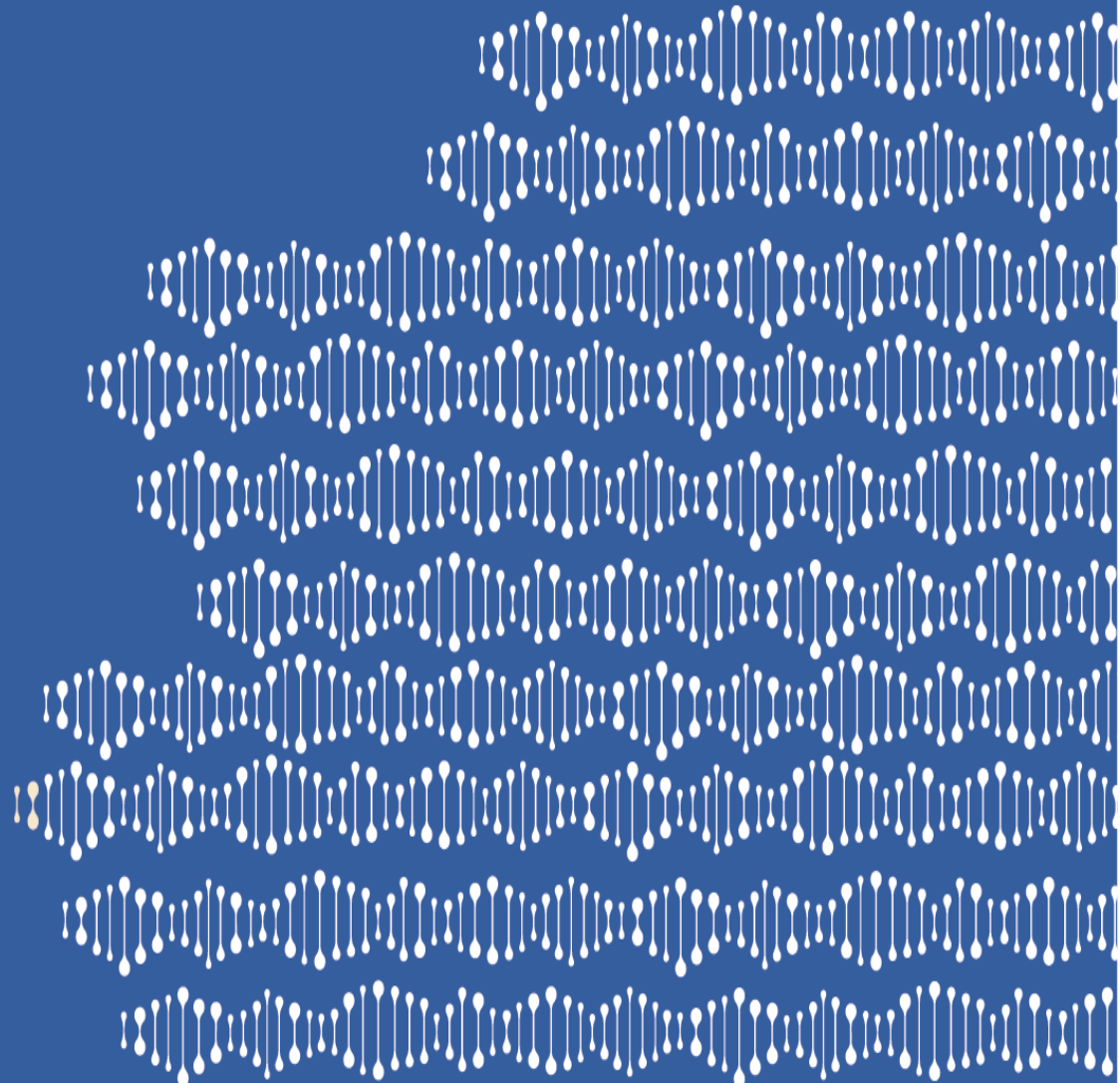




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

September 10, 2015



*Confidential until the awards are announced at the
September 10, 2015 Oversight Committee Meeting.*



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

September 4, 2015

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 6 grant applications totaling \$21,700,000. The PIC recommendations for 6 academic research recruitment awards are attached. Dr. Kripke has prepared overviews of the academic research program slates to assist your evaluation of the recommended awards. The overviews are intended to provide a comprehensive summary of the recommended proposals with enough detail that you should be able to understand the substance of the proposal and the reasons endorsing grant funding. All of the information reviewed by the Review Council is available by clicking on the appropriate link in the portal. This information includes the full application, peer reviewer critiques, budget/scope change recommendations (if applicable) and the CEO affidavit for each proposal.

