$ 899,622
RP170500	ETRA	2.9	Development of next generation steroid receptor coactivator small molecule inhibitors as novel agents to target therapy-resistant breast cancer	O'Malley, Bert	Baylor College of Medicine	\$ 998,914
RP170179	ETRA	2.9	Chemoablation of High-Risk Oral Premalignant Lesions for Sustained Cancer Prevention	Tsai, Robert	Texas A&M University System Health Science Center	\$ 1,000,000
RP170387	IIRACB	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$ 889,679
RP170090	IIRA	3.0	Novel Regulation and Function of TAK1 in Mutant Kras-driven Development of Pancreatic Ductal Adenocarcinoma	Chiao, Paul	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170333	ETRA	3.0	Targeting ubiquitination for cancer therapy	Zhang, Shuxing	The University of Texas M. D. Anderson Cancer Center	\$ 1,000,000
RP170180	IIRA	3.1	Mechanistic Roles of Long Non-Coding RNA in Glioblastoma Development and Treatment	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170170	IIRACB	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$ 844,989
RP170172	IIRA	3.1	Targeting Therapy Resistance using Epithelial to Mesenchymal Transition (EMT)	Rosen, Jeffrey	Baylor College of Medicine	\$ 900,000

			Pathways in Preclinical Claudin Low Breast Cancer Models			
RP170345	RTA	3.2	UTHSCSA Cancer Research Training Program	Oyajobi, Babatunde	The University of Texas Health Science Center at San Antonio	\$ 3,996,895

*RP170259 – Research Training Award: SRC recommended the following budget reductions: Reduce number of trainees from 9 to 6 Post-Doctoral trainees per year; reduce funding for training program manager to 50% FTE (from proposed 100% FTE), and reduce budget to reflect reduction of 3 trainees/year (cost per trainee *3). The award amount in this table reflects these changes.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycle 1
Individual Investigator Research Awards

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-17.1-IIRA

Individual Investigator Research Awards

**Please also refer to the Instructions for Applicants document,
which will be posted on March 21, 2016**

Application Receipt Opening Date: March 21, 2016

Application Receipt Closing Date: May 19, 2016

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 02/19/16 RFA release

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

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

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Building infrastructure.

2. RATIONALE

The goals of the CPRIT Research Grants Program are to support the discovery of new information about cancer that can lead to prevention, early detection, and cures and to translate new and existing discoveries into practical advances in cancer diagnosis and treatment. CPRIT encourages applications that seek new fundamental knowledge about cancer and cancer

development as well as those attempting to develop state-of-the-art technologies, tools, computational models, and/or resources for cancer research, including those with potential commercialization opportunities. This award allows experienced or early-career-stage cancer researchers the opportunity to explore new methods and approaches for investigating a question of importance that has been inadequately addressed or for which there may be an absence of an established paradigm or technical framework. CPRIT will look with special favor on new approaches to be taken or new areas of investigation to be explored by established investigators and on supporting the research programs of the most promising investigators at the beginning of their research careers. Applicants need not be trained specifically in cancer research. Indeed, CPRIT strongly encourages investigators from other fields, including the mathematical and computational modeling, physical, chemical, and engineering sciences, to bring their expertise to bear on the exceptionally challenging problems posed by cancer. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and cure.

To fulfill this vision, applications may address any topic or issue related to cancer, including cancer biology, computational modeling, and systems biology, causation, prevention, detection or screening, treatment, or cure. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies. Access to a clinical environment and interaction with translational cancer physician-scientists are highly desirable.

3. RESEARCH OBJECTIVES

CPRIT will foster cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research. This RFA solicits applications for innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. The goal of awards made in response to this RFA is to fund exceptionally innovative research projects with great potential impact that are directed by a single investigator. Areas of interest include laboratory research, translational studies, and/or clinical investigations. Applications that include collaboration with computational modeling teams are welcomed. In that cancers arise from a large number of derangements of basic molecular and cellular functions and, in turn, cause many alterations in basic biological processes, almost any aspect of biology may be relevant to cancer research, more or less directly. The *degree of relevance* to cancer research will be an important criterion for evaluation of projects for funding by CPRIT ([section 9.4.1](#)). For example, are alterations in the process in question *primarily* responsible for oncogenesis or secondary manifestations of malignant

transformation? Will understanding the process or interfering with it offer selective and useful insight into prevention, diagnosis, or treatment of cancer? *Successful applicants for funding from CPRIT will have addressed these questions satisfactorily.*

4. FUNDING INFORMATION

Applicants may request a maximum of \$300,000 in total costs per year for up to 3 years for research. Exceptions to these limits may be requested if extremely well justified (see [section 8.2.10](#)). Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Program.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may not submit applications to this RFA and to RFA-R-17.1-IIRACB, RFA-R-17.1-IIRACCA, or RFA R-17.1-IIRAP. Only 1 IIRA, IIRACB, IIRACCA, or IIRAP application per cycle is allowed. A PI may submit only 1 new or resubmission application under this RFA during this funding cycle. If submitting a renewal application, a PI may submit both a new or resubmission application and a renewal application under this RFA during this funding cycle. An investigator who is the PI on 3 or more CPRIT grants of any type that will be active December 1, 2016, is not eligible to submit an application in response to this RFA.
- Applications that address Prevention and Early Detection, Cancers in Children and Adolescents, or Computational Biology should be submitted under the appropriate targeted RFA.

- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Collaborators should have specific and well-defined roles. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, and any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds, or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PI for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. This policy is in effect for all applications submitted to date. See [section 8.2.5](#).

7. RENEWAL POLICY

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

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Authorized Signing Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on March 21, 2016, and must be submitted by 3 PM central time on May 19, 2016. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the Research Plan.

Clearly address how the proposed project, if successful, will have a major impact on cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

Note: It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly). **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)).**

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 9.2](#)) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

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

8.2.4. Timeline (1 page)

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

If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.5. Resubmission Summary (1 page)

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

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may prepare a fresh Research Plan or modify the original Research Plan and mark the changes. However, all resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

8.2.6. Renewal Summary (2 pages)

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

8.2.7. Research Plan (10 pages)

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

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

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

8.2.8. Vertebrate Animals and/or Human Subjects (1 page)

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

8.2.9. Publications/References

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

8.2.10. Budget and Justification

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

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

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

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cpritis.state.tx.us. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2017 is \$200,000; CPRIT FY 2017 is from September 1, 2016, through August 31, 2017. 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.

8.2.11. Biographical Sketches (5 pages each)

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

A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH Biosketch format is appropriate.

8.2.12. Current and Pending Support

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

current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided.

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

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

8.2.14. Previous Summary Statement

If the application is being resubmitted, the summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission. The applicant is not responsible for providing this document.

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

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

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

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

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

9.3. Confidentiality of Review

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

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.**

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

9.4. Review Criteria

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

9.4.1. Primary Criteria

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

Significance and Impact: Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or

resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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

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

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

9.4.2. Secondary Criteria

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

Secondary criteria include the following:

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

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

Budget: Is the budget appropriate for the proposed work?

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

10. KEY DATES

RFA

RFA release February 19, 2016

Application

Online application opens March 21, 2016, 7 AM central time

Application due May 19, 2016, 3 PM central time

Application review June – September 2016

Award

Award notification November 2016

Anticipated start date December 1, 2016

11. AWARD ADMINISTRATION

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

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

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

13. CONTACT INFORMATION

13.1. HelpDesk

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

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Senior Manager for Research.

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Research Peer Review Observation Report

Report #2016-09-21-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-1

Panel Date: September 21, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY17 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on September 21, 2016.

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

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on September 21, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Eighteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
 - One of the two advocate reviewers participated via teleconference.
- Four conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-22-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-2

Panel Date: September 22, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY17 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on September 22, 2016.

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

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on September 22, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-23-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Biology

Panel Date: September 23, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Biology peer review of applications for FY17 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on September 23, 2016.

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

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on September 23, 2016.

The independent observer noted the following during our observation:

- Eighteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
 - Two of the sixteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.



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CPRIT Research Peer Review Observation Report

Report #2016-09-28-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Prevention Research

Panel Date: September 28, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Prevention Research peer review of applications for FY17 funding. The meeting was chaired by Tom Sellers and held at the Marriott Suites Medical/Market Center in Dallas, TX, on September 28, 2016.

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

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on September 28, 2016.

The independent observer noted the following during our observation:

- Thirteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
 - The third-party grant application administrator was not present for the entire review of the first application.
- Eighteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
- Twelve conflicts of interest were identified prior to or during the meeting. Applications for seven conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-27-RES

Program Name: Academic Research

Panel Name: FY17.1 Clinical & Translational Cancer
Research and Translational Cancer Research

Panel Date: September 27, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY17 funding. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and held in person on September 27, 2016.

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

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and co-chaired by Richard O'Reilly and Margaret Tempero on September 27, 2016.

The independent observer noted the following during our observation:

- Twenty-four applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Thirty-one peer review panelists, three advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - Five of the thirty-one peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for ten conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-26-RES

Program Name: Academic Research

Panel Name: FY17.1 Imaging Technology and
Informatics

Panel Date: September 26, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY17 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas TX on September 26, 2016.

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

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on September 26, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-two peer review panelists, two advocate reviewers, two CPRIT staff members, one other attendee and six SRA employees were present for the meeting.
 - One of the twenty-two peer review panelists participated via teleconference.
- Seven conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Scientific Review Council Meeting Observation Report

Report #2016-10-13-RES

Program Name: Academic Research

Panel Name: FY17.1 Scientific Review Council
Meeting

Panel Date: October 13, 2016

Report Date: October 24, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council Meeting peer review of applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on October 13, 2016.

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

The independent observer participated in the Scientific Review Council Meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on October 13, 2016.

The independent observer noted the following during our observation:

- Over the course of the call, a review of the scoring for the 55 recommended applications was completed to ensure that they would in fact be recommended for funding. A score cut-off was reinforced by the panel as to which applications will move forward.
- Seven peer review panelists, two CPRIT staff members and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

Noted Conflicts of Interest

Conflicts of Interest Disclosure
Academic Research Cycle 17.1 Applications
(Academic Research Cycle 17.1 Awards Announced at November 16, 2016, Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 17.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Computational Biology*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Prevention and Early Detection*, *Early Translational Research Awards*, and *Research Training Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RP170180/ RP170180pe	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	Swanson, Kristin
RP170066	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170079/ RP170079pe	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin
RP170114/ RP170144pe	Morrison, Sean	The University of Texas Southwestern Medical Center	Fearon, Eric
RP170317/ RP170317pe	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	Van Allen, Eliezer
RP170470	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP170510	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan; Kast, W. Martin
RP170510pe	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan

Application ID	Applicant/PI	Institution	Conflict Noted
RP170496pe	Gregory, Carl	Texas A&M University System Health Science Center	Lawlor, Elizabeth
RP170537	Wang, Rongfu	The Methodist Hospital Research Institute	Sette, Alessandro; Kast, W. Martin
RP170071/ RP170071pe	Lupo, Philip	Baylor College of Medicine	Olshan, Andrew
RP170259	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra
RP170493	Fernandez, Maria	The University of Texas Health Science Center at Houston	Kushi, Lawrence; Brandon, Thomas
Applications not considered by the PIC or Oversight Committee			
RP170139*/ RP170139pe	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	Fiering, Steven
RP170233	Hancock, John	The University of Texas Health Science Center at Houston	Haigis, Kevin; McMahon, Martin
RP170263	Zhang, Ruiwen	Texas Tech University Health Sciences Center	Chen, Xinbin
RP170106/ RP170106pe	Nurieva, Roza	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170348/ RP170348pe	Diab, Adi	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170389*/ RP170389pe	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170416*/ RP170416pe	Sevick, Eva	The University of Texas Health Science Center at Houston	Ribas, Antoni, Dubinett, Steven
RP170032*	Zhou, Jia	The University of Texas Medical Branch at Galveston	Neamati, Nouri
RP170214*	Shen, Qiang	The University of Texas M. D. Anderson Cancer Center	Neamati, Nouri
RP170011	Berenson, Abbey	The University of Texas Medical Branch at Galveston	Petersen, Gloria

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170064*/ RP170064pe	Chow, Wong-Ho	The University of Texas M. D. Anderson Cancer Center	Schnoll, Robert; Brandon, Thomas
RP170082/ RP170082pe	Schembre, Susan	The University of Texas M. D. Anderson Cancer Center	Martinez, Maria
RP170276/ RP170276pe	Roncancio, Angelica	The University of Texas Health Science Center at Houston	Kushi, Lawrence
RP170354*	Xu, Hua	The University of Texas Health Science Center at Houston	Petersen, Gloria; Barlow, William
RP170354pe	Xu, Hua	The University of Texas Health Science Center at Houston	Barlow, William
RP170448*/ RP170448pe	Tang, Yi-Yuan	Texas Tech University	Brandon, Thomas
RP170100/ RP170100pe	Hoyt, Kenneth	The University of Texas at Dallas	Zinn, Kurt
RP170253*/ RP170253pe	Kundra, Vikas	The University of Texas M. D. Anderson Cancer Center	Johnson, G. Allan
RP170527	Ghaghada, Ketan	Baylor College of Medicine	Johnson, G. Allan; Basilion, James
RP170527pe	Ghaghada, Ketan	Baylor College of Medicine	Basilion, James
RP170548*	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Wu, Anna; Basilion, James; Pomper, Martin
RP170405pe	Srivastava, Sanjay	Texas Tech University Health Sciences Center	Swanson; Kristin
RP170462pe	Zhang, Dekai	Texas A&M University System Health Science Center	Williams, Bart
RP170039pe	Vyas, Dinesh	Texas Tech University Health Sciences Center	Pure, Ellen
RP170412pe	Fuqua, Suzanne	Baylor College of Medicine	Pure, Ellen
RP170472pe	Dang, Weiwei	Baylor College of Medicine	Berger, Shelley
RP170479pe	Slinker, Jason	The University of Texas at Dallas	Tomkinson, Alan

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170068pe	Zhao, Hua	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170186pe	Laetsch, Theodore	The University of Texas Southwestern Medical Center	Dubinett, Steven
RP170190pe	Marchetti, Dario	The Methodist Hospital Research Institute	Prados, Michael; Shah, Neil
RP170213pe	Bartholomeusz, Geoffrey	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170278pe	Krasnykh, Victor	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170325pe	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP170385pe	Priebe, Waldemar	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170579pe	Ferrari, Mauro	The Methodist Hospital Research Institute	Koong, Albert
RP170041pe	Wan, Yihong	The University of Texas Southwestern Medical Center	Greene, Geoffrey
RP170098pe	Gustafsson, Jan-Åke	University of Houston	Lawlor, Elizabeth; Fearon, Eric; Knudsen, Karen
RP170587pe	Dashwood, Roderick	Texas A&M University System Health Science Center	Fearon, Eric
RP170101pe	Wang, Wenyi	The University of Texas M. D. Anderson Cancer Center	Mucci, Lorelei
RP170051pe	Qin, Zhenpeng	The University of Texas at Dallas	Zinn, Kurt
RP170324pe	Hao, Guiyang	The University of Texas Southwestern Medical Center	Wu, Anna
RP170409pe	Cai, Hancheng	The University of Texas Southwestern Medical Center	Jadvar, Hossein

De-Identified Overall Evaluation Scores

Individual Investigator Research Awards

Academic Research Cycle 17.1

Final Scores for Fully Reviewed Applications

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within the Individual Investigator Research Awards mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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

This list includes the de-identified scores for the eight applications that were deferred by the Program Integration Committee to a future FY2017 meeting date.

Application ID	Final Overall Evaluation Score
RP170466*	1.7
RP170233*	1.8
RP170314*	1.8
RP170496*	1.8
RP170401*	2.0
RP170040*	2.1
RP170231*	2.1
RP170399*	2.1
RP170146*	2.2
RP170114*	2.3
RP170126*	2.3
RP170250*	2.3
RP170330*	2.3
RP170336*	2.5
RP170079*	2.6
RP170382*	2.6
RP170564*	2.6
RP170307*	2.7
RP170317*	2.7
RP170366*	2.7
gga	2.8
ggb	2.8

* = Recommended for Funding

Application ID	Final Overall Evaluation Score
ggc	2.8
ggd	2.9
gge	2.9
ggf	3.0
ggg	3.1
ggh	3.1
ga	3.1
gb	3.2
gc	3.3
gd	3.3
ge	3.3
gf	3.3
gg	3.3
gh	3.3
gi	3.4
gj	3.4
gk	3.4
gl	3.4
gm	3.4
gn	3.5
go	3.5
gp	3.5
gq	3.6
gr	3.6
gs	3.7
gt	3.7
gu	3.7
gv	3.7
gw	3.7
gx	3.8
gy	3.9
gz	3.9
ha	3.9
hb	3.9
hc	4.0
hd	4.0
he	4.0
hf	4.0
hg	4.0
hh	4.0
hi	4.0

* = Recommended for Funding

Application ID	Final Overall Evaluation Score
hj	4.0
hk	4.0
hl	4.0
hm	4.0
hn	4.1
ho	4.2
hp	4.2
hq	4.3
hr	4.3
hs	4.3
ht	4.3
hu	4.3
hv	4.3
hw	4.3
hx	4.3
hy	4.3
hz	4.3
ia	4.3
ib	4.3
ic	4.3
id	4.3
ie	4.3
if	4.4
ig	4.5
ih	4.7
ii	4.7
ij	4.7
ik	4.7
il	4.7
im	4.7
in	4.7
io	4.7
ip	4.9
iq	4.9
ir	5.0
is	5.0
it	5.0
iu	5.0
iv	5.0
iw	5.1
ix	5.1

* = Recommended for Funding

Application ID	Final Overall Evaluation Score
iy	5.2
iz	5.3
ja	5.3
jb	5.3
jc	5.5
jd	5.7
je	5.7
jf	6.3

Individual Investigator Research Awards

Academic Research Cycle 17.1

Final Scores for Preliminary Evaluation

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

To see the final overall evaluation scores of applications that received full review, see page 43.

Application ID	Final Overall Evaluation Score
dda	3.0
ddb	3.0
ddc	3.0
ddd	3.0
dde	3.0
ddf	3.0
ddg	3.0
ddh	3.0
ddi	3.0
ddk	3.3
ddk	3.3
ddl	3.3
ddm	3.3
ddn	3.3
ddo	3.3
ddp	3.3
ddq	3.3
ddr	3.3
dds	3.3
ddt	3.3
ddu	3.3
ddv	3.3
ddw	3.3
ddx	3.3
ddy	3.3
ddz	3.3
eea	3.3
eeb	3.3
eec	3.3
eed	3.3

Application ID	Final Overall Evaluation Score
eee	3.3
eef	3.3
eeg	3.7
eeh	3.7
eei	3.7
eej	3.7
EEK	3.7
eel	3.7
eem	3.7
een	3.7
eeo	3.7
eep	3.7
eeq	3.7
eer	3.7
ees	3.7
eet	3.7
eeu	3.7
eev	3.7
eeW	3.7
eex	3.7
eeY	3.7
eez	3.7
ffa	3.7
ffb	3.7
ffc	3.7
ffd	3.7
ffe	3.7
fff	3.7
ffg	3.7
ffh	3.7
ffi	3.7
ffj	3.7
ffk	3.7
ffl	3.7
ffm	3.7
ffn	3.7
ffo	3.7
ffp	3.7
ffq	4.0
ffr	4.0

Application ID	Final Overall Evaluation Score
ffs	4.0
fft	4.0
ffu	4.0
ffv	4.0
ffw	4.0
ffx	4.0
ffy	4.0
ffz	4.0
gga	4.0
ggb	4.0
ggc	4.0
ggd	4.0
gge	4.0
ggf	4.0
ggg	4.0
ggh	4.0
ggi	4.0
ggj	4.0
ggk	4.0
ggl	4.0
ggm	4.0
ggn	4.0
ggo	4.0
ggp	4.0
ggq	4.0
ggr	4.0
ggs	4.0
ggt	4.3
ggu	4.3
ggv	4.3
ggw	4.3
ggx	4.3
ggy	4.3
ggz	4.3
hha	4.3
hhb	4.3
hhc	4.3
hhd	4.3
hhe	4.3
hhf	4.3

Application ID	Final Overall Evaluation Score
hhg	4.3
hhh	4.3
hhi	4.3
hhj	4.3
hhk	4.3
hhl	4.3
hhm	4.3
hhn	4.3
hho	4.3
hhp	4.3
hhq	4.7
hhr	4.7
hhs	4.7
hht	4.7
hhu	4.7
hhv	4.7
hhw	4.7
hhx	4.7
hhy	4.7
hhz	4.7
iia	4.7
iib	4.7
iic	4.7
iid	4.7
iie	4.7
iif	4.7
iig	4.7
iih	4.7
iii	4.7
iij	4.7
iik	4.7
iil	4.7
iim	4.7
iin	5.0
iio	5.0
iip	5.0
iiq	5.0
iir	5.0
iis	5.0
iit	5.0

Application ID	Final Overall Evaluation Score
iiu	5.0
iiv	5.0
iiw	5.0
iix	5.0
iiy	5.0
iiz	5.0
jjā	5.3
jjb	5.3
jjc	5.3
jjd	5.3
jje	5.3
jjf	5.3
jjg	5.7
jjh	5.7
iji	5.7
jjj	5.7
jjk	5.7
jjl	5.7
jjm	5.7
jjn	5.7
jjo	5.7
jjp	5.7
jjq	6.0
jjr	6.3
jjś	6.3

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

October 20, 2016

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

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP), Research Training Awards (RTA), and the Early Translational Research Awards (ETRA) grant mechanisms. The SRC met on Thursday, October 13, 2016 to consider the applications recommended by the peer review panels following their meetings that were held September 21, 2016 – September 28, 2016.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$63,256,343.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



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

Attachment

55	Recommended					
Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170067	RTA	1.2	The Future of Cancer Research: Training Program for Basic and Translational Scientists	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 4,000,000
RP170427	ETRA	1.5	Ambient Mass Spectrometry for Preoperative Molecular Diagnosis of Thyroid Fine Needle Aspirate Biopsies	Schiavinato Eberlin, Livia	The University of Texas at Austin	\$ 983,586
RP170466	IIRA	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$ 896,951
RP170233	IIRA	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$ 900,000
RP170496	IIRA	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$ 864,971
RP170314	IIRA	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of Texas M. D. Anderson Cancer Center	\$ 899,553
RP170593	RTA	2.0	Computational Cancer Biology Training Program	Pettitt, B. Montgomery	The University of Texas Medical Branch at Galveston	\$ 3,999,285
RP170074	IIRACCA	2.0	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$ 1,200,000
RP170401	IIRA	2.0	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170207	IIRACCA	2.0	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for	Srivenugopal, Kalkunte	Texas Tech University Health Sciences	\$ 1,173,149

			chemotherapy of childhood brain cancers		Center	
RP170231	IIRA	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$ 869,197
RP170399	IIRA	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$ 899,993
RP170040	IIRA	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$ 899,889
RP170295	IIRAP	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$ 1,052,089
RP170095	IIRAP	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$ 891,623
RP170470	IIRACCA	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$ 1,125,638
RP170146	IIRA	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170493	IIRAP	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$ 1,487,683
RP170245	ETRA	2.2	Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors	Liu, Qingyun	The University of Texas Health Science Center at Houston	\$ 1,000,000
RP170330	IIRA	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$ 900,000
RP170250	IIRA	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170126	IIRA	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170114	IIRA	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$ 892,521
RP170537	ETRA	2.4	Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer	Wang, Rongfu	The Methodist Hospital Research Institute	\$ 999,995
RP170508	IIRAP	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$ 900,000
RP170510	IIRACCA	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$ 1,058,246
RP170336	IIRA	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$ 875,757
RP170066	ETRA	2.5	Oncolytic Immunotherapy for Gliomas and Cancer Metastases in the Era of Checkpoint Regulation	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	\$ 990,905
RP170382	IIRA	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$ 900,000
RP170259	RTA	2.6	CPRIT Cancer Prevention Research Training Program	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	\$ 2,071,403
RP170564	IIRA	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$ 900,000
RP170079	IIRA	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170301	RTA	2.7	Osteopathic Scholars in Cancer Research (OSCR)	Vishwanatha, Jamboor	University of North Texas Health Science Center at Fort Worth	\$ 799,055
RP170071	IIRAP	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$ 1,488,105
RP170366	IIRA	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$ 899,996
RP170317	IIRA	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$ 899,507
RP170307	IIRA	2.7	BIOMARKER-BASED TREATMENT OF POOR PROGNOSTIC MESENCHYMAL SUBTYPE IN GASTRIC CANCER	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$ 893,875
RP170373	IIRA	2.8	HTS for covalent GTP-competitive inhibitors of KRAS G12C	Westover, Kenneth	The University of Texas Southwestern Medical Center	\$ 900,000
RP170152	IIRACCA	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$ 1,169,499
RP170086	IIRA	2.8	Tumor suppression, p53 and retrotransposons	Abrams, John	The University of Texas Southwestern Medical Center	\$ 891,990
RP170572	IIRA	2.8	PROBING NOVEL CONCEPTS OF THE NF-kappaB TRANSCRIPTIONAL PROGRAM IN HUMAN CANCER	D'Orso, Ivan	The University of Texas Southwestern Medical Center	\$ 742,577
RP170144	IIRACB	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$ 900,000
RP170169	IIRACCA	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a	Li, Xiao-Nan	Baylor College of Medicine	\$ 1,198,726

			dysregulated EZH2 pathway			
RP170267	IIRA	2.9	Chemically based disruption of oncogenic beta-catenin activity in liver tissue	Lum, Lawrence	The University of Texas Southwestern Medical Center	\$ 900,000
RP170488	IIRACCA	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$ 1,110,480
RP170407	IIRA	2.9	Role of HDAC8 and higher order chromatin structure in melanoma metastasis and therapy	Rai, Kunal	The University of Texas M. D. Anderson Cancer Center	\$ 899,622
RP170500	ETRA	2.9	Development of next generation steroid receptor coactivator small molecule inhibitors as novel agents to target therapy-resistant breast cancer	O'Malley, Bert	Baylor College of Medicine	\$ 998,914
RP170179	ETRA	2.9	Chemoablation of High-Risk Oral Premalignant Lesions for Sustained Cancer Prevention	Tsai, Robert	Texas A&M University System Health Science Center	\$ 1,000,000
RP170387	IIRACB	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$ 889,679
RP170090	IIRA	3.0	Novel Regulation and Function of TAK1 in Mutant Kras-driven Development of Pancreatic Ductal Adenocarcinoma	Chiao, Paul	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170333	ETRA	3.0	Targeting ubiquitination for cancer therapy	Zhang, Shuxing	The University of Texas M. D. Anderson Cancer Center	\$ 1,000,000
RP170180	IIRA	3.1	Mechanistic Roles of Long Non-Coding RNA in Glioblastoma Development and Treatment	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170170	IIRACB	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$ 844,989
RP170172	IIRA	3.1	Targeting Therapy Resistance using Epithelial to Mesenchymal Transition (EMT)	Rosen, Jeffrey	Baylor College of Medicine	\$ 900,000

			Pathways in Preclinical Claudin Low Breast Cancer Models			
RP170345	RTA	3.2	UTHSCSA Cancer Research Training Program	Oyajobi, Babatunde	The University of Texas Health Science Center at San Antonio	\$ 3,996,895

*RP170259 – Research Training Award: SRC recommended the following budget reductions: Reduce number of trainees from 9 to 6 Post-Doctoral trainees per year; reduce funding for training program manager to 50% FTE (from proposed 100% FTE), and reduce budget to reflect reduction of 3 trainees/year (cost per trainee *3). The award amount in this table reflects these changes.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycle 1
*Individual Investigator Research Awards for
Computational Biology*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-17.1-IIRACB

**Individual Investigator Research Awards for
Computational Biology**

**Please also refer to the Instructions for Applicants document, which will
be posted on March 21, 2016**

Application Receipt Opening Date: March 21, 2016

Application Receipt Closing Date: May 19, 2016

FY 2017

Fiscal Year Award Period

September 1, 2016 - August 31, 2017

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RFA VERSION HISTORY

Rev 02/19/16 RFA release

Rev 02/22/16 Section 4 – Funding Information: Hyper-link was updated

Section 7 – Renewal Policy: Hyper-link was updated

Section 10 – Key Dates: Corrected Application Review dates from June-October to June-September 2016

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address the following:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Building infrastructure.