I note that there are three compliance issues identified by Chief Compliance Officer Vince Burgess. These will be discussed at the September 10th meeting. First, the PIC has recommended a First-Time, Tenure Track Faculty Member recruitment grant to UT Southwestern Medical Center for the recruitment of Dr. Peter Douglas. Dr. Douglas' recruitment was originally approved by the Oversight Committee at the August meeting (RR150089), however a compliance issue was identified after the application was approved. CPRIT does not have a process to correct a post-hoc compliance problem. The award was rescinded to provide the option of using CPRIT's established process for addressing compliance issues during the approval process. Mr. Burgess will address the compliance issue when he certifies the slates at the Oversight Committee meeting. At that time I will recommend a corrective action to address the variance from our process for your consideration. The corrective action is also described in the CEO affidavit for Dr. Douglas' award.

In addition, two new recruitment recommendations have compliance issues identified by Mr. Burgess. I will recommend corrective actions at the meeting and have included my recommendation in the CEO affidavits for RR160005 and RR16009.

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 Thursday, September 10, 2015. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

If you have any questions or would like more information on the review process or any of the projects recommended for an award, CPRIT's staff 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 6 academic research recruitment grant proposals totaling \$21,700,000. The recommended grant proposals were submitted in response to one of two grant mechanisms: Recruitment of First-Time, Tenure-Track Faculty; and Recruitment of Established Investigators. The PIC followed the recommendations made by the Scientific Review Council (SRC). The SRC met twice to consider two cycles of applications and provided the prioritized list of recommendations for the Recruitment awards to the presiding officers on September 1, 2015.

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

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

Rank	App ID	Mech.	Organization/Company	Candidate	Budget Requested	Overall Score	Cycle
1	RR150103	RRS	The University of Texas Southwestern Medical Center	Dr. Tanja A. Gruber	\$4,000,000	1.2	RRP-10
2	RR160009	RRS	Baylor College of Medicine	Chonghui Cheng	\$4,000,000	2.0	REC 16.1
3	RR150104	RRS	The University of Texas Health Science Center at Houston	Dr. Wa Xian	\$3,700,000	2.0	RRP-10
4	RR150106	RFT	Baylor College of Medicine	Dr. Ronald Parchem	\$2,000,000	2.3	RRP-10
5	RR160005	REI	The University of Texas at Austin	Thomas Yankeelov	\$6,000,000	2.4	REC 16.1

RFT = Recruitment of First-Time, Tenure-Track Faculty Members

REI = Recruitment of Established Investigators

RRS = Recruitment of Rising Stars



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT: COMPLIANCE CERTIFICATION – SEPTEMBER 2015 AWARDS
DATE: SEPTEMBER 4, 2015

Summary and Recommendation:

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

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

I have conferred with staff at CPRIT and SRA International (SRA), CPRIT’s contracted third-party grant administrator, 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 followed applicable laws and agency administrative rules. I certify these Academic 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 agency’s statute and administrative rules. The Chief Compliance Officer’s responsibilities include 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 to formally document compliance for the grant awards. The compliance pedigree tracks a 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. 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 pre-receipt stage cover the period beginning with CPRIT's issuance of the Request for Application (RFA) through the submission of grant applications. 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 CPRIT's Application Receipt System (CARS) are eligible for consideration. CARS blocks an application from being submitted once the deadline passes. Occasionally, an applicant may have technical difficulties that prevent the applicant from completing 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 appeals and may approve a late filing for good cause. When a late filing request is approved, the appellee is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

Five applications were received in response to the Recruitment of Rising Stars RFA. Six applications were received in response to the Recruitment of First-Time, Tenure Track Faculty

Members RFA, however, one application withdrew before the Scientific Review Council (SCR). One application was received in response to the Recruitment of Established Investigators RFA.

I reviewed the application pedigrees for each of the 11 Academic Research grant applicants that underwent peer review. All of the applicants registered through CARS and submitted applications by the deadline. No applicants requested an extension. It should be noted that the RFAs were not published in the Texas Register as required by T.A.C. § 703.3(b) at the time applications for cycle REC 16.1 were submitted via CARS. However, the RFAs were published on CPRIT's website on June 22, 2015, prior to the submission of applications. The two applications impacted by this compliance issue are RR160009 and RR160005.

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 to administratively withdraw the application. The peer review panel chair assigns applications to peer review primary reviewers. 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.

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 panel is delivered to the Review Council for additional review. Following the peer review meetings, 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.

For Recruitment Awards, the applications are only reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the peer reviewer critiques and supporting documentation, such as the sign-out sheets 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. Two conflicts of interest were declared for the recruitment applications reviewed by the SRC. Reviewers with conflicts of interest did not participate in review of those applications, as documented by SRA.

I also reviewed and confirmed that the post review conflict of interest statements were signed by all six SRC members that attended the SRC meetings on July 16, 2015 and August 13, 2015.

Programmatic Review:

Programmatic review is conducted by the Scientific Review Council (SRC). The SRC creates the final list of grant applications it will recommend to the Program Integration Committee (PIC) for each grant award slate.

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

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 reviewers with conflicts of interest exited the room or the conference call when the application was discussed. No issues were recorded in the third-party observer reports.

Program Integration Committee 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 September 4, 2015, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered five new applications and one re-recommendation by the Scientific Review Council, and voted to recommend all six applications to the Oversight Committee.

Regarding the one re-recommendation, Grant RR150089 was submitted in response to the Recruitment for First-Time, Tenure Track Faculty Members Request for Applications (RFA R-15-RFT) for Recruitment Cycle RRP-9, originally approved by the SRC on Thursday, June 11, 2015, recommended by the PIC on Thursday, July 30, 2015, and approved by the Oversight

Committee on Wednesday, August 19, 2015. After the August 19th Oversight Committee meeting, CPRIT was made aware that the candidate had accepted a position, related to the recruitment award, with UTSW on July 25, 2015 prior to final Oversight Committee approval. The RFA for this mechanism states, “Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary.” As a result, the award was rescinded. On September 1, 2015, the SRC re-recommended this recruitment application, believing the candidate warranted reconsideration by the PIC and the Oversight Committee.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: MARGARET KRIPKE, PH.D.
SUBJECT: FY16 RECRUITMENT AWARDS, CYCLE RRP-10 AND REC 16.1
DATE: SEPTEMBER 1, 2015

The applications recommended for funding by the CPRIT Scientific Review Council (SRC) have been reviewed and approved by the Program Integration Committee (PIC). Applications were submitted in response to Recruitment of Established Investigator (REI), Recruitment for First-Time, Tenure Track Faculty Members (RFT), and Recruitment of Rising Stars (RRS) Request for Applications for Recruitment Cycles RRP-10 and REC 16.1. Seven applications were received for RRP-10 (Recruitment of Established Investigator (REI) - 0, Recruitment for First-Time, Tenure Track Faculty Members (RFT) - 5, and Recruitment of Rising Stars (RRS) - 2). Six of the seven applications were reviewed, and one (RFT) was administratively rejected for ineligibility. Five applications were received and reviewed for REC 16.1 (Recruitment of Established Investigator (REI) - 1, Recruitment for First-Time, Tenure Track Faculty Members (RFT) - 1, and Recruitment of Rising Stars (RRS) - 3). Five applications in total were recommended for funding by the SRC for both cycles. One application for Recruitment of First-Time, Tenure-Track Faculty Members, one for Recruitment of Established Investigators, and three for Recruitment of Rising Stars have been recommended for a combined amount of \$19,700,000.

Recruitment of Established Investigators (RFA R-16-REI)

Applications Reviewed: 1
Applications Recommended: 1
Total Funding Request: \$6,000,000

The aim of this RFA is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas. Award: Up to \$6M over a period of five years.

The applications were evaluated and scored by the SRC to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, 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.

Questions that were considered by reviewers include: 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?

Thomas Yankeelov, Ph.D., is being recruited to The University of Texas at Austin from the Department of Radiology and Radiological Sciences, Physics, Biomedical Engineering, and Cancer Biology at Vanderbilt University. His research focuses on the development and application of advanced, in vivo imaging methods for predicting treatment response in cancer and extends from mathematical modeling, to applications in pre-clinical models, to implementation in human studies.

Recruitment of Rising Stars (RFA R-15-RRS and R-16-RRS)

Applications Reviewed:	5
Applications Recommended:	3
Total Funding Request:	\$11,700,000

The aim of this RFA is to recruit outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research. Award: Up to \$4 million over a period of 5 years.

These applications were evaluated and scored by the SRC to determine the candidate's 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.