2. RATIONALE

Cancer is a complex disease involving multiple genetic alterations that result in modifications of a large number of cellular processes, both within the cancer cell and in surrounding host tissues. Descriptions of morphological and physiological alterations in cancers using imaging technologies have generated enormous quantities of data, as have analyses of the changes in

cancer cells at the molecular and pathway levels. New methods from mathematical and computational biology for cataloging and analyzing such data may accelerate the ability to define cancer prognosis and patient management.

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

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

3. RESEARCH OBJECTIVES

This Request for Applications (RFA) solicits applications for innovative mathematical or computational research projects addressing questions that will advance current knowledge in any aspect of cancer. Applications may address any topic or issue related to cancer causation, identification of populations at risk, prevention, early progression, early detection, treatment, or outcomes. For example, research may address data analysis of cellular pathways, microarrays, cellular imaging, cancer imaging, or genomic, proteomic, and metabolomic databases. It may address descriptive and/or predictive mathematical models of cancer, as well as mechanistic models of cellular processes and interactions. Finally, it may also use artificial intelligence approaches to build new tools for mining cancer research and treatment databases or optimizing treatment strategies. Partnering of computational scientists with cancer biologists or oncologists is highly recommended; a truly interdisciplinary team that addresses models that could become simulations of structure or pathway functional relationships and changes of these relationships over the disease progression is highly recommended. CPRIT expects the outcomes of activities supported by this mechanism to lead to new insights into cancer biology or clinical outcomes in the long term. CPRIT encourages applications that seek to apply or develop state-of-the-art technologies, tools, and/or resources. Successful applicants should be working in a research

environment capable of supporting potentially high-impact studies in computational biology, biostatistics, and/or mathematics.

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

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

The *degree of relevance* to reducing the burden of cancer will be an important criterion for evaluation of projects for funding by CPRIT.

4. FUNDING INFORMATION

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

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

Funds may be used for salary and fringe benefits, research supplies, equipment, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism;

these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Program.

- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may submit only 1 new application under this RFA during this funding cycle. A PI may not submit applications to this RFA and to RFA-R-17.1-IIRA, RFA R-17.1-IIRACCA or RFA-R-17.1-IIRAP. Only 1 IIRACB application per cycle is allowed. An investigator who is the PI on 3 or more CPRIT grants of any type that will be active December 1, 2016, is not eligible to submit an application in response to this RFA.
- Applications that address untargeted research, Prevention and Early Detection, or Cancers in Children and Adolescents should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included. Collaborators should have specific and well-defined roles.
- Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant

funds, or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

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

6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PI for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. This policy is in effect for all applications submitted to date. See [section 8.2.5](#).

7. RENEWAL POLICY

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

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Authorized Signing

Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on March 21, 2016, and must be submitted by 3 PM central time on May 19, 2016. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

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

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

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

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 9.2](#)) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

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

8.2.4. Timeline (1 page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.5. Resubmission Summary (1 page)

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

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

However, all resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

8.2.6. Renewal Summary (2 pages)

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

8.2.7. Research Plan (10 pages)

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

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

Research Strategy: Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches.

8.2.8. Vertebrate Animals and/or Human Subjects (1 page)

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

8.2.9. Publications/References

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

8.2.10. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Applicants may request a maximum of \$300,000 in total costs per year for up to 3 years. Applicants are advised not to interpret the maximum allowable time and funding under this award as a suggestion that they should expand their anticipated work and budget to this level. Reasonable budgets clearly work in favor of the applicant.

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

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

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cpritis.state.tx.us. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2017 is \$200,000; CPRIT FY 2017 is from September 1, 2016, through August 31, 2017. 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.

8.2.11. Biographical Sketches (5 pages each)

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

A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH Biosketch format is appropriate.

8.2.12. Current and Pending Support

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

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

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

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

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

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

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC.

The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

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

9.3. Confidentiality of Review

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

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for**

reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: An Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services.

The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.4. Review Criteria

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

9.4.1. Primary Criteria

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

Significance and Impact: Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be

considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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

Applicant Investigator: Does the applicant investigator demonstrate the required experience and creativity to make a significant contribution to the research? Does the applicant investigator demonstrate the required expertise to make a significant contribution in both mathematics and oncology, or are there appropriate collaborators or consultants with expertise in oncology or cancer biology? It is highly encouraged that applicant investigators engage such collaborators. Applicants' credentials will be evaluated in a career stage-specific fashion. Have early-career-stage investigators received excellent training, and do their accomplishments to date offer great promise for a successful career? Has the applicant devoted a sufficient amount of his or her time (percentage effort) to this project?

Relevance: Does the proposed research address a significant problem related to cancer? Is it likely to make an impact on this disease? This will be an important criterion for evaluation of projects for CPRIT support.

9.4.2. Secondary Criteria

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

Secondary criteria include the following:

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

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

Budget: Is the budget appropriate for the proposed work?

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

10. KEY DATES

RFA

RFA release February 19, 2016

Application

Online application opens March 21, 2016, 7 AM central time

Application due May 19, 2016, 3 PM central time

Application review June – September 2016

Award

Award notification November 2016

Anticipated start date December 1, 2016

11. AWARD ADMINISTRATION

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

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

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

13. CONTACT INFORMATION

13.1. HelpDesk

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

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Senior Manager for Research.

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports



Grant Thornton

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CPRIT Research Peer Review Observation Report

Report #2016-09-21-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-1

Panel Date: September 21, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY17 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on September 21, 2016.

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

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on September 21, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Eighteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
 - One of the two advocate reviewers participated via teleconference.
- Four conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-22-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-2

Panel Date: September 22, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY17 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on September 22, 2016.

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

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on September 22, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-23-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Biology

Panel Date: September 23, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Biology peer review of applications for FY17 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on September 23, 2016.

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

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on September 23, 2016.

The independent observer noted the following during our observation:

- Eighteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
 - Two of the sixteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-28-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Prevention Research

Panel Date: September 28, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Prevention Research peer review of applications for FY17 funding. The meeting was chaired by Tom Sellers and held at the Marriott Suites Medical/Market Center in Dallas, TX, on September 28, 2016.

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

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on September 28, 2016.

The independent observer noted the following during our observation:

- Thirteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
 - The third-party grant application administrator was not present for the entire review of the first application.
- Eighteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
- Twelve conflicts of interest were identified prior to or during the meeting. Applications for seven conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-27-RES

Program Name: Academic Research

Panel Name: FY17.1 Clinical & Translational Cancer
Research and Translational Cancer Research

Panel Date: September 27, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY17 funding. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and held in person on September 27, 2016.

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

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and co-chaired by Richard O'Reilly and Margaret Tempero on September 27, 2016.

The independent observer noted the following during our observation:

- Twenty-four applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Thirty-one peer review panelists, three advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - Five of the thirty-one peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for ten conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-26-RES

Program Name: Academic Research

Panel Name: FY17.1 Imaging Technology and
Informatics

Panel Date: September 26, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY17 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas TX on September 26, 2016.

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

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on September 26, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-two peer review panelists, two advocate reviewers, two CPRIT staff members, one other attendee and six SRA employees were present for the meeting.
 - One of the twenty-two peer review panelists participated via teleconference.
- Seven conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Scientific Review Council Meeting Observation Report

Report #2016-10-13-RES

Program Name: Academic Research

Panel Name: FY17.1 Scientific Review Council
Meeting

Panel Date: October 13, 2016

Report Date: October 24, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council Meeting peer review of applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on October 13, 2016.

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

The independent observer participated in the Scientific Review Council Meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on October 13, 2016.

The independent observer noted the following during our observation:

- Over the course of the call, a review of the scoring for the 55 recommended applications was completed to ensure that they would in fact be recommended for funding. A score cut-off was reinforced by the panel as to which applications will move forward.
- Seven peer review panelists, two CPRIT staff members and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

Noted Conflicts of Interest

Conflicts of Interest Disclosure
Academic Research Cycle 17.1 Applications
(Academic Research Cycle 17.1 Awards Announced at November 16, 2016, Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 17.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Computational Biology*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Prevention and Early Detection*, *Early Translational Research Awards*, and *Research Training Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RP170180/ RP170180pe	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	Swanson, Kristin
RP170066	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170079/ RP170079pe	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin
RP170114/ RP170144pe	Morrison, Sean	The University of Texas Southwestern Medical Center	Fearon, Eric
RP170317/ RP170317pe	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	Van Allen, Eliezer
RP170470	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP170510	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan; Kast, W. Martin
RP170510pe	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan

Application ID	Applicant/PI	Institution	Conflict Noted
RP170496pe	Gregory, Carl	Texas A&M University System Health Science Center	Lawlor, Elizabeth
RP170537	Wang, Rongfu	The Methodist Hospital Research Institute	Sette, Alessandro; Kast, W. Martin
RP170071/ RP170071pe	Lupo, Philip	Baylor College of Medicine	Olshan, Andrew
RP170259	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra
RP170493	Fernandez, Maria	The University of Texas Health Science Center at Houston	Kushi, Lawrence; Brandon, Thomas
Applications not considered by the PIC or Oversight Committee			
RP170139*/ RP170139pe	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	Fiering, Steven
RP170233	Hancock, John	The University of Texas Health Science Center at Houston	Haigis, Kevin; McMahon, Martin
RP170263	Zhang, Ruiwen	Texas Tech University Health Sciences Center	Chen, Xinbin
RP170106/ RP170106pe	Nurieva, Roza	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170348/ RP170348pe	Diab, Adi	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170389*/ RP170389pe	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170416*/ RP170416pe	Sevick, Eva	The University of Texas Health Science Center at Houston	Ribas, Antoni, Dubinett, Steven
RP170032*	Zhou, Jia	The University of Texas Medical Branch at Galveston	Neamati, Nouri
RP170214*	Shen, Qiang	The University of Texas M. D. Anderson Cancer Center	Neamati, Nouri
RP170011	Berenson, Abbey	The University of Texas Medical Branch at Galveston	Petersen, Gloria

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170064*/ RP170064pe	Chow, Wong-Ho	The University of Texas M. D. Anderson Cancer Center	Schnoll, Robert; Brandon, Thomas
RP170082/ RP170082pe	Schembre, Susan	The University of Texas M. D. Anderson Cancer Center	Martinez, Maria
RP170276/ RP170276pe	Roncancio, Angelica	The University of Texas Health Science Center at Houston	Kushi, Lawrence
RP170354*	Xu, Hua	The University of Texas Health Science Center at Houston	Petersen, Gloria; Barlow, William
RP170354pe	Xu, Hua	The University of Texas Health Science Center at Houston	Barlow, William
RP170448*/ RP170448pe	Tang, Yi-Yuan	Texas Tech University	Brandon, Thomas
RP170100/ RP170100pe	Hoyt, Kenneth	The University of Texas at Dallas	Zinn, Kurt
RP170253*/ RP170253pe	Kundra, Vikas	The University of Texas M. D. Anderson Cancer Center	Johnson, G. Allan
RP170527	Ghaghada, Ketan	Baylor College of Medicine	Johnson, G. Allan; Basilion, James
RP170527pe	Ghaghada, Ketan	Baylor College of Medicine	Basilion, James
RP170548*	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Wu, Anna; Basilion, James; Pomper, Martin
RP170405pe	Srivastava, Sanjay	Texas Tech University Health Sciences Center	Swanson; Kristin
RP170462pe	Zhang, Dekai	Texas A&M University System Health Science Center	Williams, Bart
RP170039pe	Vyas, Dinesh	Texas Tech University Health Sciences Center	Pure, Ellen
RP170412pe	Fuqua, Suzanne	Baylor College of Medicine	Pure, Ellen
RP170472pe	Dang, Weiwei	Baylor College of Medicine	Berger, Shelley
RP170479pe	Slinker, Jason	The University of Texas at Dallas	Tomkinson, Alan

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170068pe	Zhao, Hua	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170186pe	Laetsch, Theodore	The University of Texas Southwestern Medical Center	Dubinett, Steven
RP170190pe	Marchetti, Dario	The Methodist Hospital Research Institute	Prados, Michael; Shah, Neil
RP170213pe	Bartholomeusz, Geoffrey	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170278pe	Krasnykh, Victor	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170325pe	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP170385pe	Priebe, Waldemar	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170579pe	Ferrari, Mauro	The Methodist Hospital Research Institute	Koong, Albert
RP170041pe	Wan, Yihong	The University of Texas Southwestern Medical Center	Greene, Geoffrey
RP170098pe	Gustafsson, Jan-Åke	University of Houston	Lawlor, Elizabeth; Fearon, Eric; Knudsen, Karen
RP170587pe	Dashwood, Roderick	Texas A&M University System Health Science Center	Fearon, Eric
RP170101pe	Wang, Wenyi	The University of Texas M. D. Anderson Cancer Center	Mucci, Lorelei
RP170051pe	Qin, Zhenpeng	The University of Texas at Dallas	Zinn, Kurt
RP170324pe	Hao, Guiyang	The University of Texas Southwestern Medical Center	Wu, Anna
RP170409pe	Cai, Hancheng	The University of Texas Southwestern Medical Center	Jadvar, Hossein

De-Identified Overall Evaluation Scores

Individual Investigator Research Awards for Computational Biology

Academic Research Cycle 17.1

Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP170144*	2.8
RP170387*	3.0
RP170170*	3.1
ma	3.3
mb	3.3
mc	3.6
md	3.8
me	4.0
mf	4.3
mg	4.3
mh	5.0

* = Recommended for Funding

Individual Investigator Research Awards for Computational Biology

Academic Research Cycle 17.1

Final Scores for Preliminary Evaluation

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

To see the final overall evaluation scores of applications that received full review, see page 44.

Application ID	Final Overall Evaluation Score
aaa	3.3
aab	3.5
aac	3.7
aad	3.7
aae	3.7
aaf	3.7
aag	3.7
aah	3.7
aai	3.7
aaj	3.7
aak	3.7
aal	4.0
aam	4.0
aan	4.0
ao	4.3
aap	4.3
aaq	4.3
aar	4.3
aas	4.3
aat	4.7
aa	4.7
aav	4.7
aaw	4.7
aax	4.7
aay	4.7
aaz	5.0
aba	5.0
abb	5.3
abc	5.3
abd	5.7

Application ID	Final Overall Evaluation Score
abe	6.3

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

October 20, 2016

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP), Research Training Awards (RTA), and the Early Translational Research Awards (ETRA) grant mechanisms. The SRC met on Thursday, October 13, 2016 to consider the applications recommended by the peer review panels following their meetings that were held September 21, 2016 – September 28, 2016.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$63,256,343.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



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

Attachment

55	Recommended					
Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170067	RTA	1.2	The Future of Cancer Research: Training Program for Basic and Translational Scientists	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 4,000,000
RP170427	ETRA	1.5	Ambient Mass Spectrometry for Preoperative Molecular Diagnosis of Thyroid Fine Needle Aspirate Biopsies	Schiavinato Eberlin, Livia	The University of Texas at Austin	\$ 983,586
RP170466	IIRA	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$ 896,951
RP170233	IIRA	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$ 900,000
RP170496	IIRA	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$ 864,971
RP170314	IIRA	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of Texas M. D. Anderson Cancer Center	\$ 899,553
RP170593	RTA	2.0	Computational Cancer Biology Training Program	Pettitt, B. Montgomery	The University of Texas Medical Branch at Galveston	\$ 3,999,285
RP170074	IIRACCA	2.0	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$ 1,200,000
RP170401	IIRA	2.0	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170207	IIRACCA	2.0	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for	Srivenugopal, Kalkunte	Texas Tech University Health Sciences	\$ 1,173,149

			chemotherapy of childhood brain cancers		Center	
RP170231	IIRA	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$ 869,197
RP170399	IIRA	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$ 899,993
RP170040	IIRA	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$ 899,889
RP170295	IIRAP	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$ 1,052,089
RP170095	IIRAP	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$ 891,623
RP170470	IIRACCA	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$ 1,125,638
RP170146	IIRA	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170493	IIRAP	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$ 1,487,683
RP170245	ETRA	2.2	Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors	Liu, Qingyun	The University of Texas Health Science Center at Houston	\$ 1,000,000
RP170330	IIRA	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$ 900,000
RP170250	IIRA	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170126	IIRA	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170114	IIRA	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$ 892,521
RP170537	ETRA	2.4	Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer	Wang, Rongfu	The Methodist Hospital Research Institute	\$ 999,995
RP170508	IIRAP	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$ 900,000
RP170510	IIRACCA	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$ 1,058,246
RP170336	IIRA	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$ 875,757
RP170066	ETRA	2.5	Oncolytic Immunotherapy for Gliomas and Cancer Metastases in the Era of Checkpoint Regulation	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	\$ 990,905
RP170382	IIRA	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$ 900,000
RP170259	RTA	2.6	CPRIT Cancer Prevention Research Training Program	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	\$ 2,071,403
RP170564	IIRA	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$ 900,000
RP170079	IIRA	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170301	RTA	2.7	Osteopathic Scholars in Cancer Research (OSCR)	Vishwanatha, Jamboor	University of North Texas Health Science Center at Fort Worth	\$ 799,055
RP170071	IIRAP	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$ 1,488,105
RP170366	IIRA	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$ 899,996
RP170317	IIRA	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$ 899,507
RP170307	IIRA	2.7	BIOMARKER-BASED TREATMENT OF POOR PROGNOSTIC MESENCHYMAL SUBTYPE IN GASTRIC CANCER	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$ 893,875
RP170373	IIRA	2.8	HTS for covalent GTP-competitive inhibitors of KRAS G12C	Westover, Kenneth	The University of Texas Southwestern Medical Center	\$ 900,000
RP170152	IIRACCA	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$ 1,169,499
RP170086	IIRA	2.8	Tumor suppression, p53 and retrotransposons	Abrams, John	The University of Texas Southwestern Medical Center	\$ 891,990
RP170572	IIRA	2.8	PROBING NOVEL CONCEPTS OF THE NF-kappaB TRANSCRIPTIONAL PROGRAM IN HUMAN CANCER	D'Orso, Ivan	The University of Texas Southwestern Medical Center	\$ 742,577
RP170144	IIRACB	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$ 900,000
RP170169	IIRACCA	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a	Li, Xiao-Nan	Baylor College of Medicine	\$ 1,198,726

			dysregulated EZH2 pathway			
RP170267	IIRA	2.9	Chemically based disruption of oncogenic beta-catenin activity in liver tissue	Lum, Lawrence	The University of Texas Southwestern Medical Center	\$ 900,000
RP170488	IIRACCA	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$ 1,110,480
RP170407	IIRA	2.9	Role of HDAC8 and higher order chromatin structure in melanoma metastasis and therapy	Rai, Kunal	The University of Texas M. D. Anderson Cancer Center	\$ 899,622
RP170500	ETRA	2.9	Development of next generation steroid receptor coactivator small molecule inhibitors as novel agents to target therapy-resistant breast cancer	O'Malley, Bert	Baylor College of Medicine	\$ 998,914
RP170179	ETRA	2.9	Chemoablation of High-Risk Oral Premalignant Lesions for Sustained Cancer Prevention	Tsai, Robert	Texas A&M University System Health Science Center	\$ 1,000,000
RP170387	IIRACB	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$ 889,679
RP170090	IIRA	3.0	Novel Regulation and Function of TAK1 in Mutant Kras-driven Development of Pancreatic Ductal Adenocarcinoma	Chiao, Paul	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170333	ETRA	3.0	Targeting ubiquitination for cancer therapy	Zhang, Shuxing	The University of Texas M. D. Anderson Cancer Center	\$ 1,000,000
RP170180	IIRA	3.1	Mechanistic Roles of Long Non-Coding RNA in Glioblastoma Development and Treatment	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170170	IIRACB	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$ 844,989
RP170172	IIRA	3.1	Targeting Therapy Resistance using Epithelial to Mesenchymal Transition (EMT)	Rosen, Jeffrey	Baylor College of Medicine	\$ 900,000

			Pathways in Preclinical Claudin Low Breast Cancer Models			
RP170345	RTA	3.2	UTHSCSA Cancer Research Training Program	Oyajobi, Babatunde	The University of Texas Health Science Center at San Antonio	\$ 3,996,895

*RP170259 – Research Training Award: SRC recommended the following budget reductions: Reduce number of trainees from 9 to 6 Post-Doctoral trainees per year; reduce funding for training program manager to 50% FTE (from proposed 100% FTE), and reduce budget to reflect reduction of 3 trainees/year (cost per trainee *3). The award amount in this table reflects these changes.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycle 1
*Individual Investigator Research Awards for
Cancer in Children and Adolescents*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-17.1-IIRACCA

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

**Please also refer to the Instructions for Applicants document,
which will be posted on March 21, 2016**

Application Receipt Opening Date: March 21, 2016

Application Receipt Closing Date: May 19, 2016

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 02/19/16 RFA release

Rev 02/22/16 Section 7 – Renewal Policy: Hyper-link was updated

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

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

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Building infrastructure.

2. RATIONALE

In recent decades, great strides have been made in reducing mortality from childhood cancers. Most of these gains have been realized in childhood leukemia and lymphoma. However, improvements in survival have been less robust in other types of childhood cancers, which make up more than 40% of total cancer cases in children and adolescents aged 0 to 19 years.

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

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

3. RESEARCH OBJECTIVES

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

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

- Causes of cancer in children and adolescents, including genetic factors or prenatal exposure to environmental agents;
- Identification of risk factors for cancer development;

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

The *degree of relevance* to reducing the burden of cancer in these populations will be an important criterion for evaluation of projects for funding by CPRIT.

4. FUNDING INFORMATION

Applicants may request a maximum of \$300,000 per year for a period of up to 4 years. Applicants that plan on conducting a clinical trial as part of the project may request up to \$500,000 in total costs per year for up to 4 years. Exceptions to these limits may be requested if extremely well justified. Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Program.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may submit only 1 new application under this RFA during this funding cycle. A PI may not submit applications to this RFA and to RFA-R-17.1-IIRA, RFA-R-17.1-IIRACB, or RFA R-17.1-IIRAP. Only 1 IIRACB, IIRACCA, IIRA, or IIRAP application per cycle is allowed. An investigator who is the PI on 3 or more CPRIT grants of any type that will be active December 1, 2016, is not eligible to submit an application in response to this RFA.

- Applications that address untargeted research, Prevention and Early Detection, or Computational Biology should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included.
- Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds, or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PI for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. This policy is in effect for all applications submitted to date. See [section 8.2.5](#).