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

Tanja A. Gruber, M.D., Ph.D., is being recruited to The University of Texas Southwestern Medical Center from the Department of Oncology, St. Jude Children's Research Hospital, and the University of Tennessee Health Science Center, College of Medicine, Department of Pediatrics. Dr. Gruber is an emerging national leader in research and treatment of childhood leukemias. Her primary research interests are delineating genomic and molecular bases of high-risk childhood leukemias. She has translated work from her laboratory to the clinic in the form of two investigator-initiated clinical trials. Dr. Gruber's unique research interests will benefit the institution as they span from determination of the genomic landscape of acute megakaryoblastic leukemia and MLL-rearranged infantile acute lymphoblastic leukemia, to the definition of the role of epigenetic drivers of these diseases, to sophisticated preclinical models of hematologic malignancies and the development of novel clinical trials.

Wa Xian, Ph.D., is being recruited to The University of Texas Health Science Center at Houston from the University of Connecticut, Department of Genetics. Dr. Xian's research is focused on the study of

stem cell genomics and the roles that stem cells play in the evolution of cancer including chemotherapy resistance with the goal of eradicating the recurrence of high-grade ovarian cancer by developing new methodologies to detect and treat drug-resistant ovarian cancer stem cell clones. She has also adapted the cloning technology that she developed to understand the origin and evolution of precancerous lesions that give rise to cancers of the upper gastrointestinal tract such as esophageal and gastric adenocarcinoma as well as cancer of the pancreatic duct.

Chonghui Cheng, M.D., Ph.D., is being recruited Baylor College of Medicine from Northwestern University Feinberg School of Medicine, Division of Hematology/Oncology. Dr. Cheng has established experimental systems that moved alternative splicing, a concept that has been largely studied in vitro, into in vivo models allowing for the investigation of alternative splicing in cancer processes, such as epithelial-mesenchymal transition (EMT). Her work led to the discovery of a novel splicing-mediated pathway that drives cancer metastasis in patients, and demonstrated that splice isoform switching causally controls EMT and breast tumor progression. Currently, Dr. Cheng leads a team comprising cancer biologists, RNA biologists, engineers, bioinformaticians, and breast cancer clinicians who are working actively towards understanding and targeting alternative splicing alterations in cancer.

Recruitment of First-Time, Tenure-Track Faculty Members (RFA R-15-RFT)

Applications Reviewed:	5
Applications Recommended:	1
Total Funding Request:	\$2,000,000

The aim of this RFA 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. Award: Up to \$2 million over a period of 4 years.

The applications were evaluated and scored by the SRC to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, 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.

Questions that were considered by reviewers include: 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 of independence?

One First-Time, Tenure-Track Faculty Award candidate is being recommended for recruitment to Baylor College of Medicine. Listed below is the candidate with his associated expertise. He has an outstanding training and records of achievement and a strong commitment to cancer research.

- **Ronald Parchem, Ph.D.**, (BCM) - microRNAs, cancer stem cells, miRs, RAS, pancreas, glioma, germ cells, development



CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: MARGARET KRIPKE, PH.D.
SUBJECT: FY16 RECRUITMENT AWARDS, RENOMINATION OF DR. PETER DOUGLAS
DATE: SEPTEMBER 1, 2015

The application recommended for funding that was reviewed and approved by the CPRIT Scientific Review Council (SRC) on behalf of Dr. Peter Douglas who was recruited to The University of Texas Southwestern Medical Center (UTSW) is being resubmitted for approval by the PIC based on special circumstances. His application was submitted in response to the Recruitment for First-Time, Tenure Track Faculty Members Request for Applications (RFA R-15-RFT) for Recruitment Cycle RRP-9, originally approved by the SRC on Thursday, June 11, 2015, recommended by the PIC on Thursday, July 30, 2015, and approved by the Oversight Committee on Wednesday, August 19, 2015. The total amount of his award was \$2,000,000.

After the August 19th Oversight Committee meeting, we were made aware that Dr. Douglas had accepted a position, related to the recruitment award, with UTSW on July 25, 2015 prior to final Oversight Committee approval. The RFA for this mechanism states, "Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary." This language would render this recruitment application ineligible for award under normal circumstances. However, Dr. Douglas was faced with extenuating family circumstances that required him to move to Dallas prior to final approval. CPRIT staff informed UTSW that the award for Dr. Douglas would be rescinded and resubmitted for approval by the PIC and OC based on these circumstances. The SRC was polled on September 1st and agreed that Dr. Douglas was a worthy candidate and warranted reconsideration by the PIC and OC for a new award. The PIC concurred with the SRC recommendation that the Oversight Committee move forward with approving a new recruitment award for Dr. Douglas based on special circumstances.