7. RENEWAL POLICY

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

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Authorized Signing Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on March 21, 2016, and must be submitted by 3 PM central time on May 19, 2016. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

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

Note: It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly). **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)).**

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 9.2](#)) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

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

8.2.4. Timeline (1 page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.5. Resubmission Summary (1 Page)

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

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may prepare a fresh Research Plan or modify the original Research Plan and mark the changes. However, all resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

8.2.6. Renewal Summary (2 pages)

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

8.2.7. Research Plan (10 pages)

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

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

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

8.2.8. Vertebrate Animals and/or Human Subjects (1 page)

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

8.2.9. Publications/References

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

8.2.10. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Do not exceed \$300,000 per year for a period of up to 4 years. Applicants that plan on conducting a clinical trial as part of the project may request up to \$500,000 in total costs per year for up to 4 years. Applicants are advised not to interpret the maximum allowable time and funding under this award as a suggestion that they should expand their anticipated work and budget to this level. Reasonable budgets clearly work in favor of the applicant.

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

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

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cpritis.state.tx.us. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2017 is \$200,000; CPRIT FY 2017 is from September 1, 2016, through August 31, 2017. 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.

8.2.11. Biographical Sketches (5 pages each)

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

A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH Biosketch format is appropriate.

8.2.12. Current and Pending Support

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

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

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

8.2.14. Previous Summary Statement

If the application is being resubmitted, the summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission. The applicant is not responsible for providing this document.

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

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

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

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC.

The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

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

9.3. Confidentiality of Review

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

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: An Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services.

The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.4. Review Criteria

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

9.4.1. Primary Criteria

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

Significance and Impact: Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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

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

Relevance: Does the proposed research address cancer in children or adolescents? Is it likely to make an impact on these diseases? This will be an important criterion for evaluation of projects for CPRIT support.

9.4.2. Secondary Criteria

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

Secondary criteria include the following:

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

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

Budget: Is the budget appropriate for the proposed work?

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

10. KEY DATES

RFA

RFA release February 19, 2016

Application

Online application opens March 21, 2016, 7 AM central time

Application due May 19, 2016, 3 PM central time

Application review June – September 2016

Award

Award notification November 2016

Anticipated start date December 1, 2016

11. AWARD ADMINISTRATION

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

Such use shall be in accordance with CPRIT's electronic signature policy as set forth in chapter 701, section 701.25.

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

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

13. CONTACT INFORMATION

13.1. HelpDesk

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

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Senior Manager for Research.

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports



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CPRIT Research Peer Review Observation Report

Report #2016-09-21-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-1

Panel Date: September 21, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY17 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on September 21, 2016.

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

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on September 21, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Eighteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
 - One of the two advocate reviewers participated via teleconference.
- Four conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.



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CPRIT Research Peer Review Observation Report

Report #2016-09-22-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-2

Panel Date: September 22, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY17 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on September 22, 2016.

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

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on September 22, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-23-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Biology

Panel Date: September 23, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Biology peer review of applications for FY17 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on September 23, 2016.

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

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on September 23, 2016.

The independent observer noted the following during our observation:

- Eighteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
 - Two of the sixteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-28-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Prevention Research

Panel Date: September 28, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Prevention Research peer review of applications for FY17 funding. The meeting was chaired by Tom Sellers and held at the Marriott Suites Medical/Market Center in Dallas, TX, on September 28, 2016.

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

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on September 28, 2016.

The independent observer noted the following during our observation:

- Thirteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
 - The third-party grant application administrator was not present for the entire review of the first application.
- Eighteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
- Twelve conflicts of interest were identified prior to or during the meeting. Applications for seven conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-27-RES

Program Name: Academic Research

Panel Name: FY17.1 Clinical & Translational Cancer
Research and Translational Cancer Research

Panel Date: September 27, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY17 funding. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and held in person on September 27, 2016.

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

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and co-chaired by Richard O'Reilly and Margaret Tempero on September 27, 2016.

The independent observer noted the following during our observation:

- Twenty-four applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Thirty-one peer review panelists, three advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - Five of the thirty-one peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for ten conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-26-RES

Program Name: Academic Research

Panel Name: FY17.1 Imaging Technology and
Informatics

Panel Date: September 26, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY17 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas TX on September 26, 2016.

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

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on September 26, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-two peer review panelists, two advocate reviewers, two CPRIT staff members, one other attendee and six SRA employees were present for the meeting.
 - One of the twenty-two peer review panelists participated via teleconference.
- Seven conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Scientific Review Council Meeting Observation Report

Report #2016-10-13-RES

Program Name: Academic Research

Panel Name: FY17.1 Scientific Review Council
Meeting

Panel Date: October 13, 2016

Report Date: October 24, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council Meeting peer review of applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on October 13, 2016.

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

The independent observer participated in the Scientific Review Council Meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on October 13, 2016.

The independent observer noted the following during our observation:

- Over the course of the call, a review of the scoring for the 55 recommended applications was completed to ensure that they would in fact be recommended for funding. A score cut-off was reinforced by the panel as to which applications will move forward.
- Seven peer review panelists, two CPRIT staff members and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

Noted Conflicts of Interest

Conflicts of Interest Disclosure
Academic Research Cycle 17.1 Applications
(Academic Research Cycle 17.1 Awards Announced at November 16, 2016, Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 17.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Computational Biology*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Prevention and Early Detection*, *Early Translational Research Awards*, and *Research Training Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RP170180/ RP170180pe	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	Swanson, Kristin
RP170066	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170079/ RP170079pe	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin
RP170114/ RP170144pe	Morrison, Sean	The University of Texas Southwestern Medical Center	Fearon, Eric
RP170317/ RP170317pe	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	Van Allen, Eliezer
RP170470	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP170510	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan; Kast, W. Martin
RP170510pe	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan

Application ID	Applicant/PI	Institution	Conflict Noted
RP170496pe	Gregory, Carl	Texas A&M University System Health Science Center	Lawlor, Elizabeth
RP170537	Wang, Rongfu	The Methodist Hospital Research Institute	Sette, Alessandro; Kast, W. Martin
RP170071/ RP170071pe	Lupo, Philip	Baylor College of Medicine	Olshan, Andrew
RP170259	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra
RP170493	Fernandez, Maria	The University of Texas Health Science Center at Houston	Kushi, Lawrence; Brandon, Thomas
Applications not considered by the PIC or Oversight Committee			
RP170139*/ RP170139pe	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	Fiering, Steven
RP170233	Hancock, John	The University of Texas Health Science Center at Houston	Haigis, Kevin; McMahon, Martin
RP170263	Zhang, Ruiwen	Texas Tech University Health Sciences Center	Chen, Xinbin
RP170106/ RP170106pe	Nurieva, Roza	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170348/ RP170348pe	Diab, Adi	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170389*/ RP170389pe	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170416*/ RP170416pe	Sevick, Eva	The University of Texas Health Science Center at Houston	Ribas, Antoni, Dubinett, Steven
RP170032*	Zhou, Jia	The University of Texas Medical Branch at Galveston	Neamati, Nouri
RP170214*	Shen, Qiang	The University of Texas M. D. Anderson Cancer Center	Neamati, Nouri
RP170011	Berenson, Abbey	The University of Texas Medical Branch at Galveston	Petersen, Gloria

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170064*/ RP170064pe	Chow, Wong-Ho	The University of Texas M. D. Anderson Cancer Center	Schnoll, Robert; Brandon, Thomas
RP170082/ RP170082pe	Schembre, Susan	The University of Texas M. D. Anderson Cancer Center	Martinez, Maria
RP170276/ RP170276pe	Roncancio, Angelica	The University of Texas Health Science Center at Houston	Kushi, Lawrence
RP170354*	Xu, Hua	The University of Texas Health Science Center at Houston	Petersen, Gloria; Barlow, William
RP170354pe	Xu, Hua	The University of Texas Health Science Center at Houston	Barlow, William
RP170448*/ RP170448pe	Tang, Yi-Yuan	Texas Tech University	Brandon, Thomas
RP170100/ RP170100pe	Hoyt, Kenneth	The University of Texas at Dallas	Zinn, Kurt
RP170253*/ RP170253pe	Kundra, Vikas	The University of Texas M. D. Anderson Cancer Center	Johnson, G. Allan
RP170527	Ghaghada, Ketan	Baylor College of Medicine	Johnson, G. Allan; Basilion, James
RP170527pe	Ghaghada, Ketan	Baylor College of Medicine	Basilion, James
RP170548*	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Wu, Anna; Basilion, James; Pomper, Martin
RP170405pe	Srivastava, Sanjay	Texas Tech University Health Sciences Center	Swanson; Kristin
RP170462pe	Zhang, Dekai	Texas A&M University System Health Science Center	Williams, Bart
RP170039pe	Vyas, Dinesh	Texas Tech University Health Sciences Center	Pure, Ellen
RP170412pe	Fuqua, Suzanne	Baylor College of Medicine	Pure, Ellen
RP170472pe	Dang, Weiwei	Baylor College of Medicine	Berger, Shelley
RP170479pe	Slinker, Jason	The University of Texas at Dallas	Tomkinson, Alan

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170068pe	Zhao, Hua	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170186pe	Laetsch, Theodore	The University of Texas Southwestern Medical Center	Dubinett, Steven
RP170190pe	Marchetti, Dario	The Methodist Hospital Research Institute	Prados, Michael; Shah, Neil
RP170213pe	Bartholomeusz, Geoffrey	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170278pe	Krasnykh, Victor	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170325pe	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP170385pe	Priebe, Waldemar	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170579pe	Ferrari, Mauro	The Methodist Hospital Research Institute	Koong, Albert
RP170041pe	Wan, Yihong	The University of Texas Southwestern Medical Center	Greene, Geoffrey
RP170098pe	Gustafsson, Jan-Åke	University of Houston	Lawlor, Elizabeth; Fearon, Eric; Knudsen, Karen
RP170587pe	Dashwood, Roderick	Texas A&M University System Health Science Center	Fearon, Eric
RP170101pe	Wang, Wenyi	The University of Texas M. D. Anderson Cancer Center	Mucci, Lorelei
RP170051pe	Qin, Zhenpeng	The University of Texas at Dallas	Zinn, Kurt
RP170324pe	Hao, Guiyang	The University of Texas Southwestern Medical Center	Wu, Anna
RP170409pe	Cai, Hancheng	The University of Texas Southwestern Medical Center	Jadvar, Hossein

De-Identified Overall Evaluation Scores

Individual Investigator Research Awards for Cancers in Children and Adolescents

Academic Research Cycle 17.1

Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP170074*	2.0
RP170207*	2.0
RP170470*	2.1
RP170510*	2.4
RP170152*	2.8
RP170169*	2.8
RP170488*	2.9
oa	3.1
ob	3.5
oc	3.6
od	3.7
oe	3.9
of	4.0
og	4.2
oh	4.3
oi	4.3
oj	4.9

* = Recommended for Funding

Individual Investigator Research Awards for Cancer in Children and Adolescents

Academic Research Cycle 17.1

Final Scores for Preliminary Evaluation

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

To see the final overall evaluation scores of applications that received full review, see page 44.

Application ID	Final Overall Evaluation Score
bba	3.3
bbb	3.3
bbc	3.3
bbd	3.3
bbe	3.3
bbf	3.7
bbg	3.7
bbh	3.7
bbi	3.7
bbj	3.7
bbk	3.7
bbl	3.7
bbm	3.7
bbn	4.0
bbo	4.0
bbp	4.3
bbq	4.3
bbr	4.3
bbs	4.3
bbt	4.3
bbu	4.7
bbv	4.7
bbw	4.7
bbx	5.0
bby	6.7

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

October 20, 2016

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

Director, San Diego Branch

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San Diego Branch

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Mr. Pete Geren
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Cancer Prevention and Research Institute of Texas
Via email to pgcpnit@sidrichardson.org

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP), Research Training Awards (RTA), and the Early Translational Research Awards (ETRA) grant mechanisms. The SRC met on Thursday, October 13, 2016 to consider the applications recommended by the peer review panels following their meetings that were held September 21, 2016 – September 28, 2016.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$63,256,343.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



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

Attachment

55	Recommended					
Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170067	RTA	1.2	The Future of Cancer Research: Training Program for Basic and Translational Scientists	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 4,000,000
RP170427	ETRA	1.5	Ambient Mass Spectrometry for Preoperative Molecular Diagnosis of Thyroid Fine Needle Aspirate Biopsies	Schiavinato Eberlin, Livia	The University of Texas at Austin	\$ 983,586
RP170466	IIRA	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$ 896,951
RP170233	IIRA	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$ 900,000
RP170496	IIRA	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$ 864,971
RP170314	IIRA	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of Texas M. D. Anderson Cancer Center	\$ 899,553
RP170593	RTA	2.0	Computational Cancer Biology Training Program	Pettitt, B. Montgomery	The University of Texas Medical Branch at Galveston	\$ 3,999,285
RP170074	IIRACCA	2.0	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$ 1,200,000
RP170401	IIRA	2.0	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170207	IIRACCA	2.0	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for	Srivenugopal, Kalkunte	Texas Tech University Health Sciences	\$ 1,173,149

			chemotherapy of childhood brain cancers		Center	
RP170231	IIRA	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$ 869,197
RP170399	IIRA	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$ 899,993
RP170040	IIRA	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$ 899,889
RP170295	IIRAP	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$ 1,052,089
RP170095	IIRAP	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$ 891,623
RP170470	IIRACCA	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$ 1,125,638
RP170146	IIRA	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170493	IIRAP	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$ 1,487,683
RP170245	ETRA	2.2	Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors	Liu, Qingyun	The University of Texas Health Science Center at Houston	\$ 1,000,000
RP170330	IIRA	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$ 900,000
RP170250	IIRA	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170126	IIRA	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170114	IIRA	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$ 892,521
RP170537	ETRA	2.4	Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer	Wang, Rongfu	The Methodist Hospital Research Institute	\$ 999,995
RP170508	IIRAP	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$ 900,000
RP170510	IIRACCA	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$ 1,058,246
RP170336	IIRA	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$ 875,757
RP170066	ETRA	2.5	Oncolytic Immunotherapy for Gliomas and Cancer Metastases in the Era of Checkpoint Regulation	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	\$ 990,905
RP170382	IIRA	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$ 900,000
RP170259	RTA	2.6	CPRIT Cancer Prevention Research Training Program	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	\$ 2,071,403
RP170564	IIRA	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$ 900,000
RP170079	IIRA	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170301	RTA	2.7	Osteopathic Scholars in Cancer Research (OSCR)	Vishwanatha, Jamboor	University of North Texas Health Science Center at Fort Worth	\$ 799,055
RP170071	IIRAP	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$ 1,488,105
RP170366	IIRA	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$ 899,996
RP170317	IIRA	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$ 899,507
RP170307	IIRA	2.7	BIOMARKER-BASED TREATMENT OF POOR PROGNOSTIC MESENCHYMAL SUBTYPE IN GASTRIC CANCER	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$ 893,875
RP170373	IIRA	2.8	HTS for covalent GTP-competitive inhibitors of KRAS G12C	Westover, Kenneth	The University of Texas Southwestern Medical Center	\$ 900,000
RP170152	IIRACCA	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$ 1,169,499
RP170086	IIRA	2.8	Tumor suppression, p53 and retrotransposons	Abrams, John	The University of Texas Southwestern Medical Center	\$ 891,990
RP170572	IIRA	2.8	PROBING NOVEL CONCEPTS OF THE NF-kappaB TRANSCRIPTIONAL PROGRAM IN HUMAN CANCER	D'Orso, Ivan	The University of Texas Southwestern Medical Center	\$ 742,577
RP170144	IIRACB	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$ 900,000
RP170169	IIRACCA	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a	Li, Xiao-Nan	Baylor College of Medicine	\$ 1,198,726

			dysregulated EZH2 pathway			
RP170267	IIRA	2.9	Chemically based disruption of oncogenic beta-catenin activity in liver tissue	Lum, Lawrence	The University of Texas Southwestern Medical Center	\$ 900,000
RP170488	IIRACCA	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$ 1,110,480
RP170407	IIRA	2.9	Role of HDAC8 and higher order chromatin structure in melanoma metastasis and therapy	Rai, Kunal	The University of Texas M. D. Anderson Cancer Center	\$ 899,622
RP170500	ETRA	2.9	Development of next generation steroid receptor coactivator small molecule inhibitors as novel agents to target therapy-resistant breast cancer	O'Malley, Bert	Baylor College of Medicine	\$ 998,914
RP170179	ETRA	2.9	Chemoablation of High-Risk Oral Premalignant Lesions for Sustained Cancer Prevention	Tsai, Robert	Texas A&M University System Health Science Center	\$ 1,000,000
RP170387	IIRACB	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$ 889,679
RP170090	IIRA	3.0	Novel Regulation and Function of TAK1 in Mutant Kras-driven Development of Pancreatic Ductal Adenocarcinoma	Chiao, Paul	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170333	ETRA	3.0	Targeting ubiquitination for cancer therapy	Zhang, Shuxing	The University of Texas M. D. Anderson Cancer Center	\$ 1,000,000
RP170180	IIRA	3.1	Mechanistic Roles of Long Non-Coding RNA in Glioblastoma Development and Treatment	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170170	IIRACB	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$ 844,989
RP170172	IIRA	3.1	Targeting Therapy Resistance using Epithelial to Mesenchymal Transition (EMT)	Rosen, Jeffrey	Baylor College of Medicine	\$ 900,000

			Pathways in Preclinical Claudin Low Breast Cancer Models			
RP170345	RTA	3.2	UTHSCSA Cancer Research Training Program	Oyajobi, Babatunde	The University of Texas Health Science Center at San Antonio	\$ 3,996,895

*RP170259 – Research Training Award: SRC recommended the following budget reductions: Reduce number of trainees from 9 to 6 Post-Doctoral trainees per year; reduce funding for training program manager to 50% FTE (from proposed 100% FTE), and reduce budget to reflect reduction of 3 trainees/year (cost per trainee *3). The award amount in this table reflects these changes.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycle 1
*Individual Investigator Research Awards for
Prevention and Early Detection*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-17.1-IIRAP

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

**Please also refer to the Instructions for Applicants document,
which will be posted on March 21, 2016**

Application Receipt Opening Date: March 21, 2016

Application Receipt Closing Date: May 19, 2016

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 02/19/16 RFA release

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

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

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Building infrastructure.

2. RATIONALE

A major opportunity for investment in cancer research is in the area of cancer prevention.

Nowhere is there greater potential to reduce the burden of cancer than by reducing its incidence.

This has the added advantage of sparing people and families from the psychological and emotional trauma of a cancer diagnosis, the often devastating physical consequences of cancer

therapies, and the financial burdens associated with cancer treatment. Identification of causes of cancer, including environmental chemicals, microbial agents, and genetic susceptibilities, is essential for reducing cancer incidence. In addition, intervening in the process at early stages of cancer development, before genetic instability becomes widespread, holds promise of successfully eliminating cells destined to become cancer cells. Basic research on the identification and control of premalignant cells, the role of the tumor cell microenvironment in tumor development, environmental drivers, and predictive markers of cancer progression from normal to neoplastic may provide new avenues for intervening early in the process of cancer development. Early detection of cancer using biomarkers and early screening methods also can reduce morbidity and mortality from cancer. Although CPRIT is required to spend 10% of its budget on cancer prevention, CPRIT's Cancer Prevention Program focuses exclusively on the delivery of evidence-based interventions to underserved populations and does not fund prevention research.

Thus, there is a unique opportunity for CPRIT's Research Program to fund research on adoption of cancer-preventing behaviors, effectiveness of various interventions, and how best to deliver prevention services that could eventually result in implementation through the Prevention Program.

3. RESEARCH OBJECTIVES

This RFA solicits applications for innovative research projects addressing questions that will advance current knowledge of the causes, prevention, early-stage progression from normal to neoplastic cells, and/or early detection of cancer. Applications may address any topic or issue related to cancer causation, prevention, early progression, or early detection. Research may be laboratory-, clinical-, or population-based and may include behavioral/intervention, dissemination, or health services/outcomes research to reduce cancer incidence or promote early detection. CPRIT expects the outcomes of activities supported by this mechanism to reduce the burden of cancer in the near or long term. CPRIT encourages applications that seek to apply or develop state-of-the-art technologies, tools, and/or resources for prevention or early detection of cancer, including those with potential commercialization opportunities. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies. Partnering with cancer biologists or oncologists is highly recommended for Principal Investigators (PIs) who do not have this expertise.

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

- Environmental carcinogenesis, including high-throughput methods for carcinogen detection and identification of carcinogens and their mechanisms of action
- Role of microbial agents in cancer causation
- Cancer epidemiology
- Identification of populations at high risk of developing cancer
- Cellular and molecular alterations leading to development of precancerous lesions
- Approaches to prevent progression of normal to preneoplastic cells to cancer cells
- Methods for early detection of cancer
- Development and testing of intervention strategies to increase access to and improve recently endorsed screening technologies for cancer
- Cancer-focused health services/outcomes or patient-centered outcomes research
- Development and adaptation of novel interventions for effective and efficient delivery of cancer prevention and screening services

The *degree of relevance* to reducing the burden of cancer will be an important criterion for evaluation of projects for funding by CPRIT.

4. FUNDING INFORMATION

Applicants may request a maximum of \$300,000 in total costs per year for up to 3 years for laboratory and clinical research and up to \$500,000 in total costs per year for up to 3 years for population-based research. Exceptions to these limits may be requested if extremely well justified (see [section 8.2.10](#)). Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Program.

- The PI must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may submit only 1 new application under this RFA during this funding cycle. A PI may not submit applications to this RFA and to RFA R-17.1-IIRA, RFA R-17.1-IIRACCA, or RFA R-17.1-IIRACB. Only 1 IIRAP, IIRA, IIRACB, or IIRACCA application per cycle is allowed. An investigator who is the PI on 3 or more CPRIT grants of any type that will be active December 1, 2016, is not eligible to submit an application in response to this RFA.
- Applications that address untargeted research, Cancers in Children and Adolescents, or Computational Biology should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included. Collaborators should have specific and well-defined roles.
- Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

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

6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PI for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. This policy is in effect for all applications submitted to date. See [section 8.2.5](#).

7. RENEWAL POLICY

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

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Authorized Signing Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the

grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on March 21, 2016, and must be submitted by 3 PM central time on May 19, 2016. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

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

Note: It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; that the type of cancer of interest to the PI is important, vexing, or deadly). **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do**

not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)).

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 9.2](#)) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

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

8.2.4. Timeline (1 page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.5. Resubmission Summary (1 page)

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

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

prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

8.2.6. Renewal Summary (2 pages)

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

8.2.7. Research Plan (10 pages)

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

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

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

8.2.8. Vertebrate Animals and/or Human Subjects (1 page)

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

8.2.9. Publications/References

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

8.2.10. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Do not exceed \$300,000 per year for laboratory and clinical studies, and \$500,000 for population-based studies. Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. Reasonable budgets clearly work in favor of the applicant.

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

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

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cpritis.state.tx.us. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2017 is \$200,000; CPRIT FY 2017 is from September 1, 2016, through August 31, 2017. 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.

8.2.11. Biographical Sketches (5 pages each)

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

A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH Biosketch format is appropriate.

8.2.12. Current and Pending Support

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

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

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

8.2.14. Previous Summary Statement

If the application is being resubmitted, the summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission. The applicant is not responsible for providing this document.

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

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

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

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

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

9.3. Confidentiality of Review

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

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.**

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

9.4. Review Criteria

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

9.4.1. Primary Criteria

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

Significance and Impact: Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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

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

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

9.4.2. Secondary Criteria

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

Secondary criteria include the following:

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

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

Budget: Is the budget appropriate for the proposed work?

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

10. KEY DATES

RFA

RFA release February 19, 2016

Application

Online application opens March 21, 2016, 7 AM central time

Application due May 19, 2016, 3 PM central time

Application review June – September 2016

Award

Award notification November 2016

Anticipated start date December 1, 2016

11. AWARD ADMINISTRATION

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

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

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

13. CONTACT INFORMATION

13.1. HelpDesk

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

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Senior Manager for Research.

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports



Grant Thornton

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CPRIT Research Peer Review Observation Report

Report #2016-09-21-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-1

Panel Date: September 21, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY17 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on September 21, 2016.

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

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on September 21, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Eighteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
 - One of the two advocate reviewers participated via teleconference.
- Four conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-22-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-2

Panel Date: September 22, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY17 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on September 22, 2016.

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

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on September 22, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-23-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Biology

Panel Date: September 23, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Biology peer review of applications for FY17 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on September 23, 2016.

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

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on September 23, 2016.

The independent observer noted the following during our observation:

- Eighteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
 - Two of the sixteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-28-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Prevention Research

Panel Date: September 28, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Prevention Research peer review of applications for FY17 funding. The meeting was chaired by Tom Sellers and held at the Marriott Suites Medical/Market Center in Dallas, TX, on September 28, 2016.

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

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on September 28, 2016.

The independent observer noted the following during our observation:

- Thirteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
 - The third-party grant application administrator was not present for the entire review of the first application.
- Eighteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
- Twelve conflicts of interest were identified prior to or during the meeting. Applications for seven conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-27-RES

Program Name: Academic Research

Panel Name: FY17.1 Clinical & Translational Cancer
Research and Translational Cancer Research

Panel Date: September 27, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY17 funding. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and held in person on September 27, 2016.

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

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and co-chaired by Richard O'Reilly and Margaret Tempero on September 27, 2016.

The independent observer noted the following during our observation:

- Twenty-four applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Thirty-one peer review panelists, three advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - Five of the thirty-one peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for ten conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Research Peer Review Observation Report

Report #2016-09-26-RES

Program Name: Academic Research

Panel Name: FY17.1 Imaging Technology and
Informatics

Panel Date: September 26, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY17 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas TX on September 26, 2016.

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

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on September 26, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-two peer review panelists, two advocate reviewers, two CPRIT staff members, one other attendee and six SRA employees were present for the meeting.
 - One of the twenty-two peer review panelists participated via teleconference.
- Seven conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

CPRIT Scientific Review Council Meeting Observation Report

Report #2016-10-13-RES

Program Name: Academic Research

Panel Name: FY17.1 Scientific Review Council
Meeting

Panel Date: October 13, 2016

Report Date: October 24, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council Meeting peer review of applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on October 13, 2016.

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

The independent observer participated in the Scientific Review Council Meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on October 13, 2016.

The independent observer noted the following during our observation:

- Over the course of the call, a review of the scoring for the 55 recommended applications was completed to ensure that they would in fact be recommended for funding. A score cut-off was reinforced by the panel as to which applications will move forward.
- Seven peer review panelists, two CPRIT staff members and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

Noted Conflicts of Interest

Conflicts of Interest Disclosure
Academic Research Cycle 17.1 Applications
(Academic Research Cycle 17.1 Awards Announced at November 16, 2016, Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 17.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Computational Biology*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Prevention and Early Detection*, *Early Translational Research Awards*, and *Research Training Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RP170180/ RP170180pe	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	Swanson, Kristin
RP170066	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170079/ RP170079pe	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin
RP170114/ RP170144pe	Morrison, Sean	The University of Texas Southwestern Medical Center	Fearon, Eric
RP170317/ RP170317pe	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	Van Allen, Eliezer
RP170470	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP170510	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan; Kast, W. Martin
RP170510pe	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan

Application ID	Applicant/PI	Institution	Conflict Noted
RP170496pe	Gregory, Carl	Texas A&M University System Health Science Center	Lawlor, Elizabeth
RP170537	Wang, Rongfu	The Methodist Hospital Research Institute	Sette, Alessandro; Kast, W. Martin
RP170071/ RP170071pe	Lupo, Philip	Baylor College of Medicine	Olshan, Andrew
RP170259	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra
RP170493	Fernandez, Maria	The University of Texas Health Science Center at Houston	Kushi, Lawrence; Brandon, Thomas
Applications not considered by the PIC or Oversight Committee			
RP170139*/ RP170139pe	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	Fiering, Steven
RP170233	Hancock, John	The University of Texas Health Science Center at Houston	Haigis, Kevin; McMahon, Martin
RP170263	Zhang, Ruiwen	Texas Tech University Health Sciences Center	Chen, Xinbin
RP170106/ RP170106pe	Nurieva, Roza	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170348/ RP170348pe	Diab, Adi	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170389*/ RP170389pe	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170416*/ RP170416pe	Sevick, Eva	The University of Texas Health Science Center at Houston	Ribas, Antoni, Dubinett, Steven
RP170032*	Zhou, Jia	The University of Texas Medical Branch at Galveston	Neamati, Nouri
RP170214*	Shen, Qiang	The University of Texas M. D. Anderson Cancer Center	Neamati, Nouri
RP170011	Berenson, Abbey	The University of Texas Medical Branch at Galveston	Petersen, Gloria

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170064*/ RP170064pe	Chow, Wong-Ho	The University of Texas M. D. Anderson Cancer Center	Schnoll, Robert; Brandon, Thomas
RP170082/ RP170082pe	Schembre, Susan	The University of Texas M. D. Anderson Cancer Center	Martinez, Maria
RP170276/ RP170276pe	Roncancio, Angelica	The University of Texas Health Science Center at Houston	Kushi, Lawrence
RP170354*	Xu, Hua	The University of Texas Health Science Center at Houston	Petersen, Gloria; Barlow, William
RP170354pe	Xu, Hua	The University of Texas Health Science Center at Houston	Barlow, William
RP170448*/ RP170448pe	Tang, Yi-Yuan	Texas Tech University	Brandon, Thomas
RP170100/ RP170100pe	Hoyt, Kenneth	The University of Texas at Dallas	Zinn, Kurt
RP170253*/ RP170253pe	Kundra, Vikas	The University of Texas M. D. Anderson Cancer Center	Johnson, G. Allan
RP170527	Ghaghada, Ketan	Baylor College of Medicine	Johnson, G. Allan; Basilion, James
RP170527pe	Ghaghada, Ketan	Baylor College of Medicine	Basilion, James
RP170548*	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Wu, Anna; Basilion, James; Pomper, Martin
RP170405pe	Srivastava, Sanjay	Texas Tech University Health Sciences Center	Swanson; Kristin
RP170462pe	Zhang, Dekai	Texas A&M University System Health Science Center	Williams, Bart
RP170039pe	Vyas, Dinesh	Texas Tech University Health Sciences Center	Pure, Ellen
RP170412pe	Fuqua, Suzanne	Baylor College of Medicine	Pure, Ellen
RP170472pe	Dang, Weiwei	Baylor College of Medicine	Berger, Shelley
RP170479pe	Slinker, Jason	The University of Texas at Dallas	Tomkinson, Alan

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170068pe	Zhao, Hua	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170186pe	Laetsch, Theodore	The University of Texas Southwestern Medical Center	Dubinett, Steven
RP170190pe	Marchetti, Dario	The Methodist Hospital Research Institute	Prados, Michael; Shah, Neil
RP170213pe	Bartholomeusz, Geoffrey	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170278pe	Krasnykh, Victor	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170325pe	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP170385pe	Priebe, Waldemar	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170579pe	Ferrari, Mauro	The Methodist Hospital Research Institute	Koong, Albert
RP170041pe	Wan, Yihong	The University of Texas Southwestern Medical Center	Greene, Geoffrey
RP170098pe	Gustafsson, Jan-Åke	University of Houston	Lawlor, Elizabeth; Fearon, Eric; Knudsen, Karen
RP170587pe	Dashwood, Roderick	Texas A&M University System Health Science Center	Fearon, Eric
RP170101pe	Wang, Wenyi	The University of Texas M. D. Anderson Cancer Center	Mucci, Lorelei
RP170051pe	Qin, Zhenpeng	The University of Texas at Dallas	Zinn, Kurt
RP170324pe	Hao, Guiyang	The University of Texas Southwestern Medical Center	Wu, Anna
RP170409pe	Cai, Hancheng	The University of Texas Southwestern Medical Center	Jadvar, Hossein

De-Identified Overall Evaluation Scores

Individual Investigator Research Awards for Prevention and Early Detection

Academic Research Cycle 17.1

Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP170095*	2.1
RP170295*	2.1
RP170493*	2.2
RP170508*	2.4
RP170071*	2.7
qa	3.0
qb	4.0
qc	4.2
qd	4.3
qe	4.4
qf	4.5
qg	4.7
qh	5.0
qi	5.0
qj	5.0
qk	6.0
ql	6.3

* = Recommended for Funding

Individual Investigator Research Awards for Prevention and Early Detection

Academic Research Cycle 17.1

Final Scores for Preliminary Evaluation

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

To see the final overall evaluation scores of applications that received full review, see page 44.

Application ID	Final Overall Evaluation Score
cca	3.3
ccb	3.3
ccc	3.7
ccd	3.7
cce	3.7
ccf	4.3
ccg	4.3
cch	4.7
cci	5.0
ccj	5.0
cck	5.0
ccl	5.0
ccm	5.3
ccn	5.3
cco	5.7
ccp	5.7

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

October 20, 2016

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

Director, San Diego Branch

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP), Research Training Awards (RTA), and the Early Translational Research Awards (ETRA) grant mechanisms. The SRC met on Thursday, October 13, 2016 to consider the applications recommended by the peer review panels following their meetings that were held September 21, 2016 – September 28, 2016.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$63,256,343.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



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

Attachment

55	Recommended					
Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170067	RTA	1.2	The Future of Cancer Research: Training Program for Basic and Translational Scientists	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 4,000,000
RP170427	ETRA	1.5	Ambient Mass Spectrometry for Preoperative Molecular Diagnosis of Thyroid Fine Needle Aspirate Biopsies	Schiavinato Eberlin, Livia	The University of Texas at Austin	\$ 983,586
RP170466	IIRA	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$ 896,951
RP170233	IIRA	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$ 900,000
RP170496	IIRA	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$ 864,971
RP170314	IIRA	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of Texas M. D. Anderson Cancer Center	\$ 899,553
RP170593	RTA	2.0	Computational Cancer Biology Training Program	Pettitt, B. Montgomery	The University of Texas Medical Branch at Galveston	\$ 3,999,285
RP170074	IIRACCA	2.0	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$ 1,200,000
RP170401	IIRA	2.0	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170207	IIRACCA	2.0	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for	Srivenugopal, Kalkunte	Texas Tech University Health Sciences	\$ 1,173,149

			chemotherapy of childhood brain cancers		Center	
RP170231	IIRA	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$ 869,197
RP170399	IIRA	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$ 899,993
RP170040	IIRA	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$ 899,889
RP170295	IIRAP	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$ 1,052,089
RP170095	IIRAP	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$ 891,623
RP170470	IIRACCA	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$ 1,125,638
RP170146	IIRA	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170493	IIRAP	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$ 1,487,683
RP170245	ETRA	2.2	Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors	Liu, Qingyun	The University of Texas Health Science Center at Houston	\$ 1,000,000
RP170330	IIRA	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$ 900,000
RP170250	IIRA	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170126	IIRA	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170114	IIRA	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$ 892,521
RP170537	ETRA	2.4	Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer	Wang, Rongfu	The Methodist Hospital Research Institute	\$ 999,995
RP170508	IIRAP	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$ 900,000
RP170510	IIRACCA	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$ 1,058,246
RP170336	IIRA	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$ 875,757
RP170066	ETRA	2.5	Oncolytic Immunotherapy for Gliomas and Cancer Metastases in the Era of Checkpoint Regulation	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	\$ 990,905
RP170382	IIRA	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$ 900,000
RP170259	RTA	2.6	CPRIT Cancer Prevention Research Training Program	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	\$ 2,071,403
RP170564	IIRA	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$ 900,000
RP170079	IIRA	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170301	RTA	2.7	Osteopathic Scholars in Cancer Research (OSCR)	Vishwanatha, Jamboor	University of North Texas Health Science Center at Fort Worth	\$ 799,055
RP170071	IIRAP	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$ 1,488,105
RP170366	IIRA	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$ 899,996
RP170317	IIRA	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$ 899,507
RP170307	IIRA	2.7	BIOMARKER-BASED TREATMENT OF POOR PROGNOSTIC MESENCHYMAL SUBTYPE IN GASTRIC CANCER	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$ 893,875
RP170373	IIRA	2.8	HTS for covalent GTP-competitive inhibitors of KRAS G12C	Westover, Kenneth	The University of Texas Southwestern Medical Center	\$ 900,000
RP170152	IIRACCA	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$ 1,169,499
RP170086	IIRA	2.8	Tumor suppression, p53 and retrotransposons	Abrams, John	The University of Texas Southwestern Medical Center	\$ 891,990
RP170572	IIRA	2.8	PROBING NOVEL CONCEPTS OF THE NF-kappaB TRANSCRIPTIONAL PROGRAM IN HUMAN CANCER	D'Orso, Ivan	The University of Texas Southwestern Medical Center	\$ 742,577
RP170144	IIRACB	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$ 900,000
RP170169	IIRACCA	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a	Li, Xiao-Nan	Baylor College of Medicine	\$ 1,198,726

			dysregulated EZH2 pathway			
RP170267	IIRA	2.9	Chemically based disruption of oncogenic beta-catenin activity in liver tissue	Lum, Lawrence	The University of Texas Southwestern Medical Center	\$ 900,000
RP170488	IIRACCA	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$ 1,110,480
RP170407	IIRA	2.9	Role of HDAC8 and higher order chromatin structure in melanoma metastasis and therapy	Rai, Kunal	The University of Texas M. D. Anderson Cancer Center	\$ 899,622
RP170500	ETRA	2.9	Development of next generation steroid receptor coactivator small molecule inhibitors as novel agents to target therapy-resistant breast cancer	O'Malley, Bert	Baylor College of Medicine	\$ 998,914
RP170179	ETRA	2.9	Chemoablation of High-Risk Oral Premalignant Lesions for Sustained Cancer Prevention	Tsai, Robert	Texas A&M University System Health Science Center	\$ 1,000,000
RP170387	IIRACB	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$ 889,679
RP170090	IIRA	3.0	Novel Regulation and Function of TAK1 in Mutant Kras-driven Development of Pancreatic Ductal Adenocarcinoma	Chiao, Paul	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170333	ETRA	3.0	Targeting ubiquitination for cancer therapy	Zhang, Shuxing	The University of Texas M. D. Anderson Cancer Center	\$ 1,000,000
RP170180	IIRA	3.1	Mechanistic Roles of Long Non-Coding RNA in Glioblastoma Development and Treatment	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170170	IIRACB	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$ 844,989
RP170172	IIRA	3.1	Targeting Therapy Resistance using Epithelial to Mesenchymal Transition (EMT)	Rosen, Jeffrey	Baylor College of Medicine	\$ 900,000

			Pathways in Preclinical Claudin Low Breast Cancer Models			
RP170345	RTA	3.2	UTHSCSA Cancer Research Training Program	Oyajobi, Babatunde	The University of Texas Health Science Center at San Antonio	\$ 3,996,895

*RP170259 – Research Training Award: SRC recommended the following budget reductions: Reduce number of trainees from 9 to 6 Post-Doctoral trainees per year; reduce funding for training program manager to 50% FTE (from proposed 100% FTE), and reduce budget to reflect reduction of 3 trainees/year (cost per trainee *3). The award amount in this table reflects these changes.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycle 1
Research Training Awards

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-17.1-RTA

Research Training Awards

**Please also refer to the Instructions for Applicants document,
which will be posted on March 21, 2016**

Application Receipt Opening Date: March 21, 2016

Application Receipt Closing Date: May 19, 2016

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 02/19/16 RFA release

Rev 02/22/16 Section 8.2.9 – Budget and Justification: Hyper-links were updated

Rev 04/08/16 Section 5 – Eligibility

- Added language to indicate that “Institutions that received a training program award (new or renewal) in CPRIT’s financial year 2016 are not eligible for this RFA”

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

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

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Building infrastructure.

2. RATIONALE

The goal of this award is to facilitate the training of the next generation of outstanding cancer researchers to help ensure that a diverse pool of highly trained scientists is available in adequate numbers and in appropriate research areas to address the state's and the nation's basic, population-based, clinical, and translational cancer research needs. 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 and who intend to pursue careers focused on cancer research.

Committed institutional support is required, especially 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 that will contribute to 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 mentor committee that will be responsible for providing critical teaching, advising, and leadership experience.

In addition to support of PhD and postdoctoral research training, potential opportunities include the following:

- Master's degree-level programs to train clinical investigators. Trainees may be in predoctoral (MD/MS) 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, particularly those directed at underrepresented minorities.

3. RESEARCH OBJECTIVES

This RFA solicits applications for *integrated institutional research training programs* to support promising individuals who seek specialized training in the area of cancer research. The goals of the Research Training Awards are to attract outstanding predoctoral (PhD or MD/PhD), and postdoctoral trainees committed to pursuing a career in basic, population-based, translational, or clinical cancer research; to expand the skills and expertise of trainees to promote the next generation of investigators and leaders in cancer research; to position most trainees for independent research careers; and to support 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. 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.

It is expected that the research training experience will provide the following:

- 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.

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, and a plan for recruiting such individuals is a requirement for this award.

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, particularly 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. Each supported trainee and his or her mentor and institution are jointly responsible for planning, directing, and executing the proposed research training program.

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. FUNDING INFORMATION

Applicants may request a maximum of \$800,000 in total costs per year for up to 5 years.

Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

Support may be requested as follows for the various types of trainees in an institutional training program:

- **PhD trainees:** May request support for stipend (up to \$28,000 per year, which may be supplemented with other available funds) and 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 may also be requested (to a maximum of \$6,000 per year). Individual trainees may be supported for up to 4 years, but they cannot be supported by this mechanism until it is clear that their mentor and research program are highly relevant to cancer.
- **MD/PhD trainees:** May request support equal to that of PhD trainees (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. Individuals holding PhD, MD/PhD, or MD degrees are eligible for postdoctoral fellowship support provided that the training supported by CPRIT is for research (basic, population-based, translational, or clinical).

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

- **Undergraduate summer internship programs:** May request up to \$6,000 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 (\$28,000 per year) plus benefits. Appointments may be made for up to 2 years. Funds for tuition may also be requested (to a maximum of \$6,000 per year).
- **Master's degree-level programs to train clinical investigators:** May request \$28,000 per year plus benefits if trainees are predoctoral (eg, an MD/MS 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 may be requested (to a maximum of \$6,000 per year).

5. ELIGIBILITY

- 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).
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted.
- An institution may submit only 1 new or resubmission/renewal application under this RFA during this funding cycle. Institutions that received a training program award (new or renewal) in CPRIT's financial year 2016 are not eligible for this RFA. An exception will be made for institutions submitting applications for cancer prevention training; in this case, institutions may submit 1 prevention training program application and 1 additional application in another aspect of cancer research (new or renewal). For the purposes of this RFA, an institution is defined as that component of a university system that has its own president. There must be only 1 PI, but Co-PIs may direct individual components of the overall program described in the application. An institution may apply for as many components of the training program as are appropriate for the institution.

- 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 the training program that is the subject of the grant is conducted.
- Trainees may be citizens or noncitizen nationals of the United States or international citizens 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.
- Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.

- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

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

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may prepare a fresh Training Plan or modify the original Training Plan and mark the changes. However, all resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

7. RENEWAL POLICY

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

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Authorized Signing Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on March 21, 2016, and must be submitted by 3 PM central time on May 19, 2016. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

Clearly describe the proposed training program. Explain program goals and provide an outline of the proposed didactic and research training activities and an overview of the institutional infrastructure and commitment. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the Research Training Plan. Clearly

address how the proposed program, if successful, will have a major impact on cancer and will increase the number of underrepresented minorities in the field.

Note: It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly). **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the training of cancer researchers or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)).**

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer research addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 9.2](#)) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

Concisely state the specific goals and objectives to be achieved by the training plan described in the application. Goals and objectives should be listed for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success.

8.2.4. Timeline (1 page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.5. Resubmission Summary (1 page)

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

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may prepare a fresh Training Plan or modify the original Training Plan and mark the changes. However, all resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

8.2.6. Renewal Summary (5 pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Please 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.

8.2.7. Research Training Plan (20 pages)

Background: Present the rationale behind the proposed training plan, 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 8.2.3](#)), 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 (eg, 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.

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

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 (eg, 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 (**this will be an important factor in the evaluation of the application**). Applications that do not address recruitment and retention will be considered incomplete.

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.

8.2.8. Publications/References

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

8.2.9. Budget and Justification

Provide an outline and justification of the budget for the entire proposed period of support.

Applicants may request a maximum of \$800,000 in total costs per year for up to 5 years.

Allowable costs include trainee stipends (see limits in [section 4](#)), benefits, and travel allowances (as indicated in [section 4](#)). 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 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.

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

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cpritis.state.tx.us. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2017 is \$200,000; CPRIT FY 2017 is from September 1, 2016, through August 31, 2017. 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.

8.2.10. Biographical Sketches (5 pages each)

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

A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 10 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH Biosketch format is appropriate.

8.2.11. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title and a 2-line summary of the goal of the project.

8.2.12. Institutional Support (3 pages)

Each application must be accompanied by a letter of institutional support from the president or provost indicating support and commitment to the training program. The letter could include, but is not limited to, information about laboratory space, shared laboratory facilities and equipment, funds for curriculum development, support for additional trainees in the program, and initiatives to support recruitment of underrepresented minorities. A maximum of 3 pages may be provided.

8.2.13. Previous Summary Statement

If the application is being resubmitted, the summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission. The applicant is not responsible for providing this document.

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

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

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

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC.

The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

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

9.3. Confidentiality of Review

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

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: An Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services.

The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.4. Review Criteria

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

9.4.1. Primary Criteria

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

Primary Review Criteria for New Applications

Overall Evaluation of Training Potential: What is the likelihood that the training program will 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: Will the training plan 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: Are high-quality individuals routinely recruited at the applicant institution's existing training programs? Are the qualifications and interests of these potential trainees appropriate for the training program described by the applicant institution? Are there sufficient numbers of highly meritorious potential trainees to fill the slots requested? Is there a plan to enhance the diversity of trainees by recruiting from underrepresented groups?

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 (eg, equipment, laboratory space, computer time, subject populations), and training opportunities adequate and appropriate?

Primary Review Criteria for Renewal Applications

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? Has the program recruited underrepresented minority trainees?

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 (eg, equipment, laboratory space, computer time, subject populations), and training opportunities adequate and appropriate?

9.4.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the value of the proposed training program.

Secondary criteria include the following:

Relevance to Cancer Research: Does the proposed training program have a high degree of *direct* relevance to cancer research? Does the program include high priority areas of emphasis for CPRIT (prevention and early detection, rare and intractable cancers, computational biology, cancers of special interest in Texas)?

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

Responsible Conduct of Research: Does the applicant institution have acceptable plans to provide instruction in the responsible conduct of research?

Budget: Is the budget appropriate for the proposed work?

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

10. KEY DATES

RFA

RFA release February 19, 2016

Application

Online application opens March 21, 2016, 7 AM central time

Application due May 19, 2016, 3 PM central time

Application review June – September 2016

Award

Award notification November 2016

Anticipated start date December 1, 2016

11. AWARD ADMINISTRATION

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

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

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

13. CONTACT INFORMATION

13.1. HelpDesk

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

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time
Wednesday, 8 AM to 4 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Senior Manager for Research.

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports



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CPRIT Research Peer Review Observation Report

Report #2016-09-21-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-1

Panel Date: September 21, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY17 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on September 21, 2016.

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

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on September 21, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Eighteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
 - One of the two advocate reviewers participated via teleconference.
- Four conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.



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CPRIT Research Peer Review Observation Report

Report #2016-09-22-RES

Program Name: Academic Research

Panel Name: FY17.1 Basic Cancer Research-2

Panel Date: September 22, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY17 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on September 22, 2016.

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

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on September 22, 2016.

The independent observer noted the following during our observation:

- Twenty-one applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-23-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Biology

Panel Date: September 23, 2016

Report Date: September 28, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Biology peer review of applications for FY17 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on September 23, 2016.

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

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on September 23, 2016.

The independent observer noted the following during our observation:

- Eighteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Sixteen peer review panelists, two advocate reviewers, two CPRIT staff members and five SRA employees were present for the meeting.
 - Two of the sixteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-28-RES

Program Name: Academic Research

Panel Name: FY17.1 Cancer Prevention Research

Panel Date: September 28, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Cancer Prevention Research peer review of applications for FY17 funding. The meeting was chaired by Tom Sellers and held at the Marriott Suites Medical/Market Center in Dallas, TX, on September 28, 2016.

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

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on September 28, 2016.

The independent observer noted the following during our observation:

- Thirteen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
 - The third-party grant application administrator was not present for the entire review of the first application.
- Eighteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - One of the eighteen peer review panelists participated via teleconference.
- Twelve conflicts of interest were identified prior to or during the meeting. Applications for seven conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-27-RES

Program Name: Academic Research

Panel Name: FY17.1 Clinical & Translational Cancer
Research and Translational Cancer Research

Panel Date: September 27, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY17 funding. The meeting was co-chaired by Richard O'Reilly and Margaret Tempero and held in person on September 27, 2016.

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

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and co-chaired by Richard O'Reilly and Margaret Tempero on September 27, 2016.

The independent observer noted the following during our observation:

- Twenty-four applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Thirty-one peer review panelists, three advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - Five of the thirty-one peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for ten conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Research Peer Review Observation Report

Report #2016-09-26-RES

Program Name: Academic Research

Panel Name: FY17.1 Imaging Technology and
Informatics

Panel Date: September 26, 2016

Report Date: October 5, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY17 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas TX on September 26, 2016.

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

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on September 26, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-two peer review panelists, two advocate reviewers, two CPRIT staff members, one other attendee and six SRA employees were present for the meeting.
 - One of the twenty-two peer review panelists participated via teleconference.
- Seven conflicts of interest were identified prior to or during the meeting. Applications for three conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

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CPRIT Scientific Review Council Meeting Observation Report

Report #2016-10-13-RES

Program Name: Academic Research

Panel Name: FY17.1 Scientific Review Council
Meeting

Panel Date: October 13, 2016

Report Date: October 24, 2016

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 an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council Meeting peer review of applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on October 13, 2016.

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

The independent observer participated in the Scientific Review Council Meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on October 13, 2016.

The independent observer noted the following during our observation:

- Over the course of the call, a review of the scoring for the 55 recommended applications was completed to ensure that they would in fact be recommended for funding. A score cut-off was reinforced by the panel as to which applications will move forward.
- Seven peer review panelists, two CPRIT staff members and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- 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 panelists' 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 review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer 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.