Recruitment of First-Time, Tenure-Track Faculty Members (RFA R-15-RFT)

Applications Reviewed:	1
Applications Recommended:	1
Total Funding Request:	\$2,000,000

The aim of this RFA 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. Award: Up to \$2 million over a period of 4 years.

The applications were evaluated and scored by the SRC to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, 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.

Questions that were considered by reviewers include: 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 of independence?

- **Peter Douglas, Ph.D.** (UTSW) - Molecular biology, cell signaling, biochemistry, cancer biology



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR150089
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Peter M. Douglas

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

This application was originally reviewed and approved by the Oversight Committee on August 19, 2015. Following the meeting, CPRIT learned that Dr. Douglas accepted a position with UT Southwestern Medical Center (UTSW) on July 20, 2015. The First-Time, Tenure Track Request for Applications (RFA) states, “Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary.” When UTSW was contacted to confirm Dr. Douglas’ start date, they requested that CPRIT consider extenuating circumstances. CPRIT does not have a process to address a post-hoc compliance problem. The award was rescinded to provide the option of using CPRIT’s established process for addressing compliance issues during the approval process.

Since employment decisions are often time sensitive, it is CPRIT’s standard course of action to notify nominating institutions of the Scientific Review Council’s (SRC) decision related to a recruitment application. In this case, UTSW was notified shortly after the SRC’s June 13, 2015, meeting that the Dr. Douglas recruitment application would be recommended to the PIC and the Oversight Committee. Dr. Douglas was anxious to move to Texas as soon as possible in order to have his children enrolled in school and for other personal family issues. Knowing that Dr. Douglas’ application has been approved by the SRC, UTSW permitted him to arrive early to

accommodate his family issues. UTSW Dean Dr. Gregory Fitz states, “We recognize that no award is final until approved by the Board, but I want to assure you that the recruitment efforts to bring Peter Douglas to Texas and seek CPRIT funding were all performed in good faith and in compliance with the spirit of the First-Time Investigator Award. Indeed, he would not have come here without the CPRIT support.”

Based on these extenuating circumstances, I find that good cause exists to recommend that the Oversight Committee approve the PIC’s recommendation to award a First-Time, Tenure Track recruitment grant to UTSW for the recruitment of Dr. Douglas despite UTSW’s failure to comply with the RFA.

Going forward, the Chief Scientific Officer will consider revising the RFA and notification process to avoid this situation arising again. The Chief Compliance Officer will add a line to the compliance pedigree for all recruitment grants.

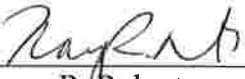
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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 Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). 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 FY2016 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 4th day of September, 2015, by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas


Notary without Bond



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160005
Recruitment of Established Investigators
Nomination of Dr. Thomas Yankeelov

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 one application for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle


The Established Investigator Request for Applications (RFA) was not published in the Texas Register as required by T.A.C. § 703.3(b) at the time that the application was submitted and reviewed. However, the RFA was available via CPRIT’s public website since June 22, 2015. This was an administrative process problem on CPRIT’s side; the applicant had no way of addressing CPRIT’s failure to comply with its process. Based on these extenuating circumstances, I find that good cause exists to recommend that the

Oversight Committee approve the PIC's recommendation to award a grant for the recruitment of Established Investigator recruitment candidate Dr. Thomas Yankeelov.

- 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 Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). 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 FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

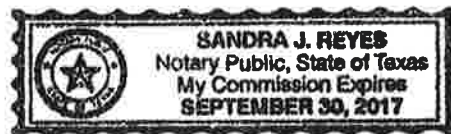
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 4th day of September, 2015,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160009
Recruitment of Rising Stars
Nomination of Dr. Chonghui Cheng

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received 5 applications for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle


The Rising Star Request for Applications (RFA) was not published in the Texas Register as required by T.A.C. § 703.3(b) at the time that the application was submitted and reviewed. However, the RFA was available via CPRIT’s public website since June 22, 2015. This was an administrative process problem on CPRIT’s side; the applicant had no way of addressing CPRIT’s failure to comply with its process. Based on these extenuating circumstances, I find that good cause exists to recommend that the Oversight

Committee approve the PIC's recommendation to award a grant for the recruitment of Rising Star recruitment candidate Dr. Chonghui Cheng.



- 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 Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). 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 FY2016 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 <u>4th</u> day of <u>September</u> , 2015, by WAYNE R. ROBERTS.
 _____ Sandra Reyes Notary Public, State of Texas
 Notary without Bond

**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE**

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR150089
APPLICATION TITLE Recruitment of Peter M. Douglas, Ph.D. for a CPRIT First-Time Tenure-Track Award
NOMINATOR NAME Fitz, John
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 15.2 Recruitment Review Panel - 9 (RRP-9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	04/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	05/20/15	07/09/15
	Date application submitted	05/19/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	06/03/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	06/01/15	07/09/15
	Primary Reviewer 2 COI signed	06/02/15	07/09/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	06/10/15	07/09/15
	Primary Reviewer 2 critique submitted	06/09/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	06/11/15	07/09/15
	Post review statements signed	06/15/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Score report delivered to CSO	06/23/15	07/09/15
	Recommended for SRC Review	YES	07/09/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	06/11/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	09/04/15	09/10/15
	COI indicated by Oversight Committee member	NONE	09/10/15
	COI recused from participation	N/A	09/10/15
	Donation(s) made to CPRIT/foundation	NO	09/10/15
	Presented to CPRIT Oversight Committee	09/10/15	09/10/15
	Award approved by Oversight Committee	YES	09/10/15
	Authority to advance funds requested	NO	09/10/15
	Advance authority approved by Oversight Committee	NO	09/10/15

The identity of the attesting party is retained by CPRIT.

**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE**

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR150104
APPLICATION TITLE Nomination of Dr. Wa Xian for CPRIT Rising Stars Award
NOMINATOR NAME Colasurdo, Giuseppe
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME 15.2 Recruitment Review Panel - 10 (RRP-10)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	08/04/15
	CPRIT Application Receipt Cycle opened	05/21/15	08/04/15
	CPRIT Application Receipt Cycle closed	06/20/15	08/04/15
	Date application submitted	06/19/15	08/04/15
	Method of submission	CARS	08/04/15
	Within receipt period	YES	08/04/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/04/15
	Donation(s) made to CPRIT/foundation	NO	08/04/15
	Assigned to primary reviewers	06/30/15	08/04/15
	Applicant notified of review panel assignment	N/A	08/04/15
	Primary Reviewer 1 COI signed	06/25/15	08/04/15
	Primary Reviewer 2 COI signed	06/23/15	08/04/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/03/15	08/04/15
	Primary Reviewer 2 critique submitted	07/14/15	08/04/15
	COI indicated by non-primary reviewer	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	Discussed at Peer Review Meeting	YES	08/04/15
	Peer Review Meeting	07/16/15	08/04/15
	Post review statements signed	07/24/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Score report delivered to CSO	07/29/15	08/04/15
	Recommended for SRC Review	YES	08/04/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	SRC Meeting	07/16/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Recommended for grant award	YES	08/04/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	09/04/15	09/10/15
	COI indicated by Oversight Committee member	NONE	09/10/15
	COI recused from participation	N/A	09/10/15
	Donation(s) made to CPRIT/foundation	NO	09/10/15
	Presented to CPRIT Oversight Committee	09/10/15	09/10/15
	Award approved by Oversight Committee	YES	09/10/15
	Authority to advance funds requested	NO	09/10/15
	Advance authority approved by Oversight Committee	NO	09/10/15

The identity of the attesting party is retained by CPRIT.

**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE**

FY 2016
CYCLE 1
PROGRAM Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR160005
APPLICATION TITLE Dr. Thomas Yankeelov: Predictive Oncology through Advanced in vivo Imaging
APPLICANT NAME Wood, Sharon
ORGANIZATION The University of Texas at Austin
PANEL NAME Recruitment FY16 Cycle 1 (REC_16.1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	Not Published	09/01/15
	CPRIT Application Receipt Cycle opened	06/22/15	08/31/15
	CPRIT Application Receipt Cycle closed	07/20/15	08/31/15
	Date application submitted	07/17/15	08/31/15
	Method of submission	CARS	08/31/15
	Within receipt period	YES	08/31/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/31/15
	Donation(s) made to CPRIT/foundation	NO	08/31/15
	Assigned to primary reviewers	07/30/15	08/31/15
	Applicant notified of review panel assignment	N/A	08/31/15
	Primary Reviewer 1 COI signed	07/25/15	08/31/15
	Primary Reviewer 2 COI signed	08/03/15	08/31/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	08/12/15	08/31/15
	Primary Reviewer 2 critique submitted	08/10/15	08/31/15
	COI indicated by non-primary reviewer	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	Discussed at Peer Review Meeting	YES	08/31/15
	Peer Review Meeting	08/13/15	08/31/15
	Post review statements signed	08/19/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Score report delivered to CSO	08/24/15	08/31/15
Recommended for SRC Review	YES	08/31/15	
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	SRC Meeting	08/13/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Recommended for grant award	YES	08/31/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	09/04/15	09/10/15
	COI indicated by Oversight Committee member	NONE	09/10/15
	COI recused from participation	N/A	09/10/15
	Donation(s) made to CPRIT/foundation	NO	09/10/15
	Presented to CPRIT Oversight Committee	09/10/15	09/10/15
	Award approved by Oversight Committee	YES	09/10/15
	Authority to advance funds requested	NO	09/10/15
	Advance authority approved by Oversight Committee	NO	09/10/15