Noted Conflicts of Interest

Conflicts of Interest Disclosure
Academic Research Cycle 17.1 Applications
(Academic Research Cycle 17.1 Awards Announced at November 16, 2016, Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 17.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Computational Biology*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Prevention and Early Detection*, *Early Translational Research Awards*, and *Research Training Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RP170180/ RP170180pe	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	Swanson, Kristin
RP170066	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170079/ RP170079pe	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin
RP170114/ RP170144pe	Morrison, Sean	The University of Texas Southwestern Medical Center	Fearon, Eric
RP170317/ RP170317pe	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	Van Allen, Eliezer
RP170470	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP170510	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan; Kast, W. Martin
RP170510pe	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan

Application ID	Applicant/PI	Institution	Conflict Noted
RP170496pe	Gregory, Carl	Texas A&M University System Health Science Center	Lawlor, Elizabeth
RP170537	Wang, Rongfu	The Methodist Hospital Research Institute	Sette, Alessandro; Kast, W. Martin
RP170071/ RP170071pe	Lupo, Philip	Baylor College of Medicine	Olshan, Andrew
RP170259	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra
RP170493	Fernandez, Maria	The University of Texas Health Science Center at Houston	Kushi, Lawrence; Brandon, Thomas
Applications not considered by the PIC or Oversight Committee			
RP170139*/ RP170139pe	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	Fiering, Steven
RP170233	Hancock, John	The University of Texas Health Science Center at Houston	Haigis, Kevin; McMahon, Martin
RP170263	Zhang, Ruiwen	Texas Tech University Health Sciences Center	Chen, Xinbin
RP170106/ RP170106pe	Nurieva, Roza	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170348/ RP170348pe	Diab, Adi	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170389*/ RP170389pe	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170416*/ RP170416pe	Sevick, Eva	The University of Texas Health Science Center at Houston	Ribas, Antoni, Dubinett, Steven
RP170032*	Zhou, Jia	The University of Texas Medical Branch at Galveston	Neamati, Nouri
RP170214*	Shen, Qiang	The University of Texas M. D. Anderson Cancer Center	Neamati, Nouri
RP170011	Berenson, Abbey	The University of Texas Medical Branch at Galveston	Petersen, Gloria

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170064*/ RP170064pe	Chow, Wong-Ho	The University of Texas M. D. Anderson Cancer Center	Schnoll, Robert; Brandon, Thomas
RP170082/ RP170082pe	Schembre, Susan	The University of Texas M. D. Anderson Cancer Center	Martinez, Maria
RP170276/ RP170276pe	Roncancio, Angelica	The University of Texas Health Science Center at Houston	Kushi, Lawrence
RP170354*	Xu, Hua	The University of Texas Health Science Center at Houston	Petersen, Gloria; Barlow, William
RP170354pe	Xu, Hua	The University of Texas Health Science Center at Houston	Barlow, William
RP170448*/ RP170448pe	Tang, Yi-Yuan	Texas Tech University	Brandon, Thomas
RP170100/ RP170100pe	Hoyt, Kenneth	The University of Texas at Dallas	Zinn, Kurt
RP170253*/ RP170253pe	Kundra, Vikas	The University of Texas M. D. Anderson Cancer Center	Johnson, G. Allan
RP170527	Ghaghada, Ketan	Baylor College of Medicine	Johnson, G. Allan; Basilion, James
RP170527pe	Ghaghada, Ketan	Baylor College of Medicine	Basilion, James
RP170548*	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Wu, Anna; Basilion, James; Pomper, Martin
RP170405pe	Srivastava, Sanjay	Texas Tech University Health Sciences Center	Swanson; Kristin
RP170462pe	Zhang, Dekai	Texas A&M University System Health Science Center	Williams, Bart
RP170039pe	Vyas, Dinesh	Texas Tech University Health Sciences Center	Pure, Ellen
RP170412pe	Fuqua, Suzanne	Baylor College of Medicine	Pure, Ellen
RP170472pe	Dang, Weiwei	Baylor College of Medicine	Berger, Shelley
RP170479pe	Slinker, Jason	The University of Texas at Dallas	Tomkinson, Alan

* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170068pe	Zhao, Hua	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170186pe	Laetsch, Theodore	The University of Texas Southwestern Medical Center	Dubinett, Steven
RP170190pe	Marchetti, Dario	The Methodist Hospital Research Institute	Prados, Michael; Shah, Neil
RP170213pe	Bartholomeusz, Geoffrey	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170278pe	Krasnykh, Victor	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170325pe	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP170385pe	Priebe, Waldemar	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170579pe	Ferrari, Mauro	The Methodist Hospital Research Institute	Koong, Albert
RP170041pe	Wan, Yihong	The University of Texas Southwestern Medical Center	Greene, Geoffrey
RP170098pe	Gustafsson, Jan-Åke	University of Houston	Lawlor, Elizabeth; Fearon, Eric; Knudsen, Karen
RP170587pe	Dashwood, Roderick	Texas A&M University System Health Science Center	Fearon, Eric
RP170101pe	Wang, Wenyi	The University of Texas M. D. Anderson Cancer Center	Mucci, Lorelei
RP170051pe	Qin, Zhenpeng	The University of Texas at Dallas	Zinn, Kurt
RP170324pe	Hao, Guiyang	The University of Texas Southwestern Medical Center	Wu, Anna
RP170409pe	Cai, Hancheng	The University of Texas Southwestern Medical Center	Jadvar, Hossein

De-Identified Overall Evaluation Scores

Research Training Awards

Academic Research Cycle 17.1

Application ID	Final Overall Evaluation Score
RP170593*	2.0
RP170259*	2.6
RP170301*	2.7
RP170067*	1.2
RP170345*	3.2
ra	3.7
rb	4.3
rc	4.9
rd	5.4

* = Recommended for Funding

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

October 20, 2016

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

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP), Research Training Awards (RTA), and the Early Translational Research Awards (ETRA) grant mechanisms. The SRC met on Thursday, October 13, 2016 to consider the applications recommended by the peer review panels following their meetings that were held September 21, 2016 – September 28, 2016.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$63,256,343.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



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

Attachment

55	Recommended					
Application ID	Award Mechanism	Meeting Overall Score	Application Title	PI	PI Organization	Budget
RP170067	RTA	1.2	The Future of Cancer Research: Training Program for Basic and Translational Scientists	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	\$ 4,000,000
RP170427	ETRA	1.5	Ambient Mass Spectrometry for Preoperative Molecular Diagnosis of Thyroid Fine Needle Aspirate Biopsies	Schiavinato Eberlin, Livia	The University of Texas at Austin	\$ 983,586
RP170466	IIRA	1.7	Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles	Tasciotti, Ennio	The Methodist Hospital Research Institute	\$ 896,951
RP170233	IIRA	1.8	K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets	Hancock, John	The University of Texas Health Science Center at Houston	\$ 900,000
RP170496	IIRA	1.8	Targeting a Growth and Survival Pathway in Bone Tumor Cells.	Gregory, Carl	Texas A&M University System Health Science Center	\$ 864,971
RP170314	IIRA	1.8	Biodegradable nanoclusters for molecular cancer imaging	Sokolov, Konstantin	The University of Texas M. D. Anderson Cancer Center	\$ 899,553
RP170593	RTA	2.0	Computational Cancer Biology Training Program	Pettitt, B. Montgomery	The University of Texas Medical Branch at Galveston	\$ 3,999,285
RP170074	IIRACCA	2.0	Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome	Rabin, Karen	Baylor College of Medicine	\$ 1,200,000
RP170401	IIRA	2.0	Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy	Hwu, Patrick	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170207	IIRACCA	2.0	BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for	Srivenugopal, Kalkunte	Texas Tech University Health Sciences	\$ 1,173,149

			chemotherapy of childhood brain cancers		Center	
RP170231	IIRA	2.1	Identifying vulnerabilities in mutant p53 driven tumorigenesis	Lozano, Guillermina	The University of Texas M. D. Anderson Cancer Center	\$ 869,197
RP170399	IIRA	2.1	Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy	Curran, Michael	The University of Texas M. D. Anderson Cancer Center	\$ 899,993
RP170040	IIRA	2.1	Exploiting DNA repair defects using intensity modulated proton therapy	Sawakuchi, Gabriel	The University of Texas M. D. Anderson Cancer Center	\$ 899,889
RP170295	IIRAP	2.1	Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer	Waterland, Robert	Baylor College of Medicine	\$ 1,052,089
RP170095	IIRAP	2.1	Exercise as an aid to smoking cessation in anxiety vulnerable adults	Smits, Jasper	The University of Texas at Austin	\$ 891,623
RP170470	IIRACCA	2.1	OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma	Kang, Min	Texas Tech University Health Sciences Center	\$ 1,125,638
RP170146	IIRA	2.2	B cell receptor signaling intersects with angiogenesis in diffuse large B cell lymphoma	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170493	IIRAP	2.2	For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates	Fernandez, Maria	The University of Texas Health Science Center at Houston	\$ 1,487,683
RP170245	ETRA	2.2	Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors	Liu, Qingyun	The University of Texas Health Science Center at Houston	\$ 1,000,000
RP170330	IIRA	2.3	A novel GRK3-EZH2 regulatory pathway in prostate cancer progression	Li, Wenliang	The University of Texas Health Science Center at Houston	\$ 900,000
RP170250	IIRA	2.3	Regulation of 53BP1 by novel 53BP1-binding proteins in DNA repair	Chen, Junjie	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170126	IIRA	2.3	A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk	Hu, Yanfen	The University of Texas Health Science Center at San Antonio	\$ 900,000
RP170114	IIRA	2.3	Mechanisms of melanoma metastasis	Morrison, Sean	The University of Texas Southwestern Medical Center	\$ 892,521
RP170537	ETRA	2.4	Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer	Wang, Rongfu	The Methodist Hospital Research Institute	\$ 999,995
RP170508	IIRAP	2.4	Structural modeling of peptide-HLA complexes presenting a melanoma-associated antigen for cross-reactivity assessment	Kavraki, Lydia	Rice University	\$ 900,000
RP170510	IIRACCA	2.4	Telomere Maintenance Mechanisms in Neuroblastoma	Reynolds, Charles	Texas Tech University Health Sciences Center	\$ 1,058,246
RP170336	IIRA	2.5	Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer.	Scott, Kenneth	Baylor College of Medicine	\$ 875,757
RP170066	ETRA	2.5	Oncolytic Immunotherapy for Gliomas and Cancer Metastases in the Era of Checkpoint Regulation	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	\$ 990,905
RP170382	IIRA	2.6	Primary Cilia in Cell Cycle Control and Tumorigenesis	Zhong, Qing	The University of Texas Southwestern Medical Center	\$ 900,000
RP170259	RTA	2.6	CPRIT Cancer Prevention Research Training Program	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	\$ 2,071,403
RP170564	IIRA	2.6	Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity	Yuan, Baohong	The University of Texas at Arlington	\$ 900,000
RP170079	IIRA	2.6	Palbociclib synergizes with autophagy inhibitors to induce senescence in breast cancer	Keyomarsi, Khandan	The University of Texas M. D. Anderson	\$ 900,000

					Cancer Center	
RP170301	RTA	2.7	Osteopathic Scholars in Cancer Research (OSCR)	Vishwanatha, Jamboor	University of North Texas Health Science Center at Fort Worth	\$ 799,055
RP170071	IIRAP	2.7	Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma	Lupo, Philip	Baylor College of Medicine	\$ 1,488,105
RP170366	IIRA	2.7	Optimizing Chemoradiation Strategies by Tumor Metabolism Interrogation	Lai, Stephen	The University of Texas M. D. Anderson Cancer Center	\$ 899,996
RP170317	IIRA	2.7	Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	\$ 899,507
RP170307	IIRA	2.7	BIOMARKER-BASED TREATMENT OF POOR PROGNOSTIC MESENCHYMAL SUBTYPE IN GASTRIC CANCER	Lee, Ju-Seog	The University of Texas M. D. Anderson Cancer Center	\$ 893,875
RP170373	IIRA	2.8	HTS for covalent GTP-competitive inhibitors of KRAS G12C	Westover, Kenneth	The University of Texas Southwestern Medical Center	\$ 900,000
RP170152	IIRACCA	2.8	Targeting the HNF4A and WNT/Beta-catenin pathways in childhood malignant yolk sac tumors.	Amatruda, James	The University of Texas Southwestern Medical Center	\$ 1,169,499
RP170086	IIRA	2.8	Tumor suppression, p53 and retrotransposons	Abrams, John	The University of Texas Southwestern Medical Center	\$ 891,990
RP170572	IIRA	2.8	PROBING NOVEL CONCEPTS OF THE NF-kappaB TRANSCRIPTIONAL PROGRAM IN HUMAN CANCER	D'Orso, Ivan	The University of Texas Southwestern Medical Center	\$ 742,577
RP170144	IIRACB	2.8	Effective Exploitation Of Structural Data For Oncology	Ioerger, Thomas	Texas A&M Engineering Experiment Station	\$ 900,000
RP170169	IIRACCA	2.8	High throughput combinatory drug screening for pediatric medulloblastomas with a	Li, Xiao-Nan	Baylor College of Medicine	\$ 1,198,726

			dysregulated EZH2 pathway			
RP170267	IIRA	2.9	Chemically based disruption of oncogenic beta-catenin activity in liver tissue	Lum, Lawrence	The University of Texas Southwestern Medical Center	\$ 900,000
RP170488	IIRACCA	2.9	Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma	Lee, Brendan	Baylor College of Medicine	\$ 1,110,480
RP170407	IIRA	2.9	Role of HDAC8 and higher order chromatin structure in melanoma metastasis and therapy	Rai, Kunal	The University of Texas M. D. Anderson Cancer Center	\$ 899,622
RP170500	ETRA	2.9	Development of next generation steroid receptor coactivator small molecule inhibitors as novel agents to target therapy-resistant breast cancer	O'Malley, Bert	Baylor College of Medicine	\$ 998,914
RP170179	ETRA	2.9	Chemoablation of High-Risk Oral Premalignant Lesions for Sustained Cancer Prevention	Tsai, Robert	Texas A&M University System Health Science Center	\$ 1,000,000
RP170387	IIRACB	3.0	Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis.	Liu, Zhandong	Baylor College of Medicine	\$ 889,679
RP170090	IIRA	3.0	Novel Regulation and Function of TAK1 in Mutant Kras-driven Development of Pancreatic Ductal Adenocarcinoma	Chiao, Paul	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170333	ETRA	3.0	Targeting ubiquitination for cancer therapy	Zhang, Shuxing	The University of Texas M. D. Anderson Cancer Center	\$ 1,000,000
RP170180	IIRA	3.1	Mechanistic Roles of Long Non-Coding RNA in Glioblastoma Development and Treatment	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	\$ 900,000
RP170170	IIRACB	3.1	Prediction of nuclear export signals in proteins	Grishin, Nick	The University of Texas Southwestern Medical Center	\$ 844,989
RP170172	IIRA	3.1	Targeting Therapy Resistance using Epithelial to Mesenchymal Transition (EMT)	Rosen, Jeffrey	Baylor College of Medicine	\$ 900,000

			Pathways in Preclinical Claudin Low Breast Cancer Models			
RP170345	RTA	3.2	UTHSCSA Cancer Research Training Program	Oyajobi, Babatunde	The University of Texas Health Science Center at San Antonio	\$ 3,996,895

*RP170259 – Research Training Award: SRC recommended the following budget reductions: Reduce number of trainees from 9 to 6 Post-Doctoral trainees per year; reduce funding for training program manager to 50% FTE (from proposed 100% FTE), and reduce budget to reflect reduction of 3 trainees/year (cost per trainee *3). The award amount in this table reflects these changes.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP160057
Texas Company Product Development Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Texas Company Product Development Awards* Request for Applications (RFA). CPRIT received 19 applications for this RFA. This application was assigned to the Product Development Panel 1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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


I note that some applications that were not recommended for grant awards have scores that are more favorable than one application that was recommended for a grant award. I conferred with CPRIT's Chief Product Development Officer about this issue. Mr. Lang explained that the results of the Intellectual Property and business due diligence affected which applications were recommended by the Product Development Review Council (PDRC). While the numerical ranking score assigned by the Review Council is substantially based on the final overall evaluation scores, it also takes into consideration other factors, such as due diligence, as allowed by 25 § TAC 703.6(d)(1).

Additionally, in their recommendation to the PIC, the PDRC ranked this application ahead of DP160071, which received a higher final overall evaluation score. As explained by the Chairman of the PDRC, this application was recommended first due to the "assessments of the due diligence and intellectual property reports."

Pursuant to 25 T.A.C. § 702.19(e), I granted Mr. Lang a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to the two product development applicants that were recommended by the PIC. The purpose of the waiver is so that Mr. Lang may negotiate proposed grant budgets. I find good cause for the waiver because communication with the applicants assists Mr. Lang in identifying budget expenses to reduce or eliminate, thereby decreasing the overall amount of one or both of the proposed awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

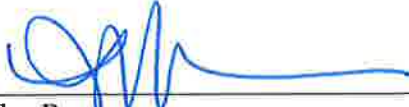
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



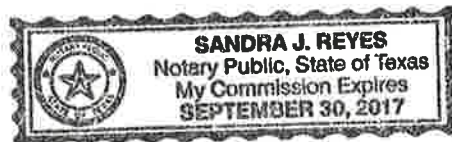
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Product Development
AWARD MECHANISM Texas Company Product Development Awards (TXCO)
APPLICATION ID DP160057
APPLICATION TITLE Clinical Evaluation of a Novel T Cell Therapy (BPX-501) for the Treatment of Children and Adults with AML
APPLICANT NAME Moseley, Annemarie
ORGANIZATION Bellicum Pharmaceuticals, Inc.
PANEL NAME 16.2 Product Development Panel-1 (16.2 PDP-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CPDO	12/21/15	10/11/16
	RFA published in Texas Register	01/08/16	10/11/16
	CPRIT Application Receipt System (CARS) opened	01/14/16	10/23/16
	CPRIT Application Receipt System (CARS) closed	02/25/16	10/23/16
	Date application submitted	02/25/16	10/23/16
	Method of submission	CARS	10/23/16
	Within receipt period	YES	10/23/16
	Request for extension to submit application after CARS closed	N/A	10/23/16
	Request for extension for late application submission accepted	N/A	10/23/16
2. Receipt, Referral, and Assignment	Submission of application fee	YES	10/24/16
	Administrative review notification	03/14/16	10/23/16
	Donation(s) made to CPRIT/foundation	NO	10/23/16
	Assigned to primary reviewers	03/14/16	10/23/16
	Applicant notified of review panel assignment	03/16/16	10/23/16
	Primary Reviewer 1 COI signed	03/10/16	10/23/16
	Primary (Advocate) Reviewer 2 COI signed	N/A	10/23/16
	Primary Reviewer 3 COI signed	03/08/16	10/23/16
	Primary Reviewer 4 COI signed	03/07/16	10/23/16
3. Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	04/12/16	10/23/16
	Primary (Advocate) Reviewer 2 critique submitted	N/A	10/23/16
	Primary Reviewer 3 critique submitted	04/12/16	10/23/16
	Primary Reviewer 4 critique submitted	04/12/16	10/23/16
	COI indicated by non-primary reviewer	Lee, Vivian	10/23/16
	COI recused from participation	YES	10/23/16
	Screening Teleconference Meeting	04/07/16	10/23/16
	Post-Screening Teleconference score report	04/08/16	10/23/16
	Post review statements signed	04/15/16	10/23/16
4. Peer Review Meeting	Third Party Observer Report	04/14/16	10/23/16
	Recommended for On-Site Meeting	YES	10/23/16
	COI indicated by non-primary reviewer	Lee, Vivian	10/23/16
	COI recused from participation	YES	10/23/16
	Peer Review Meeting	05/10/16-05/11/16	10/23/16
	Post review statements signed	05/11/16	10/23/16
	Third Party Observer Report	05/20/16	10/23/16
5. Due Dillgence and IP Review	Score report delivered to CPDO	05/27/16	10/23/16
	Recommended for due diligence and IP review	YES	10/23/16
	Final due diligence review submitted to PDRC	09/27/16	10/25/16
6. Final PDRC Recommendation	Intellectual Property conflict check	07/27/16	10/26/16
	Final intellectual property review submitted	10/05/16	10/25/16
	COI indicated by PDRC member	NONE	10/23/16
	COI recused from participation	N/A	10/23/16
	Due Diligence Evaluation Meeting / PDRC Meeting	10/17/16	10/23/16
	Third Party Observer Report	10/25/16	10/26/16
7. PIC Review	Recommended for grant award	YES	10/23/16
	PDRC Chair Notification to PIC and OC	10/20/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
8. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP160071
Texas Company Product Development Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Texas Company Product Development Awards* Request for Applications (RFA). CPRIT received 19 applications for this RFA. This application was assigned to the Product Development Panel 2 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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

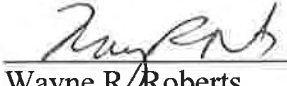
I note that some applications that were not recommended for grant awards have scores that are more favorable than one application that was recommended for a grant award. I conferred with CPRIT's Chief Product Development Officer about this issue. Mr. Lang explained that the results of the Intellectual Property and business due diligence affected which applications were recommended by the Product Development Review Council (PDRC). While the numerical ranking score assigned by the Review Council is substantially based on the final overall evaluation scores, it also takes into consideration other factors, such as due diligence, as allowed by 25 § TAC 703.6(d)(1).

Additionally, in their recommendation to the PIC, the PDRC ranked this application ahead of DP160071, which received a higher final overall evaluation score. As explained by the Chairman of the PDRC, this application was recommended first due to the "assessments of the due diligence and intellectual property reports."

Pursuant to 25 T.A.C. § 702.19(e), I granted Mr. Lang a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to the two product development applicants that were recommended by the PIC. The purpose of the waiver is so that Mr. Lang may negotiate proposed grant budgets. I find good cause for the waiver because communication with the applicants assists Mr. Lang in identifying budget expenses to reduce or eliminate, thereby decreasing the overall amount of one or both of the proposed awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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



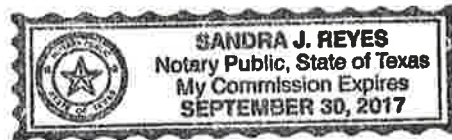
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Product Development
AWARD MECHANISM Texas Company Product Development Awards (TXCO)
APPLICATION ID DP160071
APPLICATION TITLE A Novel Compound Targeting CD38 for the Treatment of Multiple Myeloma
APPLICANT NAME Kim, Jason
ORGANIZATION Molecular Templates, Inc.
PANEL NAME 16.2 Product Development Panel-2 (16.2 PDP-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CPDO	12/21/15	10/24/16
	RFA published in Texas Register	01/08/16	10/24/16
	CPRIT Application Receipt System (CARS) opened	01/14/16	10/23/16
	CPRIT Application Receipt System (CARS) closed	02/25/16	10/23/16
	Date application submitted	02/22/16	10/23/16
	Method of submission	CARS	10/23/16
	Within receipt period	YES	10/23/16
	Request for extension to submit application after CARS closed	N/A	10/23/16
	Request for extension for late application submission accepted	N/A	10/23/16
2. Receipt, Referral, and Assignment	Submission of application fee	YES	10/24/16
	Administrative review notification	03/14/16	10/23/16
	Donation(s) made to CPRIT/foundation	NO	10/23/16
	Assigned to primary reviewers	03/14/16	10/23/16
	Applicant notified of review panel assignment	03/16/16	10/23/16
	Primary Reviewer 1 COI signed	03/12/16	10/23/16
	Primary (Advocate) Reviewer 2 COI signed	03/07/16	10/23/16
	Primary Reviewer 3 COI signed	03/10/16	10/23/16
	Primary Reviewer 4 COI signed	N/A	10/23/16
3. Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	04/09/16	10/23/16
	Primary (Advocate) Reviewer 2 critique submitted	04/09/16	10/23/16
	Primary Reviewer 3 critique submitted	04/14/16	10/23/16
	Primary Reviewer 4 critique submitted	N/A	10/23/16
	COI indicated by non-primary reviewer	NONE*	10/23/16
	COI recused from participation	N/A	10/23/16
	Screening Teleconference Meeting	04/08/16	10/23/16
	Post-Screening Teleconference score report	04/08/16	10/23/16
	Post review statements signed	04/11/16	10/23/16
4. Peer Review Meeting	Third Party Observer Report	04/14/16	10/23/16
	Recommended for On-Site Meeting	YES	10/23/16
	COI indicated by non-primary reviewer	Williams, Grant	10/23/16
	COI recused from participation	YES	10/23/16
	Peer Review Meeting	05/12/16	10/23/16
	Post review statements signed	05/19/16	10/23/16
	Third Party Observer Report	05/20/16	10/23/16
5. Due Diligence and IP Review	Score report delivered to CPDO	05/27/16	10/23/16
	Recommended for due diligence and IP review	YES	10/23/16
	Final due diligence review submitted to PDRC	09/27/16	10/25/16
	Intellectual Property conflict check	07/27/16	10/26/16
6. Final PDRC Recommendation	Final intellectual property review submitted	10/05/16	10/25/16
	COI indicated by PDRC member	NONE	10/23/16
	COI recused from participation	N/A	10/23/16
	Due Diligence Evaluation Meeting / PDRC Meeting	10/17/16	10/23/16
	Third Party Observer Report	10/25/16	10/26/16
	Recommended for grant award	YES	10/23/16
7. PIC Review	PDRC Chair Notification to PIC and OC	10/20/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
8. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

*Grant Williams declared a late COI for the onsite meeting. He had not yet declared a COI at the time of the screening teleconference.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170040
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