The identity of the attesting party is retained by CPRIT.

**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE**

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR150106
APPLICATION TITLE Ronald Parchem: First-Time Tenure-Track Recruit
NOMINATOR NAME Kuspa, Adam
ORGANIZATION Baylor College of Medicine
PANEL NAME 15.2 Recruitment Review Panel - 10 (RRP-10)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	08/04/15
	CPRIT Application Receipt Cycle opened	05/21/15	08/04/15
	CPRIT Application Receipt Cycle closed	06/20/15	08/04/15
	Date application submitted	06/19/15	08/04/15
	Method of submission	CARS	08/04/15
	Within receipt period	YES	08/04/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/04/15
	Donation(s) made to CPRIT/foundation	NO	08/04/15
	Assigned to primary reviewers	06/30/15	08/04/15
	Applicant notified of review panel assignment	N/A	08/04/15
	Primary Reviewer 1 COI signed	06/23/15	08/04/15
	Primary Reviewer 2 COI signed	06/30/15	08/04/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/08/15	08/04/15
	Primary Reviewer 2 critique submitted	07/15/15	08/04/15
	COI indicated by non-primary reviewer	Tempero, Margaret	08/04/15
	COI recused from participation	YES	08/04/15
	Discussed at Peer Review Meeting	YES	08/04/15
	Peer Review Meeting	07/16/15	08/04/15
	Post review statements signed	07/24/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Score report delivered to CSO	07/29/15	08/04/15
Recommended for SRC Review	YES	08/04/15	
4. Final SRC Recommendation	COI indicated by SRC member	Tempero, Margaret	08/04/15
	COI recused from participation	YES	08/04/15
	SRC Meeting	07/16/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Recommended for grant award	YES	08/04/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	09/04/15	09/10/15
	COI indicated by Oversight Committee member	NONE	09/10/15
	COI recused from participation	N/A	09/10/15
	Donation(s) made to CPRIT/foundation	NO	09/10/15
	Presented to CPRIT Oversight Committee	09/10/15	09/10/15
	Award approved by Oversight Committee	YES	09/10/15
	Authority to advance funds requested	NO	09/10/15
	Advance authority approved by Oversight Committee	NO	09/10/15

The identity of the attesting party is retained by CPRIT.

**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE**

FY 2016
CYCLE 1
PROGRAM Research
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR160009
APPLICATION TITLE Rising Star Recruit: Chonghui Cheng, MD, PhD
APPLICANT NAME Kuspa, Adam
ORGANIZATION Baylor College of Medicine
PANEL NAME Recruitment FY16 Cycle 1 (REC_16.1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	Not Published	09/01/15
	CPRIT Application Receipt Cycle opened	06/22/15	08/31/15
	CPRIT Application Receipt Cycle closed	07/20/15	08/31/15
	Date application submitted	07/20/15	08/31/15
	Method of submission	CARS	08/31/15
	Within receipt period	YES	08/31/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/31/15
	Donation(s) made to CPRIT/foundation	NO	08/31/15
	Assigned to primary reviewers	07/30/15	08/31/15
	Applicant notified of review panel assignment	N/A	08/31/15
	Primary Reviewer 1 COI signed	07/25/15	08/31/15
	Primary Reviewer 2 COI signed	07/24/15	08/31/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	08/12/15	08/31/15
	Primary Reviewer 2 critique submitted	08/10/15	08/31/15
	COI indicated by non-primary reviewer	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	Discussed at Peer Review Meeting	YES	08/31/15
	Peer Review Meeting	08/13/15	08/31/15
	Post review statements signed	08/19/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Score report delivered to CSO	08/24/15	08/31/15
	Recommended for SRC Review	YES	08/31/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	SRC Meeting	08/13/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Recommended for grant award	YES	08/31/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	09/04/15	09/10/15
	COI indicated by Oversight Committee member	NONE	09/10/15
	COI recused from participation	N/A	09/10/15
	Donation(s) made to CPRIT/foundation	NO	09/10/15
	Presented to CPRIT Oversight Committee	09/10/15	09/10/15
	Award approved by Oversight Committee	YES	09/10/15
	Authority to advance funds requested	NO	09/10/15
	Advance authority approved by Oversight Committee	NO	09/10/15

The identity of the attesting party is retained by CPRIT.