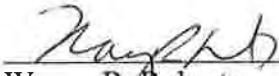
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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

above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170040
APPLICATION TITLE Exploiting DNA Repair Defects Using Intensity Modulated Proton Therapy
APPLICANT NAME Sawakuchi, Gabriel
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 17.1 Basic Cancer Research-2 (17.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/14/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/25/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	06/20/16	10/17/16
	Primary Reviewer 2 COI signed	06/21/16	10/17/16
	Primary Reviewer 3 COI signed	06/22/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
	Primary Reviewer 1 critique submitted	08/03/16	10/17/16
	Primary Reviewer 2 critique submitted	08/10/16	10/17/16
	Primary Reviewer 3 critique submitted	07/29/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/16/16	10/17/16
4. Peer Review Meeting	Recommended for full review	YES	10/17/16
	Applicant notified of outcome	09/14/16	10/17/16
	Assigned to primary reviewers	07/20/16	10/17/16
	Primary Reviewer 1 COI signed	06/20/16	10/17/16
	Primary Reviewer 2 COI signed	06/21/16	10/17/16
	Primary Reviewer 3 COI signed	06/23/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	08/22/16	10/17/16
	Primary Reviewer 1 critique submitted	09/13/16	10/17/16
	Primary Reviewer 2 critique submitted	09/14/16	10/17/16
	Primary Reviewer 3 critique submitted	09/13/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/12/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/22/16	10/17/16
	Post review statements signed	10/05/16	10/17/16
5. Final SRC Recommendation	Third Party Observer Report	09/28/16	10/17/16
	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
6. PIC Review	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
7. Oversight Committee Approval	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
7. Oversight Committee Approval	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170066
Early Translational Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Early Translational Research Awards* Request for Applications (RFA). CPRIT received 54 applications for this RFA. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

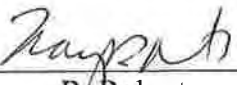
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating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

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

The Program Integration Committee (PIC) unanimously voted to defer three award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

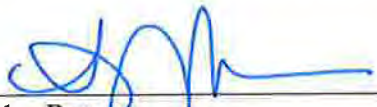
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

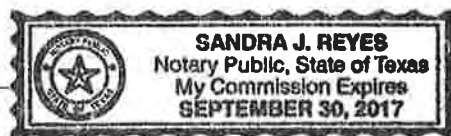
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Early Translational Research Awards (ETRA)
APPLICATION ID RP170066

APPLICATION TITLE Oncolytic Immunotherapy for Gliomas and Cancer Metastases
in the Era of Checkpoint Regulation

APPLICANT NAME Fueyo, Juan
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/18/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/08/16	10/19/16
	Primary Reviewer 2 COI signed	06/28/16	10/19/16
	Primary Reviewer 3 COI signed	07/11/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/11/16	10/19/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	10/19/16
	Primary Reviewer 2 critique submitted	N/A	10/19/16
	Primary Reviewer 3 critique submitted	N/A	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	N/A	10/19/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/19/16
	Recommended for full review	N/A	10/19/16
	Applicant notified of outcome	N/A	10/19/16
4. Peer Review Meeting	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/08/16	10/19/16
	Primary Reviewer 2 COI signed	06/28/16	10/19/16
	Primary Reviewer 3 COI signed	07/11/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/11/16	10/19/16
	Primary Reviewer 1 critique submitted	09/24/16	10/19/16
	Primary Reviewer 2 critique submitted	09/18/16	10/19/16
	Primary Reviewer 3 critique submitted	09/24/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/26/16	10/19/16
	COI indicated by non-primary reviewer	Prados, Michael	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
5. Final SRC Recommendation	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170067
Research Training Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

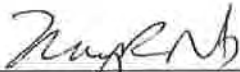
My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Research Training Awards* Request for Applications (RFA). CPRIT received nine applications for this RFA. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

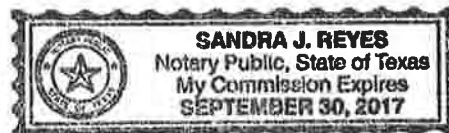
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Research Training Awards (RTA)
 APPLICATION ID RP170067
 APPLICATION TITLE The Future of Cancer Research: Training Program for Basic and Translational Scientists
 APPLICANT NAME Keyomarsi, Khandan
 ORGANIZATION The University of Texas M. D. Anderson Cancer Center
 PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/17/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	10/17/16
	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	42660
	Assigned to primary reviewers	08/19/16	42660
	Applicant notified of review panel assignment	07/06/16	42660
	Primary Reviewer 1 COI signed	06/20/16	42660
	Primary Reviewer 2 COI signed	08/01/16	42660
	Primary Reviewer 3 COI signed	08/07/16	42660
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	06/20/16	42660
	Primary Reviewer 1 critique submitted	N/A	10/17/16
	Primary Reviewer 2 critique submitted	N/A	10/17/16
	Primary Reviewer 3 critique submitted	N/A	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	N/A	10/17/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/17/16
	Recommended for full review	N/A	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Primary Reviewer 1 COI signed	06/20/16	10/17/16
	Primary Reviewer 2 COI signed	08/01/16	10/17/16
	Primary Reviewer 3 COI signed	08/07/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	09/13/16	10/17/16
	Primary Reviewer 2 critique submitted	09/11/16	10/17/16
	Primary Reviewer 3 critique submitted	09/16/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	08/27/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
	Post review statements signed	09/21/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170071
Individual Investigator Research Awards for
Prevention and Early Detection

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 35 applications for this RFA, including 2 that were withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

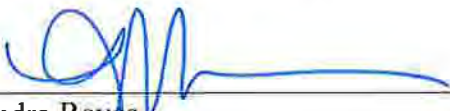
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



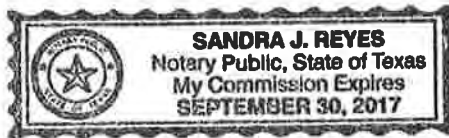
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards for Prevention and Early Detection (IIRAP)
APPLICATION ID RP170071
APPLICATION TITLE Genetic Epidemiology and Molecular Basis of Cancer Predisposition in Pediatric Rhabdomyosarcoma
APPLICANT NAME Lupo, Philip
ORGANIZATION Baylor College of Medicine
PANEL NAME 17.1 Cancer Prevention Research (17.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/17/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/20/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/01/16	10/19/16
	Primary Reviewer 2 COI signed	07/08/16	10/19/16
	Primary Reviewer 3 COI signed	07/01/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/02/16	10/19/16
	Primary Reviewer 2 critique submitted	08/04/16	10/19/16
	Primary Reviewer 3 critique submitted	07/29/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	Olshan, Andrew	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	07/01/16	10/19/16
	Primary Reviewer 2 COI signed	07/08/16	10/19/16
	Primary Reviewer 3 COI signed	07/01/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/15/16	10/19/16
	Primary Reviewer 1 critique submitted	09/20/16	10/19/16
	Primary Reviewer 2 critique submitted	09/19/16	10/19/16
	Primary Reviewer 3 critique submitted	09/28/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/11/16	10/19/16
	COI indicated by non-primary reviewer	Olshan, Andrew	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/28/16	10/19/16
	Post review statements signed	10/02/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170074
Individual Investigator Research Awards for
Cancer in Children and Adolescents

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 45 applications for this RFA, including 3 that were withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

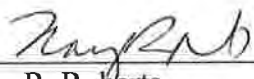
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

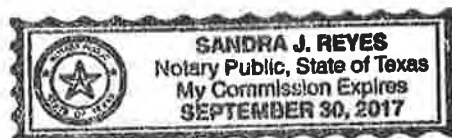
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
 APPLICATION ID RP170074
 APPLICATION TITLE Molecular Epidemiology And Somatic Alterations Driving Acute Lymphoblastic Leukemia In Down Syndrome
 APPLICANT NAME Rabin, Karen
 ORGANIZATION Baylor College of Medicine
 PANEL NAME 17.1 Cancer Prevention Research (17.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/18/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/20/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/01/16	10/19/16
	Primary Reviewer 2 COI signed	06/26/16	10/19/16
	Primary Reviewer 3 COI signed	07/07/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/04/16	10/19/16
	Primary Reviewer 2 critique submitted	07/22/16	10/19/16
	Primary Reviewer 3 critique submitted	08/05/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
	Recommended for full review	YES	10/19/16
	Applicant notified of outcome	09/14/16	10/19/16
4. Peer Review Meeting	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	07/01/16	10/19/16
	Primary Reviewer 2 COI signed	06/26/16	10/19/16
	Primary Reviewer 3 COI signed	07/07/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/25/16	10/19/16
	Primary Reviewer 2 critique submitted	09/10/16	10/19/16
	Primary Reviewer 3 critique submitted	09/22/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/19/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/28/16	10/19/16
	Post review statements signed	10/02/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	10/19/16
	COI Indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI Indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170079
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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

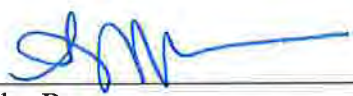
above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

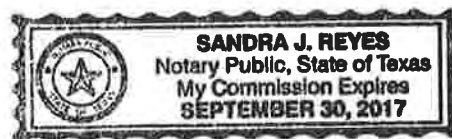
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170079
APPLICATION TITLE Palbociclib Synergizes with Autophagy Inhibitors to Induce senescence in Breast Cancer
APPLICANT NAME Keyomarsi, Khandan
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/14/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/24/16	10/19/16
	Applicant notified of review panel assignment	07/06/16 & 07/14/16	10/19/16
	Primary Reviewer 1 COI signed	07/17/16	10/19/16
	Primary Reviewer 2 COI signed	07/13/16	10/19/16
	Primary Reviewer 3 COI signed	06/24/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/10/16	10/19/16
	Primary Reviewer 2 critique submitted	08/03/16	10/19/16
	Primary Reviewer 3 critique submitted	07/31/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI Indicated by non-primary reviewer	Kast, W. Martin	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/19/16	10/19/16
4. Peer Review Meeting	Recommended for full review	YES	10/19/16
	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/09/16	10/19/16
	Primary Reviewer 2 COI signed	06/27/16	10/19/16
	Primary Reviewer 3 COI signed	06/20/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/20/16	10/19/16
	Primary Reviewer 2 critique submitted	09/06/16	10/19/16
	Primary Reviewer 3 critique submitted	09/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/18/16	10/19/16
	COI Indicated by non-primary reviewer	Kast, W. Martin	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
5. Final SRC Recommendation	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI Indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
6. PIC Review	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170095
Individual Investigator Research Awards for
Prevention and Early Detection

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 35 applications for this RFA, including 2 that were withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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



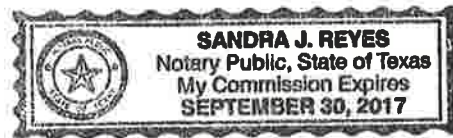
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards for Prevention and Early Detection (IIRAP)
APPLICATION ID RP170095
APPLICATION TITLE Exercise as an aid to smoking cessation in anxiety vulnerable adults
APPLICANT NAME Smits, Jasper
ORGANIZATION The University of Texas at Austin
PANEL NAME 17.1 Cancer Prevention Research (17.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/19/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/20/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	06/20/16	10/19/16
	Primary Reviewer 2 COI signed	06/23/16	10/19/16
	Primary Reviewer 3 COI signed	06/24/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	07/20/16	10/19/16
	Primary Reviewer 2 critique submitted	08/06/16	10/19/16
	Primary Reviewer 3 critique submitted	08/04/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
4. Peer Review Meeting	Recommended for full review	YES	10/19/16
	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	06/20/16	10/19/16
	Primary Reviewer 2 COI signed	06/21/16	10/19/16
	Primary Reviewer 3 COI signed	07/01/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/15/16	10/19/16
	Primary Reviewer 1 critique submitted	08/31/16	10/19/16
	Primary Reviewer 2 critique submitted	09/25/16	10/19/16
	Primary Reviewer 3 critique submitted	09/21/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/11/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/28/16*	10/19/16
	Post review statements signed	10/02/16	10/19/16
5. Final SRC Recommendation	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
6. PIC Review	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

*Third Party Observer was not present for the entire discussion of the application

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170114
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

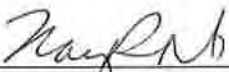
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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

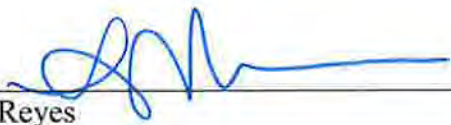
above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

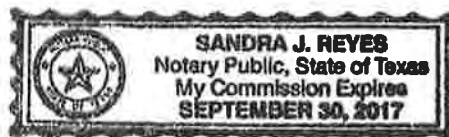
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP170114
 APPLICATION TITLE Mechanisms of Melanoma Metastasis
 APPLICANT NAME Morrison, Sean
 ORGANIZATION The University of Texas Southwestern Medical Center
 PANEL NAME 17.1 Cancer Biology (17.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/16/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/19/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/05/16	10/19/16
	Primary Reviewer 2 COI signed	06/29/16	10/19/16
	Primary Reviewer 3 COI signed	06/29/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/02/16	10/19/16
	Primary Reviewer 2 critique submitted	07/30/16	10/19/16
	Primary Reviewer 3 critique submitted	08/04/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	Fearon, Eric	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/16/16	10/19/16
	Primary Reviewer 1 COI signed	06/29/16	10/19/16
	Primary Reviewer 2 COI signed	06/26/16	10/19/16
	Primary Reviewer 3 COI signed	07/05/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	07/06/16	10/19/16
	Primary Reviewer 1 critique submitted	09/15/16	10/19/16
	Primary Reviewer 2 critique submitted	09/04/16	10/19/16
	Primary Reviewer 3 critique submitted	09/13/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/01/16	10/19/16
	COI indicated by non-primary reviewer	Fearon, Eric	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/23/16	10/19/16
	Post review statements signed	09/26/16	10/19/16
	Third Party Observer Report	09/28/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
5. Final SRC Recommendation	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI Indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170126
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

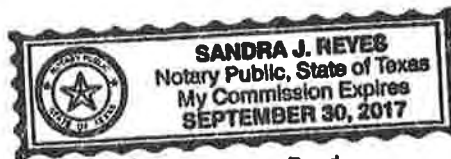
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP170126
 APPLICATION TITLE A Novel Pathway to Reduce BRCA1-Associated Breast Cancer Risk
 APPLICANT NAME Hu, Yanfen
 ORGANIZATION The University of Texas Health Science Center at San Antonio
 PANEL NAME 17.1 Basic Cancer Research-2 (17.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/16/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/25/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
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	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/03/16	10/17/16
	Primary Reviewer 2 critique submitted	08/09/16	10/17/16
	Primary Reviewer 3 critique submitted	08/09/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI Indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/16/16	10/17/16
	Recommended for full review	YES	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/17/16
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	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	08/02/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	08/22/16	10/17/16
	Primary Reviewer 1 critique submitted	09/14/16	10/17/16
	Primary Reviewer 2 critique submitted	09/09/16	10/17/16
	Primary Reviewer 3 critique submitted	09/11/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/12/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/22/16	10/17/16
	Post review statements signed	10/05/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
5. Final SRC Recommendation	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/17/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170144
Individual Investigator Research Awards for
Computational Biology

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Computational Biology* Request for Applications (RFA). CPRIT received 44 applications for this RFA, including 2 that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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



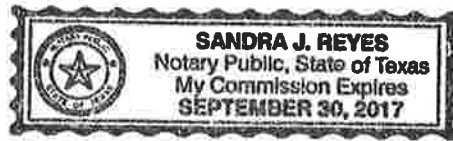
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards for Computational Biology (IIRACB) ♦
 APPLICATION ID RP170144
 APPLICATION TITLE Effective Exploitation Of Structural Data For Oncology
 APPLICANT NAME loerger, Thomas
 ORGANIZATION Texas A&M Engineering Experiment Station
 PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/18/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/24/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/05/16	10/19/16
	Primary Reviewer 2 COI signed	06/24/16	10/19/16
	Primary Reviewer 3 COI signed	07/07/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/13/16	10/19/16
	Primary Reviewer 2 critique submitted	08/19/16	10/19/16
	Primary Reviewer 3 critique submitted	08/09/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/19/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/05/16	10/19/16
	Primary Reviewer 2 COI signed	06/24/16	10/19/16
	Primary Reviewer 3 COI signed	07/07/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/21/16	10/19/16
	Primary Reviewer 2 critique submitted	09/21/16	10/19/16
	Primary Reviewer 3 critique submitted	09/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/13/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170146
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

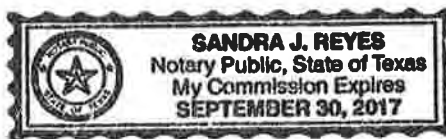
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170146
APPLICATION TITLE B Cell Receptor Signaling Intersects with Angiogenesis in Diffuse Large B Cell Lymphoma
APPLICANT NAME Aguiar, Ricardo
ORGANIZATION The University of Texas Health Science Center at San Antonio
PANEL NAME 17.1 Basic Cancer Research-2 (17.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/16/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/25/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	06/20/16	10/17/16
	Primary Reviewer 2 COI signed	07/06/16	10/17/16
	Primary Reviewer 3 COI signed	07/08/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
	Primary Reviewer 1 critique submitted	07/30/16	10/17/16
	Primary Reviewer 2 critique submitted	08/08/16	10/17/16
	Primary Reviewer 3 critique submitted	08/15/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/16/16	10/17/16
4. Peer Review Meeting	Recommended for full review	YES	10/17/16
	Applicant notified of outcome	09/14/16	10/17/16
	Assigned to primary reviewers	07/20/16	10/17/16
	Primary Reviewer 1 COI signed	06/20/16	10/17/16
	Primary Reviewer 2 COI signed	07/06/16	10/17/16
	Primary Reviewer 3 COI signed	07/08/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	08/22/16	10/17/16
	Primary Reviewer 1 critique submitted	09/04/16	10/17/16
	Primary Reviewer 2 critique submitted	09/18/16	10/17/16
	Primary Reviewer 3 critique submitted	09/19/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/12/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/22/16	10/17/16
	Post review statements signed	10/05/16	10/17/16
5. Final SRC Recommendation	Third Party Observer Report	09/28/16	10/17/16
	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
6. PIC Review	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
7. Oversight Committee Approval	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
7. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
7. Oversight Committee Approval	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170152
Individual Investigator Research Awards for
Cancer in Children and Adolescents

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 45 applications for this RFA, including 3 that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.


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

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

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

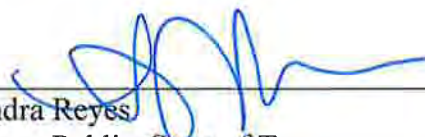
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

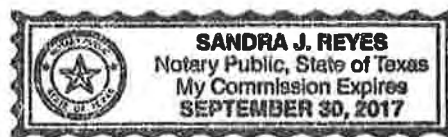
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP170152
APPLICATION TITLE Targeting the HNF4A and WNT/Beta-Catenin Pathways in Childhood Malignant Yolk Sac Tumors
APPLICANT NAME Amatruda, James
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
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	Applicant notified of review panel assignment	07/06/16	10/17/16
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	Primary Reviewer 3 critique submitted	08/04/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/10/16	10/17/16
	Recommended for full review	YES	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/17/16
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	Primary Reviewer 3 critique submitted	09/14/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	08/30/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
	Post review statements signed	09/21/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170169
Individual Investigator Research Awards for
Cancer in Children and Adolescents

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 45 applications for this RFA, including 3 that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

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


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

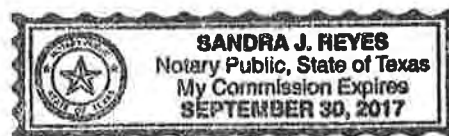
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
 APPLICATION ID RP170169
 APPLICATION TITLE High Throughput Combinatory Drug Screening for Pediatric Medulloblastomas With a Dysregulated EZH2 Pathway
 APPLICANT NAME Li, Xiao-Nan
 ORGANIZATION Baylor College of Medicine
 PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/18/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/24/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/09/16	10/19/16
	Primary Reviewer 2 COI signed	06/29/16	10/19/16
	Primary Reviewer 3 COI signed	06/23/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/02/16	10/19/16
	Primary Reviewer 2 critique submitted	08/09/16	10/19/16
	Primary Reviewer 3 critique submitted	07/24/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/19/16	10/19/16
	Recommended for full review	YES	10/19/16
	Applicant notified of outcome	09/14/16	10/19/16
4. Peer Review Meeting	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/09/16	10/19/16
	Primary Reviewer 2 COI signed	06/29/16	10/19/16
	Primary Reviewer 3 COI signed	06/23/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/11/16	10/19/16
	Primary Reviewer 1 critique submitted	09/20/16	10/19/16
	Primary Reviewer 2 critique submitted	09/20/16	10/19/16
	Primary Reviewer 3 critique submitted	09/16/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/26/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
5. Final SRC Recommendation	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170170
Individual Investigator Research Awards for
Computational Biology

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Computational Biology* Request for Applications (RFA). CPRIT received 44 applications for this RFA, including 2 that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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

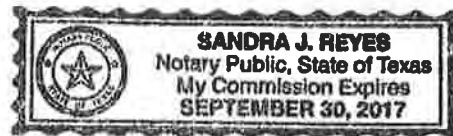


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1ST day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards for Computational Biology (IIRACB)
APPLICATION ID RP170170
APPLICATION TITLE Prediction of nuclear export signals in proteins
APPLICANT NAME Grishin, Nick
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 17.1 Basic Cancer Research-2 (17.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/18/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	10/17/16
	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/25/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	07/08/16	10/17/16
	Primary Reviewer 2 COI signed	06/22/16	10/17/16
	Primary Reviewer 3 COI signed	07/01/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
	Primary Reviewer 1 critique submitted	08/15/16	10/17/16
	Primary Reviewer 2 critique submitted	07/29/16	10/17/16
	Primary Reviewer 3 critique submitted	08/09/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/16/16	10/17/16
	Recommended for full review	YES	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/17/16
	Assigned to primary reviewers	07/20/16	10/17/16
	Primary Reviewer 1 COI signed	06/23/16	10/17/16
	Primary Reviewer 2 COI signed	07/08/16	10/17/16
	Primary Reviewer 3 COI signed	07/07/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	08/22/16	10/17/16
	Primary Reviewer 1 critique submitted	09/13/16	10/17/16
	Primary Reviewer 2 critique submitted	09/18/16	10/17/16
	Primary Reviewer 3 critique submitted	09/14/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/12/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/22/16	10/17/16
	Post review statements signed	10/05/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170207
Individual Investigator Research Awards for
Cancer in Children and Adolescents

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 45 applications for this RFA, including 3 that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.