**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE**

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR150103
APPLICATION TITLE Nomination of Tanja A. Gruber, M.D., Ph.D. for a CPRIT Rising Star Award
NOMINATOR NAME Fitz, John
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 15.2 Recruitment Review Panel - 10 (RRP-10)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	08/04/15
	CPRIT Application Receipt Cycle opened	05/21/15	08/04/15
	CPRIT Application Receipt Cycle closed	06/20/15	08/04/15
	Date application submitted	06/16/15	08/04/15
	Method of submission	CARS	08/04/15
	Within receipt period	YES	08/04/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/04/15
	Donation(s) made to CPRIT/foundation	NO	08/04/15
	Assigned to primary reviewers	06/30/15	08/04/15
	Applicant notified of review panel assignment	N/A	08/04/15
	Primary Reviewer 1 COI signed	06/27/15	08/04/15
	Primary Reviewer 2 COI signed	06/23/15	08/04/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/10/15	08/04/15
	Primary Reviewer 2 critique submitted	07/14/15	08/04/15
	COI indicated by non-primary reviewer	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	Discussed at Peer Review Meeting	YES	08/04/15
	Peer Review Meeting	07/16/15	08/04/15
	Post review statements signed	07/24/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Score report delivered to CSO	07/29/15	08/04/15
	Recommended for SRC Review	YES	08/04/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	SRC Meeting	07/16/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Recommended for grant award	YES	08/04/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.

CPRIT Scientific Review Council Observation Report

Report #2015-231

Panel Name: FY15.2 Recruitment Review Panel – 10

Panel Date: July 16, 2015

Report Date: July 16, 2015

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 review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on July 16, 2015.

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 panelists' discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on July 16, 2015.

The independent observer noted the following during our observation:

- Six applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting, but the individuals were not present and did not participate in the discussions of the applications.

- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

The independent 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 Observation Report

Report #2015-232

Panel Name: FY16.1 Recruitment Review Panel

Panel Date: August 13, 2015

Report Date: August 16, 2015

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 review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on August 13, 2015.

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 panelists' discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on August 13, 2015.

The independent observer noted the following during our observation:

- Five applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees 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 Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

The independent 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.

Ludwig Institute for
Cancer Research Ltd

September 1, 2015

Richard D. Kolodner
Ph.D.

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, July 16, 2015 and Thursday, August 13, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycles RRP-10 and REC 16.1. 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 score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$19,700,000.

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	Mech.	Organization/Company	Candidate	Budget Requested	Overall Score	Cycle
1	RR150103	RRS	The University of Texas Southwestern Medical Center	Dr. Tanja A. Gruber	\$4,000,000	1.2	RRP-10
2	RR160009	RRS	Baylor College of Medicine	Chonghui Cheng	\$4,000,000	2.0	REC 16.1
3	RR150104	RRS	The University of Texas Health Science Center at Houston	Dr. Wa Xian	\$3,700,000	2.0	RRP-10
4	RR150106	RFT	Baylor College of Medicine	Dr. Ronald Parchem	\$2,000,000	2.3	RRP-10
5	RR160005	REI	The University of Texas at Austin	Thomas Yankeelov	\$6,000,000	2.4	REC 16.1

RFT = Recruitment of First-Time, Tenure-Track Faculty Members

REI = Recruitment of Established Investigators

RRS = Recruitment of Rising Stars

**Ludwig Institute for
Cancer Research Ltd**

September 1, 2015

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Via email to Bill.Rice@stdavids.com

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased re-recommend the recruitment grant application submitted by The University of Texas Southwestern Medical Center on behalf of Dr. Peter Douglas (RR150089). The SRC originally met on Thursday, June 11, 2015 to consider this applications we still believe him to be a candidate worthy of CPRIT funding. The total amount for this application is \$2,000,000.

Sincerely yours,



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