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

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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

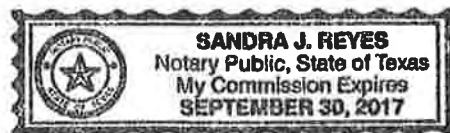
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP170207
APPLICATION TITLE BBB-penetrating redox-responsive smart drugs and exploiting the MGMT-driven S-phase checkpoint for chemotherapy of childhood brain cancers
APPLICANT NAME Srivenugopal, Kalkunte
ORGANIZATION Texas Tech University Health Sciences Center
PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
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	Date application submitted	05/23/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	NO	10/19/16
	Request for extension to submit application after CARS closed	05/16/16	10/19/16
	Request for extension for late application submission accepted	YES	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	06/20/16	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
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	Applicant notified of review panel assignment	07/06/16	10/19/16
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	Primary Reviewer 2 COI signed	07/05/16	10/19/16
	Primary Reviewer 3 COI signed	07/08/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	N/A	10/19/16
	Primary Reviewer 2 critique submitted	N/A	10/19/16
	Primary Reviewer 3 critique submitted	N/A	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	N/A	10/19/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/19/16
4. Peer Review Meeting	Recommended for full review	N/A	10/19/16
	Applicant notified of outcome	N/A	10/19/16
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	Primary Reviewer 3 COI signed	07/08/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/20/16	10/19/16
	Primary Reviewer 2 critique submitted	09/21/16	10/19/16
	Primary Reviewer 3 critique submitted	09/24/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/18/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
5. Final SRC Recommendation	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
6. PIC Review	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
7. Oversight Committee Approval	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170231
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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

above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170231
APPLICATION TITLE Identifying vulnerabilities in mutant p53 driven tumorigenesis
APPLICANT NAME Lozano, Guillermina
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/16/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/19/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	07/11/16	10/17/16
	Primary Reviewer 2 COI signed	06/30/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
	Primary Reviewer 1 critique submitted	08/04/16	10/17/16
	Primary Reviewer 2 critique submitted	08/05/16	10/17/16
	Primary Reviewer 3 critique submitted	07/19/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/10/16	10/17/16
	Recommended for full review	YES	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Primary Reviewer 1 COI signed	06/25/16	10/17/16
	Primary Reviewer 2 COI signed	07/08/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	09/09/16	10/17/16
	Primary Reviewer 2 critique submitted	09/14/16	10/17/16
	Primary Reviewer 3 critique submitted	09/09/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/02/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
	Post review statements signed	09/21/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
	Score report delivered to CSO	10/10/16	10/17/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/17/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170233
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

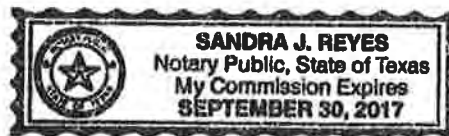
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170233

APPLICATION TITLE K-ras Spatiotemporal Dynamics: Novel Therapeutic Targets

APPLICANT NAME Hancock, John
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/12/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	07/09/16	10/17/16
	Primary Reviewer 2 COI signed	08/01/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	N/A	10/17/16
	Primary Reviewer 2 critique submitted	N/A	10/17/16
	Primary Reviewer 3 critique submitted	N/A	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	N/A	10/17/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/17/16
4. Peer Review Meeting	Recommended for full review	N/A	10/17/16
	Applicant notified of outcome	N/A	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Primary Reviewer 1 COI signed	07/09/16	10/17/16
	Primary Reviewer 2 COI signed	08/01/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	09/09/16	10/17/16
	Primary Reviewer 2 critique submitted	09/12/16	10/17/16
	Primary Reviewer 3 critique submitted	08/25/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/04/16	10/17/16
	COI indicated by non-primary reviewer	Haigis, Kevin	10/17/16
	COI indicated by non-primary reviewer	McMahon, Martin	10/17/16
	COI recused from participation	YES	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
	Post review statements signed	09/21/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
6. PIC Review	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170245
Early Translational Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Early Translational Research Awards* Request for Applications (RFA). CPRIT received 54 applications for this RFA. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

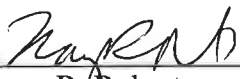
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating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

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

The Program Integration Committee (PIC) unanimously voted to defer three award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

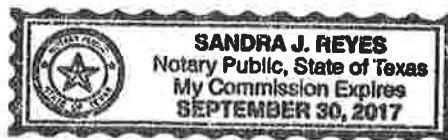
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Early Translational Research Awards (ETRA)
APPLICATION ID RP170245
APPLICATION TITLE Discovery of antibody-drug conjugates targeting a receptor broadly expressed in solid tumors
APPLICANT NAME Liu, Qingyun
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/19/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	06/20/16	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	06/29/16	10/19/16
	Primary Reviewer 2 COI signed	06/20/16	10/19/16
	Primary Reviewer 3 COI signed	06/29/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	10/19/16
	Primary Reviewer 2 critique submitted	N/A	10/19/16
	Primary Reviewer 3 critique submitted	N/A	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	N/A	10/19/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/19/16
	Recommended for full review	N/A	10/19/16
	Applicant notified of outcome	N/A	10/19/16
4. Peer Review Meeting	Assigned to primary reviewers	08/29/16	10/19/16
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	Primary Reviewer 2 COI signed	06/20/16	10/19/16
	Primary Reviewer 3 COI signed	06/29/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/14/16	10/19/16
	Primary Reviewer 2 critique submitted	09/24/16	10/19/16
	Primary Reviewer 3 critique submitted	09/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/18/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
5. Final SRC Recommendation	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
6. PIC Review	COI Indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
7. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170250
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

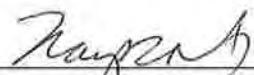
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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

above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

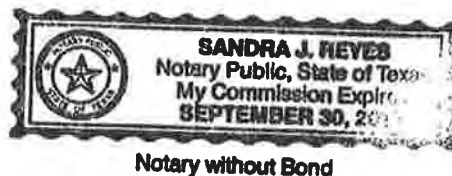
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP170250
 APPLICATION TITLE Regulation of 53BP1 by Novel 53BP1-Binding Proteins in DNA Repair
 APPLICANT NAME Chen, Junjie
 ORGANIZATION The University of Texas M. D. Anderson Cancer Center
 PANEL NAME 17.1 Basic Cancer Research-2 (17.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/14/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/25/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	06/20/16	10/17/16
	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	06/21/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
	Primary Reviewer 1 critique submitted	08/03/16	10/17/16
	Primary Reviewer 2 critique submitted	08/09/16	10/17/16
	Primary Reviewer 3 critique submitted	08/10/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/16/16	10/17/16
4. Peer Review Meeting	Recommended for full review	YES	10/17/16
	Applicant notified of outcome	09/14/16	10/17/16
	Assigned to primary reviewers	07/20/16	10/17/16
	Primary Reviewer 1 COI signed	06/20/16	10/17/16
	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	06/21/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	08/22/16	10/17/16
	Primary Reviewer 1 critique submitted	09/13/16	10/17/16
	Primary Reviewer 2 critique submitted	09/09/16	10/17/16
	Primary Reviewer 3 critique submitted	09/13/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/12/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/22/16	10/17/16
	Post review statements signed	10/05/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI Indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
6. PIC Review	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI Indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170259
Research Training Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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


My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Research Training Awards* Request for Applications (RFA). CPRIT received nine applications for this RFA. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

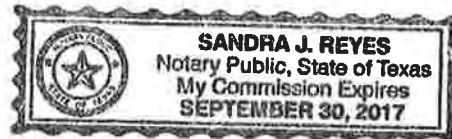
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards (RTA)
APPLICATION ID RP170259
APPLICATION TITLE CPRIT Cancer Prevention Research Training Program
APPLICANT NAME Chang, Shine
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 17.1 Cancer Prevention Research (17.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/14/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	10/19/16
	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	06/20/16	10/19/16
	Primary Reviewer 2 COI signed	06/27/16	10/19/16
	Primary Reviewer 3 COI signed	07/06/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	08/15/16	10/19/16
	Primary Reviewer 1 critique submitted	N/A	10/19/16
	Primary Reviewer 2 critique submitted	N/A	10/19/16
	Primary Reviewer 3 critique submitted	N/A	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	N/A	10/19/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/19/16
	Recommended for full review	N/A	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	06/20/16	10/19/16
	Primary Reviewer 2 COI signed	06/27/16	10/19/16
	Primary Reviewer 3 COI signed	07/06/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/15/16	10/19/16
	Primary Reviewer 1 critique submitted	09/10/16	10/19/16
	Primary Reviewer 2 critique submitted	08/23/16	10/19/16
	Primary Reviewer 3 critique submitted	09/08/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/18/16	10/19/16
	COI indicated by non-primary reviewer	Paskett, Electra	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/28/16	10/19/16
	Post review statements signed	10/02/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI Indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI Indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170295
Individual Investigator Research Awards for
Prevention and Early Detection

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 35 applications for this RFA, including 2 that were withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as "Final Scores for Fully Reviewed Applications.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).


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



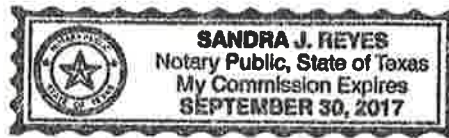
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards for Prevention and Early Detection (IIRAP)
APPLICATION ID RP170295
APPLICATION TITLE Developing Effective Epigenetic Biomarkers to Identify Individuals with High Risk of Cancer
APPLICANT NAME Waterland, Robert
ORGANIZATION Baylor College of Medicine
PANEL NAME 17.1 Cancer Prevention Research (17.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/17/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/20/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/01/16	10/19/16
	Primary Reviewer 2 COI signed	07/06/16	10/19/16
	Primary Reviewer 3 COI signed	06/20/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	07/29/16	10/19/16
	Primary Reviewer 2 critique submitted	08/02/16	10/19/16
	Primary Reviewer 3 critique submitted	07/24/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	07/01/16	10/19/16
	Primary Reviewer 2 COI signed	07/06/16	10/19/16
	Primary Reviewer 3 COI signed	07/01/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/15/16	10/19/16
	Primary Reviewer 1 critique submitted	09/25/16	10/19/16
	Primary Reviewer 2 critique submitted	09/08/16	10/19/16
	Primary Reviewer 3 critique submitted	09/07/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/11/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/28/16*	10/19/16
	Post review statements signed	10/02/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

*Third Party Observer was not physically present but on the telephone for the entire discussion of the application.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170301
Research Training Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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


My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Research Training Awards* Request for Applications (RFA). CPRIT received nine applications for this RFA. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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

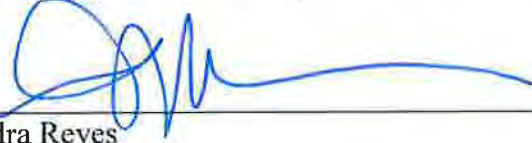
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

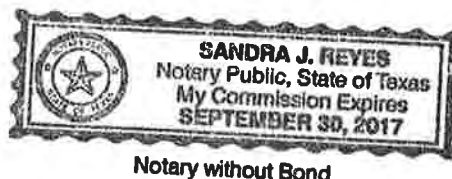
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards (RTA)
APPLICATION ID RP170301
APPLICATION TITLE Osteopathic Scholars in Cancer Research (OSCR)
APPLICANT NAME Vishwanatha, Jamboor
ORGANIZATION University of North Texas Health Science Center at Fort Worth
PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/19/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	06/27/16	10/17/16
	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	N/A	10/17/16
	Primary Reviewer 2 critique submitted	N/A	10/17/16
	Primary Reviewer 3 critique submitted	N/A	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	N/A	10/17/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/17/16
	Recommended for full review	N/A	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Primary Reviewer 1 COI signed	06/27/16	10/17/16
	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	09/07/16	10/17/16
	Primary Reviewer 2 critique submitted	09/14/16	10/17/16
	Primary Reviewer 3 critique submitted	09/08/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/09/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
	Post review statements signed	09/21/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
	Score report delivered to CSO	10/10/16	10/17/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	10/17/16
	COI Indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/17/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI Indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170307
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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

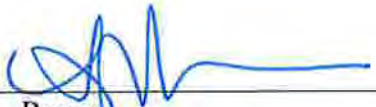
above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

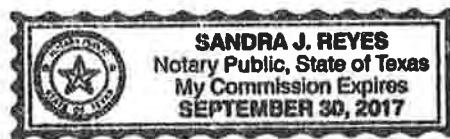
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1ST day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170307
APPLICATION TITLE Biomarker-Based Treatment of Poor Prognostic Mesenchymal Subtype in Gastric Cancer
APPLICANT NAME Lee, Ju-Seog
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/17/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/24/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/09/16	10/19/16
	Primary Reviewer 2 COI signed	07/09/16	10/19/16
	Primary Reviewer 3 COI signed	07/07/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/10/16	10/19/16
	Primary Reviewer 2 critique submitted	08/02/16	10/19/16
	Primary Reviewer 3 critique submitted	08/09/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/19/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/09/16	10/19/16
	Primary Reviewer 2 COI signed	07/09/16	10/19/16
	Primary Reviewer 3 COI signed	07/07/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/11/16	10/19/16
	Primary Reviewer 1 critique submitted	09/25/16	10/19/16
	Primary Reviewer 2 critique submitted	09/20/16	10/19/16
	Primary Reviewer 3 critique submitted	09/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/26/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170314
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

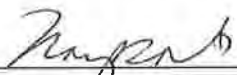
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

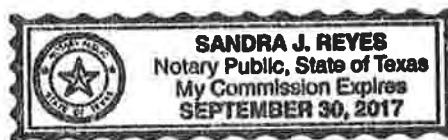
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP170314
 APPLICATION TITLE Biodegradable nanoclusters for molecular cancer imaging
 APPLICANT NAME Sokolov, Konstantin
 ORGANIZATION The University of Texas M. D. Anderson Cancer Center
 PANEL NAME 17.1 Imaging Technology and Informatics (17.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/18/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	10/19/16
	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/20/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/07/16	10/19/16
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	Primary Reviewer 2 critique submitted	08/07/16	10/19/16
	Primary Reviewer 3 critique submitted	07/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI Indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	07/07/16	10/19/16
	Primary Reviewer 2 COI signed	08/13/16	10/19/16
	Primary Reviewer 3 COI signed	06/24/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/24/16	10/19/16
	Primary Reviewer 2 critique submitted	09/22/16	10/19/16
	Primary Reviewer 3 critique submitted	09/17/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	08/25/16	10/19/16
	COI Indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/26/16	10/19/16
	Post review statements signed	10/05/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI Indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI Indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170317
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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

above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

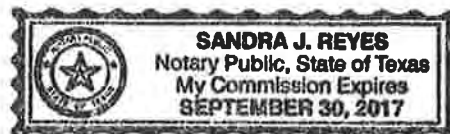
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP170317
 APPLICATION TITLE Developing Effective Immunotherapeutic Strategies for Advanced Uveal Melanoma
 APPLICANT NAME Woodman, Scott
 ORGANIZATION The University of Texas M. D. Anderson Cancer Center
 PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/18/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/24/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/08/16	10/19/16
	Primary Reviewer 2 COI signed	06/27/16	10/19/16
	Primary Reviewer 3 COI signed	06/27/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/10/16	10/19/16
	Primary Reviewer 2 critique submitted	07/31/16	10/19/16
	Primary Reviewer 3 critique submitted	08/10/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	Van Allen, Eliezer	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/19/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/08/16	10/19/16
	Primary Reviewer 2 COI signed	06/25/16	10/19/16
	Primary Reviewer 3 COI signed	06/27/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/20/16	10/19/16
	Primary Reviewer 2 critique submitted	09/05/16	10/19/16
	Primary Reviewer 3 critique submitted	09/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/17/16	10/19/16
	COI indicated by non-primary reviewer	Van Allen, Eliezer	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
6. PIC Review	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170330
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

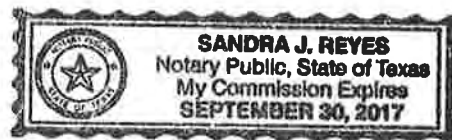
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 15th day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170330
APPLICATION TITLE A Novel GRK3-EZH2 Regulatory Pathway in Prostate Cancer Progression
APPLICANT NAME Li, Wenliang
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/19/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	10/17/16
	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/19/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	06/22/16	10/17/16
	Primary Reviewer 2 COI signed	07/01/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
	Primary Reviewer 1 critique submitted	08/02/16	10/17/16
	Primary Reviewer 2 critique submitted	08/04/16	10/17/16
	Primary Reviewer 3 critique submitted	08/02/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
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	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	09/07/16	10/17/16
	Primary Reviewer 2 critique submitted	08/27/16	10/17/16
	Primary Reviewer 3 critique submitted	09/08/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/05/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
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	Recommended for SRC Review	YES	10/17/16
	COI Indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170336
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

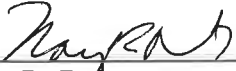
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

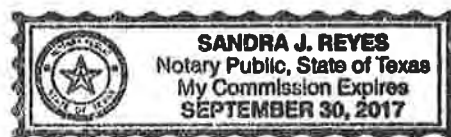
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170336
APPLICATION TITLE Preclinical Analyses of NAD Kinase as a Redox Vulnerability for the Treatment of Pancreatic Cancer
APPLICANT NAME Scott, Kenneth
ORGANIZATION Baylor College of Medicine
PANEL NAME 17.1 Basic Cancer Research-2 (17.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/16/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/20/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	07/06/16	10/17/16
	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	07/05/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	08/22/16	10/17/16
	Primary Reviewer 1 critique submitted	N/A	10/17/16
	Primary Reviewer 2 critique submitted	N/A	10/17/16
	Primary Reviewer 3 critique submitted	N/A	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	N/A	10/17/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/17/16
	Recommended for full review	N/A	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	10/17/16
	Assigned to primary reviewers	07/20/16	10/17/16
	Primary Reviewer 1 COI signed	07/06/16	10/17/16
	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	07/05/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	08/22/16	10/17/16
	Primary Reviewer 1 critique submitted	09/18/16	10/17/16
	Primary Reviewer 2 critique submitted	09/07/16	10/17/16
	Primary Reviewer 3 critique submitted	09/19/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/12/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/22/16	10/17/16
	Post review statements signed	10/05/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
	Score report delivered to CSO	10/10/16	10/17/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170345
Research Training Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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


My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Research Training Awards* Request for Applications (RFA). CPRIT received nine applications for this RFA. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards (RTA)
APPLICATION ID RP170345
APPLICATION TITLE UTHSCSA Cancer Research Training Program
APPLICANT NAME Oyajobi, Babatunde
ORGANIZATION The University of Texas Health Science Center at San Antonio
PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/19/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	07/01/16	10/17/16
	Primary Reviewer 2 COI signed	07/08/16	10/17/16
	Primary Reviewer 3 COI signed	08/08/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	N/A	10/17/16
	Primary Reviewer 2 critique submitted	N/A	10/17/16
	Primary Reviewer 3 critique submitted	N/A	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI Indicated by non-primary reviewer	N/A	10/17/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/17/16
	Recommended for full review	N/A	10/17/16
	Applicant notified of outcome	N/A	10/17/16
4. Peer Review Meeting	Assigned to primary reviewers	08/19/16	10/17/16
	Primary Reviewer 1 COI signed	07/01/16	10/17/16
	Primary Reviewer 2 COI signed	07/08/16	10/17/16
	Primary Reviewer 3 COI signed	08/08/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	09/10/16	10/17/16
	Primary Reviewer 2 critique submitted	09/11/16	10/17/16
	Primary Reviewer 3 critique submitted	08/31/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/11/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
	Post review statements signed	09/21/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI Indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170366
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170366
APPLICATION TITLE Optimizing Chemoradiation Strategies by Tumor Metabolism
APPLICANT NAME Lai, Stephen
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 17.1 Imaging Technology and Informatics (17.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/16/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	10/19/16
	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/20/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	06/20/16	10/19/16
	Primary Reviewer 2 COI signed	06/21/16	10/19/16
	Primary Reviewer 3 COI signed	06/20/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	07/24/16	10/19/16
	Primary Reviewer 2 critique submitted	08/05/16	10/19/16
	Primary Reviewer 3 critique submitted	08/06/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	06/20/16	10/19/16
	Primary Reviewer 2 COI signed	07/02/16	10/19/16
	Primary Reviewer 3 COI signed	06/20/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/11/16	10/19/16
	Primary Reviewer 1 critique submitted	09/11/16	10/19/16
	Primary Reviewer 2 critique submitted	09/08/16	10/19/16
	Primary Reviewer 3 critique submitted	09/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/19/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/26/16	10/19/16
	Post review statements signed	10/05/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170382
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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

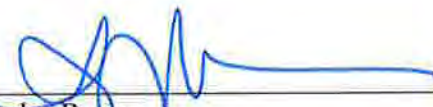
above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP170382
 APPLICATION TITLE Primary Cilia in Cell Cycle Control and Tumorigenesis
 APPLICANT NAME Zhong, Qing
 ORGANIZATION The University of Texas Southwestern Medical Center
 PANEL NAME 17.1 Basic Cancer Research-2 (17.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/18/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/25/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	07/24/16	10/17/16
	Primary Reviewer 2 COI signed	07/07/16	10/17/16
	Primary Reviewer 3 COI signed	07/06/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
	Primary Reviewer 1 critique submitted	08/06/16	10/17/16
	Primary Reviewer 2 critique submitted	08/10/16	10/17/16
	Primary Reviewer 3 critique submitted	08/08/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/16/16	10/17/16
	Recommended for full review	YES	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/17/16
	Assigned to primary reviewers	07/20/16	10/17/16
	Primary Reviewer 1 COI signed	07/07/16	10/17/16
	Primary Reviewer 2 COI signed	07/06/16	10/17/16
	Primary Reviewer 3 COI signed	07/07/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	08/15/16	10/17/16
	Primary Reviewer 1 critique submitted	09/18/16	10/17/16
	Primary Reviewer 2 critique submitted	09/18/16	10/17/16
	Primary Reviewer 3 critique submitted	09/16/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/14/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/22/16	10/17/16
	Post review statements signed	10/05/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170387
Individual Investigator Research Awards for
Computational Biology

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Computational Biology* Request for Applications (RFA). CPRIT received 44 applications for this RFA, including 2 that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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


The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).


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



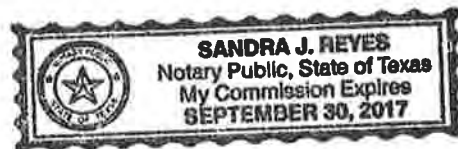
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards for Computational Biology (IIRACB)
APPLICATION ID RP170387
APPLICATION TITLE Development and Validation of a Network-guided, Multi-objective Optimization Model for Cancer Data Analysis
APPLICANT NAME Liu, Zhandong
ORGANIZATION Baylor College of Medicine
PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/19/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
	Administrative review notification	N/A	10/17/16
2. Receipt, Referral, and Assignment	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/19/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	07/15/16	10/17/16
	Primary Reviewer 2 COI signed	07/01/16	10/17/16
	Primary Reviewer 3 COI signed	06/27/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/08/16	10/17/16
	Primary Reviewer 2 critique submitted	08/06/16	10/17/16
	Primary Reviewer 3 critique submitted	07/25/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/10/16	10/17/16
	Recommended for full review	YES	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Primary Reviewer 1 COI signed	08/07/16	10/17/16
	Primary Reviewer 2 COI signed	06/20/16	10/17/16
	Primary Reviewer 3 COI signed	06/27/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	09/12/16	10/17/16
	Primary Reviewer 2 critique submitted	09/12/16	10/17/16
	Primary Reviewer 3 critique submitted	09/10/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/11/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
	Post review statements signed	09/21/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
5. Final SRC Recommendation	SRC Meeting	10/13/16	10/17/16
	Thlrd Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
6. PIC Review	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
7. Oversight Committee Approval	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170399
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

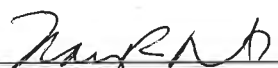
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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

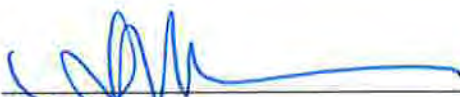
above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes

Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP170399
 APPLICATION TITLE Elimination of hypoxia sensitizes resistant solid tumors to immunotherapy
 APPLICANT NAME Curran, Michael
 ORGANIZATION The University of Texas M. D. Anderson Cancer Center
 PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/18/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	06/27/16	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/19/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	07/11/16	10/17/16
	Primary Reviewer 2 COI signed	07/15/16	10/17/16
	Primary Reviewer 3 COI signed	06/27/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
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	Primary Reviewer 2 critique submitted	08/08/16	10/17/16
	Primary Reviewer 3 critique submitted	08/04/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/10/16	10/17/16
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4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/17/16
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	Primary Reviewer 2 COI signed	08/07/16	10/17/16
	Primary Reviewer 3 COI signed	06/27/16	10/17/16
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	Primary Reviewer 1 critique submitted	09/09/16	10/17/16
	Primary Reviewer 2 critique submitted	09/20/16	10/17/16
	Primary Reviewer 3 critique submitted	09/12/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/05/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
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5. Final SRC Recommendation	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170401
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

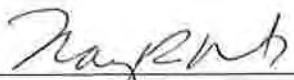
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170401
APPLICATION TITLE Targeting The Glycolysis Pathway To Overcome Resistance To Cancer Immunotherapy
APPLICANT NAME Hwu, Patrick
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/18/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/24/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	06/24/16	10/19/16
	Primary Reviewer 2 COI signed	06/27/16	10/19/16
	Primary Reviewer 3 COI signed	06/27/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/12/16	10/19/16
	Primary Reviewer 2 critique submitted	07/31/16	10/19/16
	Primary Reviewer 3 critique submitted	08/10/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/19/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	06/20/16	10/19/16
	Primary Reviewer 2 COI signed	06/25/16	10/19/16
	Primary Reviewer 3 COI signed	06/27/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/11/16	10/19/16
	Primary Reviewer 1 critique submitted	09/24/16	10/19/16
	Primary Reviewer 2 critique submitted	09/05/16	10/19/16
	Primary Reviewer 3 critique submitted	09/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/26/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
6. PIC Review	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170427
Early Translational Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Early Translational Research Awards* Request for Applications (RFA). CPRIT received 54 applications for this RFA. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.


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

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

The Program Integration Committee (PIC) unanimously voted to defer three award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

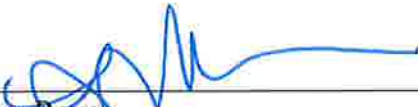
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

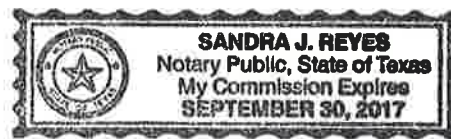
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Early Translational Research Awards (ETRA)
APPLICATION ID RP170427
APPLICATION TITLE Ambient Mass Spectrometry for Preoperative Molecular
Diagnosis of Thyroid Fine Needle Aspirate Biopsies
APPLICANT NAME Schiavinato Eberlin, Livia
ORGANIZATION The University of Texas at Austin
PANEL NAME 17.1 Imaging Technology and Informatics (17.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/19/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/01/16	10/19/16
	Primary Reviewer 2 COI signed	06/20/16	10/19/16
	Primary Reviewer 3 COI signed	07/07/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	N/A	10/19/16
	Primary Reviewer 2 critique submitted	N/A	10/19/16
	Primary Reviewer 3 critique submitted	N/A	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	N/A	10/19/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/19/16
4. Peer Review Meeting	Recommended for full review	N/A	10/19/16
	Applicant notified of outcome	N/A	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	07/01/16	10/19/16
	Primary Reviewer 2 COI signed	06/20/16	10/19/16
	Primary Reviewer 3 COI signed	07/07/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/19/16	10/19/16
	Primary Reviewer 2 critique submitted	09/14/16	10/19/16
	Primary Reviewer 3 critique submitted	09/19/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/08/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/26/16	10/19/16
	Post review statements signed	10/05/16	10/19/16
5. Final SRC Recommendation	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI Indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
6. PIC Review	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170466
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

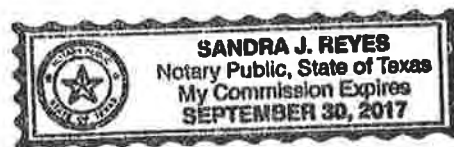
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 15th day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards (IIRA)
 APPLICATION ID RP170466
 APPLICATION TITLE Targeting the Inflammatory Cancer Stem Cell Microenvironment of Triple Negative Breast Cancer with Leukocyte-mimetic Nanovesicles
 APPLICANT NAME Tasciotti, Ennio
 ORGANIZATION The Methodist Hospital Research Institute
 PANEL NAME 17.1 Imaging Technology and Informatics (17.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/17/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	10/19/16
	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/20/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	06/27/16	10/19/16
	Primary Reviewer 2 COI signed	07/13/16	10/19/16
	Primary Reviewer 3 COI signed	07/07/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/05/16	10/19/16
	Primary Reviewer 2 critique submitted	08/07/16	10/19/16
	Primary Reviewer 3 critique submitted	07/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	07/10/16	10/19/16
	Primary Reviewer 2 COI signed	08/13/16	10/19/16
	Primary Reviewer 3 COI signed	06/24/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/17/16	10/19/16
	Primary Reviewer 2 critique submitted	09/22/16	10/19/16
	Primary Reviewer 3 critique submitted	09/17/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	08/30/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/26/16	10/19/16
	Post review statements signed	10/05/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI Indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170470
Individual Investigator Research Awards for
Cancer in Children and Adolescents

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 45 applications for this RFA, including 3 that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.


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

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

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

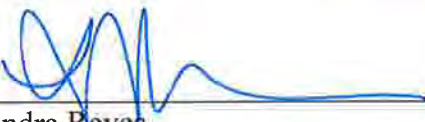
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

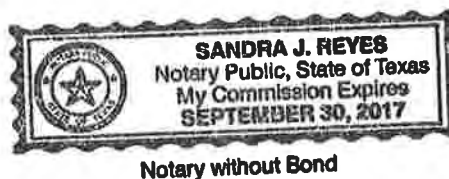
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
APPLICATION ID RP170470
APPLICATION TITLE OCT4/c-MYC axis as a mechanism of resistance to 13-cis retinoic acid in neuroblastoma
APPLICANT NAME Kang, Min
ORGANIZATION Texas Tech University Health Sciences Center
PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/13/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	10/19/16
	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/11/16	10/19/16
	Primary Reviewer 2 COI signed	07/09/16	10/19/16
	Primary Reviewer 3 COI signed	07/09/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	N/A	10/19/16
	Primary Reviewer 2 critique submitted	N/A	10/19/16
	Primary Reviewer 3 critique submitted	N/A	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	N/A	10/19/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/19/16
	Recommended for full review	N/A	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/11/16	10/19/16
	Primary Reviewer 2 COI signed	07/09/16	10/19/16
	Primary Reviewer 3 COI signed	07/09/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/23/16	10/19/16
	Primary Reviewer 2 critique submitted	09/22/16	10/19/16
	Primary Reviewer 3 critique submitted	09/20/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/18/16	10/19/16
	COI indicated by non-primary reviewer	Kast, W. Martin	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170488
Individual Investigator Research Awards for
Cancer in Children and Adolescents

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 45 applications for this RFA, including 3 that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.


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

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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

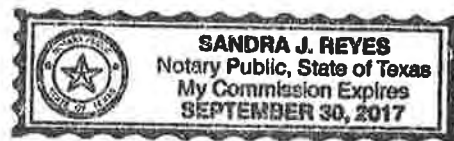
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and AdolescentS (IRACCA)
 APPLICATION ID RP170488
 APPLICATION TITLE Mechanisms of Notch Dysregulation in Pediatric Osteosarcoma
 APPLICANT NAME Lee, Brendan
 ORGANIZATION Baylor College of Medicine
 PANEL NAME 17.1 Basic Cancer Research-2 (17.1 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/17/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	07/25/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	07/07/16	10/17/16
	Primary Reviewer 2 COI signed	07/06/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/17/16
	Primary Reviewer 1 critique submitted	08/10/16	10/17/16
	Primary Reviewer 2 critique submitted	08/03/16	10/17/16
	Primary Reviewer 3 critique submitted	08/09/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI Indicated by non-primary reviewer	NONE	10/17/16
	Preliminary Evaluation score summary sent to Chair	08/16/16	10/17/16
4. Peer Review Meeting	Recommended for full review	YES	10/17/16
	Applicant notified of outcome	09/14/16	10/17/16
	Assigned to primary reviewers	07/20/16	10/17/16
	Primary Reviewer 1 COI signed	07/07/16	10/17/16
	Primary Reviewer 2 COI signed	08/02/16	10/17/16
	Primary Reviewer 3 COI signed	06/20/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	08/15/16	10/17/16
	Primary Reviewer 1 critique submitted	09/18/16	10/17/16
	Primary Reviewer 2 critique submitted	09/11/16	10/17/16
	Primary Reviewer 3 critique submitted	09/14/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/14/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/22/16	10/17/16
5. Final SRC Recommendation	Post review statements signed	10/05/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
	Score report delivered to CSO	10/10/16	10/17/16
	Recommended for SRC Review	YES	10/17/16
	COI indicated by SRC member	NONE	10/17/16
6. PIC Review	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
7. Oversight Committee Approval	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
7. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
7. Oversight Committee Approval	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170493
Individual Investigator Research Awards for
Prevention and Early Detection

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 35 applications for this RFA, including 2 that were withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

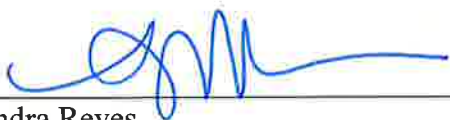
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



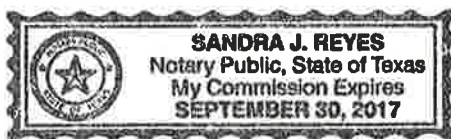
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards for Prevention and Early Detection (IIRAP)
APPLICATION ID RP170493
APPLICATION TITLE For Our Children: A tailored multi-level intervention for parents and healthcare providers to increase HPV vaccination rates
APPLICANT NAME Fernandez, Maria
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME 17.1 Cancer Prevention Research (17.1 CPR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/19/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	06/28/16	10/19/16
	Primary Reviewer 2 COI signed	07/05/16	10/19/16
	Primary Reviewer 3 COI signed	07/06/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/15/16	10/19/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	10/19/16
	Primary Reviewer 2 critique submitted	N/A	10/19/16
	Primary Reviewer 3 critique submitted	N/A	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	N/A	10/19/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/19/16
	Recommended for full review	N/A	10/19/16
	Applicant notified of outcome	N/A	10/19/16
4. Peer Review Meeting	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	06/28/16	10/19/16
	Primary Reviewer 2 COI signed	07/05/16	10/19/16
	Primary Reviewer 3 COI signed	07/06/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/15/16	10/19/16
	Primary Reviewer 1 critique submitted	09/05/16	10/19/16
	Primary Reviewer 2 critique submitted	09/19/16	10/19/16
	Primary Reviewer 3 critique submitted	09/07/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/11/16	10/19/16
	COI indicated by non-primary reviewer	Kushi, Lawrence	10/19/16
	COI recused from participation	YES	10/19/16
	COI indicated by non-primary reviewer	Brandon, Thomas	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/28/16*	10/19/16
	Post review statements signed	10/02/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
6. PIC Review	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

*Third Party Observer was not physically present but on the telephone for the entire discussion of the application.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170496
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

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

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

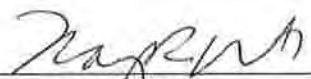
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors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

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

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


above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

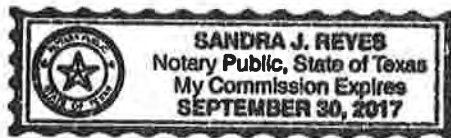
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170496
APPLICATION TITLE Targeting a Growth and Survival Pathway in Bone Tumor Cells.
APPLICANT NAME Gregory, Carl
ORGANIZATION Texas A&M University System Health Science Center
PANEL NAME 17.1 Cancer Biology (17.1 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/19/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	06/17/16	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/19/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/12/16	10/19/16
	Primary Reviewer 2 COI signed	06/22/16	10/19/16
	Primary Reviewer 3 COI signed	07/01/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/08/16	10/19/16
	Primary Reviewer 2 critique submitted	08/05/16	10/19/16
	Primary Reviewer 3 critique submitted	08/05/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	Lawlor, Elizabeth	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/16/16	10/19/16
	Primary Reviewer 1 COI signed	06/23/16	10/19/16
	Primary Reviewer 2 COI signed	07/12/16	10/19/16
	Primary Reviewer 3 COI signed	07/01/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	07/06/16	10/19/16
	Primary Reviewer 1 critique submitted	08/30/16	10/19/16
	Primary Reviewer 2 critique submitted	09/14/16	10/19/16
	Primary Reviewer 3 critique submitted	09/14/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/03/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/23/16	10/19/16
	Post review statements signed	09/26/16	10/19/16
5. Final SRC Recommendation	Third Party Observer Report	09/28/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
6. PIC Review	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
7. Oversight Committee Approval	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
7. Oversight Committee Approval	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170508
Individual Investigator Research Awards for
Prevention and Early Detection

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 35 applications for this RFA, including 2 that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

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

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

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C) , it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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



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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards for Prevention and Early Detection (IIRAP)
 APPLICATION ID RP170508
 APPLICATION TITLE Structural Modeling of Peptide-HLA Complexes Presenting a Melanoma-Associated Antigen for Cross-Reactivity Assessment
 APPLICANT NAME Kavraki, Lydia
 ORGANIZATION Rice University
 PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/19/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	10/19/16
	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/24/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/08/16	10/19/16
	Primary Reviewer 2 COI signed	07/01/16	10/19/16
	Primary Reviewer 3 COI signed	06/20/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/14/16	10/19/16
	Primary Reviewer 2 critique submitted	08/09/16	10/19/16
	Primary Reviewer 3 critique submitted	08/09/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/19/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/08/16	10/19/16
	Primary Reviewer 2 COI signed	07/01/16	10/19/16
	Primary Reviewer 3 COI signed	06/20/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/20/16	10/19/16
	Primary Reviewer 2 critique submitted	09/21/16	10/19/16
	Primary Reviewer 3 critique submitted	09/22/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/17/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
5. Final SRC Recommendation	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170510
Individual Investigator Research Awards for
Cancer in Children and Adolescents

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 45 applications for this RFA, including 3 that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

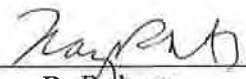
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

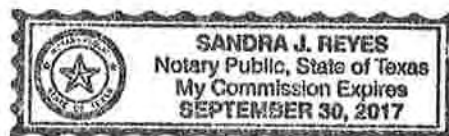
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 1
 PROGRAM Research
 AWARD MECHANISM Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA)
 APPLICATION ID RP170510
 APPLICATION TITLE Telomere Maintenance Mechanisms in Neuroblastoma
 APPLICANT NAME Reynolds, Charles
 ORGANIZATION Texas Tech University Health Sciences Center
 PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/13/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/24/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	07/07/16	10/19/16
	Primary Reviewer 2 COI signed	07/17/16	10/19/16
	Primary Reviewer 3 COI signed	06/23/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	08/09/16	10/19/16
	Primary Reviewer 2 critique submitted	08/11/16	10/19/16
	Primary Reviewer 3 critique submitted	07/24/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	Grupp, Stephan	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/19/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/07/16	10/19/16
	Primary Reviewer 2 COI signed	07/03/16	10/19/16
	Primary Reviewer 3 COI signed	06/23/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/19/16
	Primary Reviewer 1 critique submitted	09/20/16	10/19/16
	Primary Reviewer 2 critique submitted	09/20/16	10/19/16
	Primary Reviewer 3 critique submitted	09/16/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/18/16	10/19/16
	COI indicated by non-primary reviewer	Grupp, Stephan	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
6. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
7. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170537
Early Translational Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Early Translational Research Awards* Request for Applications (RFA). CPRIT received 54 applications for this RFA. This application was assigned to the Clinical and Translational Cancer Research/Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

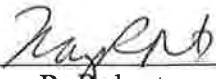
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating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

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

The Program Integration Committee (PIC) unanimously voted to defer three award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

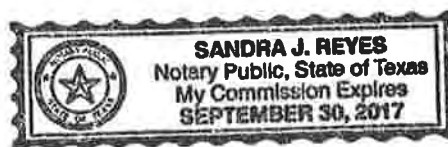
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Early Translational Research Awards (ETRA)
APPLICATION ID RP170537
APPLICATION TITLE Identification of novel immune targets and neoantigens for development of immunotherapy for breast cancer
APPLICANT NAME Wang, Rongfu
ORGANIZATION The Methodist Hospital Research Institute
PANEL NAME 17.1 Clinical / Translational Cancer Research (17.1 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/19/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	08/29/16	10/19/16
	Applicant notified of review panel assignment	07/06/16 & 07/14/16	10/19/16
	Primary Reviewer 1 COI signed	07/20/16	10/19/16
	Primary Reviewer 2 COI signed	06/28/16	10/19/16
	Primary Reviewer 3 COI signed	07/08/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/11/16	10/19/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	10/19/16
	Primary Reviewer 2 critique submitted	N/A	10/19/16
	Primary Reviewer 3 critique submitted	N/A	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	N/A	10/19/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/19/16
	Recommended for full review	N/A	10/19/16
	Applicant notified of outcome	N/A	10/19/16
4. Peer Review Meeting	Assigned to primary reviewers	08/29/16	10/19/16
	Primary Reviewer 1 COI signed	07/20/16	10/19/16
	Primary Reviewer 2 COI signed	06/28/16	10/19/16
	Primary Reviewer 3 COI signed	07/08/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/11/16	10/19/16
	Primary Reviewer 1 critique submitted	09/25/16	10/19/16
	Primary Reviewer 2 critique submitted	09/18/16	10/19/16
	Primary Reviewer 3 critique submitted	09/24/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/26/16	10/19/16
	COI indicated by non-primary reviewer	Sette, Alessandro	10/19/16
	COI recused from participation	YES	10/19/16
	COI indicated by non-primary reviewer	Kast, W. Martin	10/19/16
	COI recused from participation	YES	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/27/16	10/19/16
	Post review statements signed	10/11/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
5. Final SRC Recommendation	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
6. PIC Review	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
7. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170564
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 292 applications for this RFA, including 5 that were later withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as “Final Scores for Fully Reviewed Applications.

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.


The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

The Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed

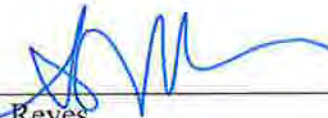
above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

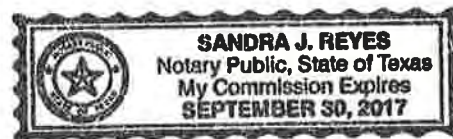
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Individual Investigator Research Awards (IIRA)
APPLICATION ID RP170564

APPLICATION TITLE Super-resolution imaging of tumor angiogenesis in deep tissue with high specificity and sensitivity

APPLICANT NAME Yuan, Baohong
ORGANIZATION The University of Texas at Arlington
PANEL NAME 17.1 Imaging Technology and Informatics (17.1 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/19/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/19/16
	Date application submitted	05/19/16	10/19/16
	Method of submission	CARS	10/19/16
	Within receipt period	YES	10/19/16
	Request for extension to submit application after CARS closed	N/A	10/19/16
	Request for extension for late application submission accepted	N/A	10/19/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/19/16
	Donation(s) made to CPRIT/foundation	NO	10/19/16
	Assigned to primary reviewers	07/20/16	10/19/16
	Applicant notified of review panel assignment	07/06/16	10/19/16
	Primary Reviewer 1 COI signed	06/27/16	10/19/16
	Primary Reviewer 2 COI signed	06/21/16	10/19/16
	Primary Reviewer 3 COI signed	07/05/16	10/19/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	10/19/16
	Primary Reviewer 1 critique submitted	07/31/16	10/19/16
	Primary Reviewer 2 critique submitted	08/05/16	10/19/16
	Primary Reviewer 3 critique submitted	08/05/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	Preliminary Evaluation score summary sent to Chair	08/08/16	10/19/16
	Recommended for full review	YES	10/19/16
4. Peer Review Meeting	Applicant notified of outcome	09/14/16	10/19/16
	Assigned to primary reviewers	08/17/16	10/19/16
	Primary Reviewer 1 COI signed	06/27/16	10/19/16
	Primary Reviewer 2 COI signed	07/02/16	10/19/16
	Primary Reviewer 3 COI signed	07/05/16	10/19/16
	Primary (Advocate) Reviewer 4 COI signed	08/11/16	10/19/16
	Primary Reviewer 1 critique submitted	09/15/16	10/19/16
	Primary Reviewer 2 critique submitted	09/08/16	10/19/16
	Primary Reviewer 3 critique submitted	09/23/16	10/19/16
	Primary (Advocate) Reviewer 4 critique submitted	09/19/16	10/19/16
	COI indicated by non-primary reviewer	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	Discussed at Peer Review Meeting	YES	10/19/16
	Peer Review Meeting	09/26/16	10/19/16
	Post review statements signed	10/05/16	10/19/16
	Third Party Observer Report	10/05/16	10/19/16
5. Final SRC Recommendation	Score report delivered to CSO	10/10/16	10/19/16
	Recommended for SRC Review	YES	10/19/16
	COI indicated by SRC member	NONE	10/19/16
	COI recused from participation	N/A	10/19/16
	SRC Meeting	10/13/16	10/19/16
	Third Party Observer Report	10/24/16	10/24/16
5. PIC Review	Recommended for grant award	YES	10/19/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP170593
Research Training Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

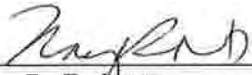
My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Research Training Awards* Request for Applications (RFA). CPRIT received nine applications for this RFA. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- One de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

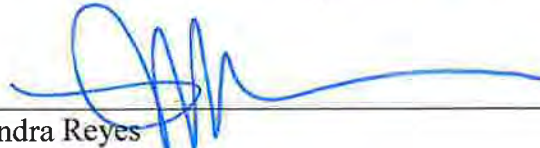
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

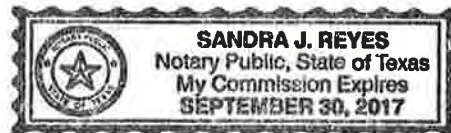
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Research Training Awards (RTA)
APPLICATION ID RP170593
APPLICATION TITLE Computational Cancer Biology Training Program
APPLICANT NAME Pettitt, B. Montgomery
ORGANIZATION The University of Texas Medical Branch at Galveston
PANEL NAME 17.1 Basic Cancer Research-1 (17.1 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	02/18/16 & 02/22/16	10/19/16
	RFA published in Texas Register	03/04/16	10/19/16
	CPRIT Application Receipt System (CARS) opened	03/21/16	10/17/16
	CPRIT Application Receipt System (CARS) closed	05/19/16	10/17/16
	Date application submitted	05/19/16	10/17/16
	Method of submission	CARS	10/17/16
	Within receipt period	YES	10/17/16
	Request for extension to submit application after CARS closed	N/A	10/17/16
	Request for extension for late application submission accepted	N/A	10/17/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/17/16
	Donation(s) made to CPRIT/foundation	NO	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Applicant notified of review panel assignment	07/06/16	10/17/16
	Primary Reviewer 1 COI signed	06/20/16	10/17/16
	Primary Reviewer 2 COI signed	08/07/16	10/17/16
	Primary Reviewer 3 COI signed	07/09/16	10/17/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	N/A	10/17/16
	Primary Reviewer 2 critique submitted	N/A	10/17/16
	Primary Reviewer 3 critique submitted	N/A	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	10/17/16
	COI indicated by non-primary reviewer	N/A	10/17/16
	Preliminary Evaluation score summary sent to Chair	N/A	10/17/16
	Recommended for full review	N/A	10/17/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	10/17/16
	Assigned to primary reviewers	08/19/16	10/17/16
	Primary Reviewer 1 COI signed	06/20/16	10/17/16
	Primary Reviewer 2 COI signed	08/07/16	10/17/16
	Primary Reviewer 3 COI signed	07/09/16	10/17/16
	Primary (Advocate) Reviewer 4 COI signed	06/20/16	10/17/16
	Primary Reviewer 1 critique submitted	09/12/16	10/17/16
	Primary Reviewer 2 critique submitted	09/14/16	10/17/16
	Primary Reviewer 3 critique submitted	09/09/16	10/17/16
	Primary (Advocate) Reviewer 4 critique submitted	09/06/16	10/17/16
	COI indicated by non-primary reviewer	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	Discussed at Peer Review Meeting	YES	10/17/16
	Peer Review Meeting	09/21/16	10/17/16
	Post review statements signed	09/21/16	10/17/16
	Third Party Observer Report	09/28/16	10/17/16
	Score report delivered to CSO	10/10/16	10/17/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	10/17/16
	COI Indicated by SRC member	NONE	10/17/16
	COI recused from participation	N/A	10/17/16
	SRC Meeting	10/13/16	10/17/16
	Third Party Observer Report	10/24/16	10/24/16
6. PIC Review	Recommended for grant award	YES	10/17/16
	SRC Chair Notification to PIC and OC	10/24/16	10/24/16
	COI Indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
7. Oversight Committee Approval	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170003
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Srinivas Malladi, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received one application for cycles 17.1 through 17.2 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

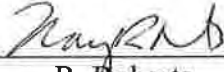
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

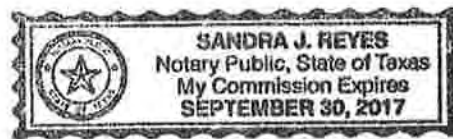
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 1
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR170003
APPLICATION TITLE Nomination of Srinivas Malladi, Ph.D. for a CPRIT First-Time, Tenure-Track Faculty Member Award
NOMINATOR NAME Fitz, John
CANDIDATE NAME Malladi, Srinivas
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY17 Cycle 1 and 2 (REC 17.1-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/16/16	10/11/16
	RFA published in Texas.gov eGrants	06/29/16	10/11/16
	CPRIT Application Receipt Cycle opened	06/21/16	10/07/16
	CPRIT Application Receipt Cycle closed	07/20/16	10/07/16
	Date application submitted	07/15/16	10/07/16
	Method of submission	CARS	10/07/16
	Within receipt period	YES	10/07/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/07/16
	Donation(s) made to CPRIT/foundation	NO	10/07/16
	Assigned to primary reviewers	08/31/16	10/07/16
	Applicant notified of review panel assignment	N/A	10/07/16
	Primary Reviewer 1 COI signed	08/29/16	10/07/16
	Primary Reviewer 2 COI signed	08/30/16	10/07/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	09/12/16	10/07/16
	Primary Reviewer 2 critique submitted	09/13/16	10/07/16
	COI indicated by non-primary reviewer	O'Reilly, Richard	10/07/16
	COI recused from participation	YES	10/07/16
	Discussed at Peer Review Meeting	YES	10/07/16
	Peer Review Meeting	09/15/16	10/07/16
	Post review statements signed	10/05/16	10/07/16
	Third Party Observer Report	09/20/16	10/07/16
	Score report delivered to CSO	10/10/16	10/10/16
	Recommended for SRC Review	YES	10/07/16
4. Final SRC Recommendation	COI indicated by SRC member	O'Reilly, Richard	10/07/16
	COI recused from participation	YES	10/07/16
	SRC Meeting	09/15/16	10/07/16
	Third Party Observer Report	09/20/16	10/07/16
	Recommended for grant award	YES	10/07/16
	SRC Chair Notification to PIC and OC	10/24/16	10/26/16
5. PIC Review	Applicant not employed by grantee prior to SRC date	YES	10/28/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
	Recommended for grant award	YES	10/28/16
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170005
Recruitment of Established Investigators
Nomination of Maura Gillison, M.D., Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received two applications for cycles 17.1 through 17.2 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

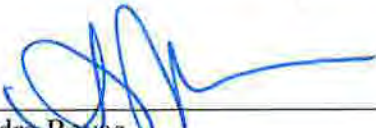
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 1st day of November, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 2
PROGRAM Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR170005
APPLICATION TITLE Recruitment of Established Investigator- Maura Gillison, MD, Ph.D
NOMINATOR NAME Dmitrovsky, Ethan
CANDIDATE NAME Gillison, Maura
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME Recruitment FY17 Cycle 1 and 2 (REC 17.1-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	06/16/16	10/11/16
	RFA published in Texas.gov eGrants	06/29/16	10/11/16
	CPRIT Application Receipt Cycle opened	07/21/16	10/07/16
	CPRIT Application Receipt Cycle closed	08/22/16	10/07/16
	Date application submitted	08/17/16	10/07/16
	Method of submission	CARS	10/07/16
	Within receipt period	YES	10/07/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	10/07/16
	Donation(s) made to CPRIT/foundation	NO	10/07/16
	Assigned to primary reviewers	08/31/16	10/07/16
	Applicant notified of review panel assignment	N/A	10/07/16
	Primary Reviewer 1 COI signed	08/26/16	10/07/16
	Primary Reviewer 2 COI signed	08/26/16	10/07/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	09/13/16	10/07/16
	Primary Reviewer 2 critique submitted	09/01/16	10/07/16
	COI indicated by non-primary reviewer	NONE	10/07/16
	COI recused from participation	N/A	10/07/16
	Discussed at Peer Review Meeting	YES	10/07/16
	Peer Review Meeting	09/15/16	10/07/16
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	COI recused from participation	N/A	10/07/16
	SRC Meeting	09/15/16	10/07/16
	Third Party Observer Report	09/20/16	10/07/16
	Recommended for grant award	YES	10/07/16
5. PIC Review	SRC Chair Notification to PIC and OC	10/24/16	10/26/16
	Applicant not employed by grantee prior to SRC date	YES	10/28/16
	COI indicated by PIC member	NONE	10/28/16
	COI recused from participation	N/A	10/28/16
	PIC review meeting	10/28/16	10/28/16
6. Oversight Committee Approval	Recommended for grant award	YES	10/28/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	11/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.